



PHILIP D. MURPHY
Governor

TAHESHA L. WAY
Lieutenant Governor

State of New Jersey
DEPARTMENT OF COMMUNITY AFFAIRS
DISASTER RECOVERY AND MITIGATION
101 SOUTH BROAD STREET
PO BOX 823
TRENTON, NJ 08625-0823

JACQUELYN A. SUÁREZ
Acting Commissioner

November 30, 2023

Department of Community Affairs
Category Two (2) Financial Auditing and Grant Management

AMENDMENT #3 TO PURCHASE ORDER #21-PROSV-01441:15 / Vander Weele Group LLC Contract: G4018

WHEREAS, on March 21, 2023, a letter of engagement was issued by the Department of Community Affairs, Division of Disaster Recovery and Mitigation (“DRM”) to Vander Weele Group, LLC (“VWG”) (collectively, “the Parties”) pursuant to the Engagement Query issued on January 18, 2023, and VWG’s proposal dated February 23, 2023, for the purpose of performing financial auditing and grants management services; and

WHEREAS, on August 16, 2023, the Parties executed a No-Cost Amendment (attached hereto as Attachment 1) to reallocate hours amongst employee titles and tasks; and

WHEREAS, on October 6, 2023, the Parties executed an Amendment to the Engagement Query (attached hereto as Attachment 2) to modify the scope of work of the contract; and

NOW THEREFORE, on November 30, 2023, the Parties acknowledge and agree to the following no-cost modification:

- Reduction to Item #1, Class-item 918-00, Category 2 Financial Auditing and Grant Management, Year 2 – Hourly Partner/Principal/Director Rate by 15.224 hours or \$3,806.00. Revised quantity 2.376 hours and total cost \$594.00.
- Increase to Item #4, Class-item 918-00, Category 2 Financial Auditing and Grant Management, Year 2 – Hourly Consultant Rate by 28.193 hours or \$3,806.06. Revised quantity 389 hours and total cost \$52,541.00.

The reallocation by consultant title and task is attached hereto as Attachment 3 and shall replace the initial budget for this Engagement.

This no-cost modification is needed to adjust the number of hours allocated to the tasks set forth in the engagement to ensure that the appropriate review and analysis of the requested work is completed. The total cost of this Engagement shall not exceed \$166,194.18. The VWG Partner



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has an extensive background supporting grants management and her expertise is providing a wealth of knowledge and competency to the requested level of work.

The parties agree that all deliverables in the engagement remain unchanged and must be completed by December 23, 2023. The parties also agree that all other terms and conditions under this Engagement remain in full force and effect.

A handwritten signature in cursive script, reading "Vera Ricciardi".

Vera Ricciardi

New Jersey Department of Community Affairs, Disaster Recovery and Mitigation

A handwritten signature in cursive script, reading "Maribeth Vander Weele".

Maribeth Vander Weele

Vander Weele Group, LLC

ATTACHMENT 2

INTEGRITY MONITOR ENGAGEMENT QUERY AMENDMENT 1

Vander Weele Group

Category Two (2) Financial Auditing and Grant Management

Contract G4018

THIS INTEGRITY MONITOR ENGAGEMENT AMENDMENT (this “Amendment”) is entered into by and between Vander Weele Group, LLC (“VWG”) whose address is 4725 North Sheridan Road, 1-S, Chicago, IL 60640 (“Contractor”) and the Division of Disaster Recovery and Mitigation, New Jersey Department of Community Affairs (“DCA”) whose business address is 101 South Broad St., Trenton, NJ 08608 (the Contractor and DCA may be referred to collectively as the “Parties” and individually as a “Party”).

WHEREAS, on March 21, 2023, the Contractor was issued a Letter of Engagement on behalf of DCA pursuant to the Engagement Query issued on January 18, 2023 (attached hereto as “Attachment 1”) and the Contractor’s proposal dated February 23, 2023, for an amount not to exceed \$166,194.18.

WHEREAS, the Parties desire to amend the Engagement further as set forth herein; and

NOW THEREFORE, for good and valuable consideration, the Parties acknowledge and agree to the following modifications to the Engagement Query:

1. The services listed in Section II, Part A, Scope of Work Requirements, will be modified as follows, effective upon execution of this Amendment:¹

(1) Draft ~~up to fifty nine (9)~~ nine (9) Memoranda of Understanding (“MOUs”) or Grant Agreements between DCA and other State and Non-State subrecipients and beneficiaries, ensuring compliance with rules and regulations, whether State, CSFRF or 2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards rules and regulations:

1. MOU with the New Jersey Department of Children and Families (“DCF”) for COVID Respite Services
2. MOU with the DCF for Assertive Community Treatment Pilot
3. MOU with the New Jersey Department of Human Services (“DHS”) for Mental Health First Aid Initiatives
4. MOU with DHS for County Area Agencies on Aging
5. MOU with the New Jersey Sports and Exhibition Authority (“SEA”) for Economic Development and Tourism - Newark
6. MOU with the New Jersey Department of Agriculture (“DOA”) for the Spotted Lantern Fly Prevention & Mitigation Program
7. Grant Agreement with the Borough of Carteret for Ferry Terminal Support
8. Grant Agreement with the County of Essex for Irvington Park
9. Grant Agreement with the County of Middlesex for the Middlesex County Improvement Authority

¹ Added language is shown by “UNDERLINE,” deleted language is shown by “~~STRIKETHROUGH~~.”

- ~~(2) Assist with eligibility determinations for programs seeking CSFRF funding, ensuring that the proposed activities comply with U.S. Department of the Treasury regulations. Draft up to fifty (50) memoranda documenting the eligibility determinations.~~
 - ~~(3) Evaluate and suggest workflow / process for the administration of CSFRF funding. Document workflows related to existing processes for the administration of CSFRF funding from the time of award to U.S. Treasury data entry.~~
 - ~~(4) Review and approve processes as they relate to disbursements, expenditures and reporting. Develop Standard Operating Procedures ("SOPs") related to existing processes for disbursements, expenditures and reporting.~~
 - ~~(5) Review Performance Evaluation Reports ("PERs") QA/ QC functions associated with program and system reconciliations.~~
 - ~~(6) Develop the spreadsheets that would set up the accounting for the eventual release of SFRF monies. Automate reporting of various statistics using the existing tracking spreadsheet as well as update the status of programs as needed.~~
 - ~~(8) Review the Program's Budget, included as Exhibit B to DCA's form of MOUs/ Grant Agreements with State and non-State recipients, make recommendations and iterate with the prospective program staff, as necessary.~~
 - ~~(9) Assist with the submission of forms and reports to the U.S. Department of the Treasury, pursuant to the ARPA and implementing regulations found here <https://www.govinfo.gov/content/pkg/FR-2022-01-27/pdf/2022-00292.pdf>. Upload reports to the U.S. Treasury Portal containing demographic and budgetary/expenditure information that derives from Performance Evaluation Reports ("PERs") submissions in accordance with the American Rescue Plan Act ("ARPA") and implementing regulations found here: <https://www.govinfo.gov/content/pkg/FR-2022-01-27/pdf/2022-00292.pdf>.~~
 - ~~(10) Ensure compliance with all applicable Federal and State accounting and financial reporting requirements, whether as a subrecipient or direct beneficiary by reviewing policies and procedures and interview the respective entity. Document the processes and procedures related to the development and reporting of the required quarterly reporting submissions to U.S. Treasury.~~
2. This Amendment shall have no impact on the cost of this Engagement.
 3. Terms and Conditions. The Parties agree to be bound by all other requirements, terms, and conditions of the Engagement, not otherwise modified by this Amendment for the period of the Engagement.
 4. Execution of Amendment. The Parties hereto agree that this Amendment may be executed in counterpart, each original signed page to become part of the original document.

IN WITNESS WHEREOF, the Parties have caused their duly authorized representatives to execute this Amendment on their behalf on the day and year as designated below.

Vander Weele Group, LLC



Signature

10-06-23

Date

Maribeth Vander Weele, President

Print Name and Title

The State of New Jersey

Department of Community Affairs – Division of Disaster Recovery and Mitigation



Signature

10-6-23

Date

Vera E. Riccardi, CFO-DRM

Print Name and Title



State of New Jersey
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PHILIP D. MURPHY
Governor

LT. GOVERNOR SHEILA Y. OLIVER
Commissioner

August 16, 2023

Department of Community Affairs
Category Two (2) Financial Auditing and Grant Management

AMENDMENT TO PURCHASE ORDER #21-PROSV-01441:15 / Vander Weele Group LLC
CONTRACT: G4018

A letter of engagement was issued to Vander Weele Group LLC on March 21, 2023 to perform financial auditing and grants management services as described in that engagement. On August 4, 2023, New Jersey Department of Community Affairs, Disaster Recovery and Mitigation ("DRM") and Vander Weele Group LLC ("VWG") agreed to the following no-cost modification:

- Reduction to Item #1, Class-item 918-00, Category 2 Financial Auditing and Grant Management, Year 2 – Hourly Partner/Principal/Director Rate by 8.8 hours or \$2,200. Revised quantity 17.6 hours and total cost \$4,400.00.
- Reduction to Item #4, Class-item 918-00, Category 2 Financial Auditing and Grant Management, Year 2 – Hourly Consultant Rate by 171 hours or \$23,085. Revised quantity 361 hours and total cost \$48,735.00.
- Increase to Item #3, Class-item 918-00, Category 2 Financial Auditing and Grant Management, Year 2 – Hourly Supervisory/Senior Consultant Rate by 113.8092 hours or \$25,285. Revised quantity 354.9292 and total cost \$78,854.63.

The reallocation by consultant title and task is attached here and shall replace the initial budget for this Engagement.

This no-cost modification is needed to adjust the number of hours allocated to the tasks set forth in the engagement and to ensure that the appropriate review and analysis of the requested work is completed. The total cost of this Engagement shall not exceed \$166,194.18. The VWG Partner has an extensive background supporting grants management and her expertise is providing a wealth of knowledge and competency to the requested level of work.

The parties agree that all deliverables in the engagement remain unchanged and must be completed by December 23, 2023. The parties also agree that all other terms and conditions under this Engagement remain in full force and effect.

A handwritten signature in black ink, reading "Vera E. Ricciardi". The signature is fluid and cursive, with the first name "Vera" being the most prominent.

Vera Ricciardi
New Jersey Department Community Affairs, Disaster Recovery and Mitigation

A handwritten signature in black ink, reading "Maribeth Vander Weele". The signature is cursive and somewhat stylized, with the last name "Weele" being clearly legible.

Maribeth Vander Weele
Vander Weele Group LLC

Letter of Engagement

March 22, 2023

Successful Bidder:

On behalf of the Department of Community Affairs, the State of New Jersey, Department of the Treasury hereby issues this Letter of Engagement to Vander Weele Group, LLC, pursuant to the Engagement Query issued on January 18, 2023 and Vander Weele Group's proposal dated February 23, 2023.

All terms and conditions of the Engagement Query, including but not limited to the Scope of Work, milestones, timelines, standards, deliverables and liquidated damages are incorporated into this Letter of Engagement and made a part hereof by reference.

The total cost of this Engagement shall not exceed \$166,194.18

The Integrity Monitor is instructed not to proceed until a purchase order is issued.

Thank you for your participation in the Integrity Monitor program.

Sincerely,

Mona Cartwright
IM State Contract Manager

ATTACHMENT 1

INTEGRITY MONITOR ENGAGEMENT QUERY

Contract G4018 – Integrity Oversight Monitoring: Program and Performance Monitoring, Financial Monitoring and Grant Management and Anti-Fraud Monitoring for COVID-19 Recovery Funds and Programs

Department of Community Affairs

Category Two (2) Financial Auditing and Grant Management

I. GENERAL INFORMATION:

On March 9, 2020, Governor Murphy issued Executive Order 103 declaring both a Public Health Emergency and State of Emergency in light of the dangers of the Coronavirus disease 2019 ("COVID-19"). On March 13, 2020, the President of the United States declared a national emergency and determined that the COVID-19 pandemic was of sufficient severity and magnitude to warrant a nation-wide emergency declaration under Section 501 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121-5207, ("Stafford Act") and that declaration was extended to the State of New Jersey ("State") on March 25, 2020 pursuant to Section 401 of the Stafford Act. Since then, Congress has enacted legislation to stimulate economic recovery and assist State, Local and Tribal governments navigate the impact of the COVID-19 outbreak and cover necessary expenditures related to the public health emergency.

On July 17, 2020, Governor Murphy signed Executive Order 166 ("E.O. 166"), which established the COVID-19 Compliance and Oversight Task Force (the "Taskforce") and the Governor's Disaster Recovery Office ("GDRO").

Pursuant to E.O. 166, the Taskforce has issued guidelines regarding the appointment and responsibilities of COVID-19 Oversight Integrity Monitors ("Integrity Monitors"). Integrity Monitors are intended to serve as an important part of the State's accountability infrastructure while working with Using Agencies in developing measures to prevent, detect, and remediate inefficiency and malfeasance in the expenditure of COVID-19 Recovery Funds and provide expertise in Program and Process Management Monitoring; Financial Auditing and Grant Management; and Integrity Monitoring/Anti-fraud services.

The New Jersey Department of the Treasury ("Treasury") has established a pool of qualified Integrity Monitors for oversight of COVID-19 Recovery Funds and Programs pursuant to the Request for Quotation for Integrity Oversight Monitoring: Program and Performance Monitoring, Financial Monitoring and Grant Management and Anti-Fraud Monitoring for COVID-19 Recovery Funds and Programs ("IOM RFQ") that Using Agencies may now use to discharge their responsibilities under E.O. 166. The Integrity Monitor's executed State of NJ Standard Terms and Conditions ("SSTC") will apply to all Integrity Monitoring Engagements executed via this Engagement Query. The Standard Terms and Conditions may be found at <https://www.nj.gov/treasury/purchase/forms/StandardTermsandConditions.pdf>.

This Engagement Query is issued by the Department of the Treasury on behalf of the Department of Community Affairs.

The purpose of this Engagement Query is to utilize the services covered by Category 2 to help DCA determine the eligibility of a variety of programs for Coronavirus State Fiscal Recovery Funds (CSFRF), help determine the appropriate financial and programmatic reporting requirements, assist with the memorialization of those obligations and monitor expenditures for compliance with the CSFRF requirements via Memoranda of Understanding or Grant Agreements with State and non-State entities.

The capitalized terms in this Engagement Query shall have the same meanings as set forth in the IOM RFQ.

A. Background

On March 11, 2021, President Biden signed into law the American Rescue Plan Act, which included approximately \$6.4 billion in CSFRF.

The DCA Division for Disaster Recovery and Mitigation ("Division") has been designated by the State as Grant Manager for the CSFRF funds awarded to the State. See *Memorandum of Understanding between the Treasurer of the State of New Jersey and the New Jersey Department of Community Affairs for American Rescue Plan Act-Coronavirus State Fiscal Recovery Funds Grant Management at Attachment 2*. This requires the Division to oversee programs managed at multiple agencies and carry ultimate responsibility for sound financial management and compliance with the Act and its implementing regulations. The Division is seeking assistance to supplement its expertise in these areas.

The New Jersey State Legislature directly appropriated CSFRF funds to 31 programs² through the Fiscal Year ("FY") 2022 Appropriations Act, L. 2021, c.133, and then to 76 programs³ through the FY 2023 Appropriations Act, L. 2022, c. 37. The FY 2022 and 2023 Appropriations Acts also provided \$200 million and \$300 million, respectively, to be allocated to pandemic-related programs as determined by the Executive Director of the Governor's Disaster Recovery Office ("GDRO"), subject to the approval of the Director of the Division of Budget and Account. In FY 2022, the GDRO allocated funds to twenty-seven programs and to date two program in FY 2023. Lastly, the Legislature also provided that certain allocations could be made with approval of the Joint Budget and Oversight Committee ("JBOC"). To date, the JBOC has approved 14 programs. Approximately 80% of the \$6.4 billion has been allocated thus far, resulting in 38 subrecipients that include multiple state and local agencies and non-profit organizations. This number will continue to grow as funding continues to be allocated.

² Fiscal Year 2022 Appropriations Act, L. 2021, c.133; P.L. 2021, c.144; P.L. 2021, c.200; P.L. 2021, c.188; P.L. 2021, c.109; and P.L. 2021, c. 173.

³ Fiscal Year 2023 Appropriations Act, L. 2022 c. 37

As noted above in the General Information section, DRM needs assistance on a near-to-intermediate term basis with the administration of Grants to these numerous and varied programs.

II. SCOPE OF WORK (SOW) REQUIREMENTS

A. Project Description

Category 2 – Financial Auditing and Grant Management

1. Draft up to fifty (50) Memoranda of Understanding (“MOUs”) and Grant Agreements between DCA and other State and Non-State subrecipients and beneficiaries, ensuring compliance with rules and regulations, whether State, CSFRF or 2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards rules and regulations.
2. Assist with eligibility determinations for programs seeking CSFRF funding, ensuring that the proposed activities comply with U.S. Department of the Treasury regulations. Draft up to fifty (50) memoranda documenting the eligibility determinations.
3. Evaluate and suggest workflow / process for the administration of CSFRF funding.
4. Review and approve processes as they relate to disbursements, expenditures and reporting.
5. Review Performance Evaluation Reports (“PERs”) QA/ QC functions associated with program and system reconciliations.
6. Develop the spreadsheets that would set up the accounting for the eventual release of SFRF monies.
7. Create, evaluate, and/or implement project management measures for task prioritization, increased workload, and time sensitive matters to be approved by the DCA.
8. Review the Program’s Budget, included as Exhibit B to DCA’s form of MOUs/ Grant Agreements with State and non-State recipients, make recommendations and iterate with the prospective program staff, as necessary.
9. Assist with the submission of forms and reports to the U.S. Department of the Treasury, pursuant to the ARPA and implementing regulations found here <https://www.govinfo.gov/content/pkg/FR-2022-01-27/pdf/2022-00292.pdf>.
10. Ensure compliance with all applicable Federal and State accounting and financial reporting requirements, whether as a subrecipient or direct beneficiary by reviewing policies and procedures and interview the respective entity.

B. Specific Performance Milestones/Timelines/Standards/Deliverables

DRM and the Integrity Monitor will participate in a kick-off meeting to review the deliverables and due dates in Section C below and establish key personnel for communications during the course of the Engagement within five (5) business days of the date of the Engagement Letter.

All deliverables must be completed within nine (9) months of the issuance of a purchase order to the successful Integrity Monitor.

C. Risk Assessment Summary

D.

N/A to this Engagement Query.

E. Reporting Requirements

1. Monthly Program Reports to DCA

- a. Draft monthly reports, due on the 5th day of each month, that include process improvement suggestions and flags potential problems with specific programs, as they may relate to compliance or document reviews.
- b. With the submission of a payment invoice (or on a monthly basis), the IM shall provide a written report including, at a minimum:
 - Hours billed for each consultant corresponding to the components of the scope of work; and
 - Indications of fraud, waste, or abuse that should be immediately addressed by the Using Agency with recommendations for risk mitigation.

2. Quarterly Integrity Monitor Reports

- a. Pursuant to E.O. 166, the Integrity Monitor shall submit a draft quarterly report to the Using Agency on the last day of every calendar quarter detailing the specific services rendered during the quarter and any findings of waste, fraud, or abuse. If the Integrity Monitor report contains findings of waste, fraud or abuse, the Using Agency has an opportunity to respond within 15 days after receipt.
- b. Fifteen business days after each quarter-end, the Integrity Monitor shall deliver its final quarterly report, including any comments from the Using Agency, to the State Treasurer, who shall share the reports with the GDRO, the Senate President, the Speaker of the General Assembly, the Attorney General, and the State Comptroller. The Integrity Monitor quarterly reports will be posted on the COVID-19 transparency website pursuant to E.O. 166.

3. Final Report

At the completion of the Engagement, the IM shall submit a Project Completion Report, including at a minimum, scope of Engagement and methodology, documentation of work performed, summary of findings, and recommendations to mitigate the risk of fraud, waste, and abuse in the Program or future Programs.

4. Additional Reports

E.O. 166 directs the Office of the State Comptroller, (OSC) to oversee the work of Integrity Monitors. Therefore, in accordance with E.O. 166 and the IOM Guidelines, OSC may request that the Integrity Monitor issue additional reports or prepare memoranda that will assist OSC in evaluating whether there is waste, fraud, or abuse in COVID-19 Recovery Programs administered by the Using Agencies. OSC may also request that the Integrity Monitor share any corrective action plan(s) prepared by the Using Agencies to evaluate whether those corrective plan(s) have been successfully implemented.

5. Reports of Waste, Fraud, Abuse, or Potential Criminal Conduct

- a. The Integrity Monitor shall report issues of waste, fraud, abuse and misuse of COVID-19 Recovery Funds immediately to the GDRO, OSC, the State Treasurer, the State Contract Manager, and the Accountability Officer. The Integrity Monitor shall report issues of potential criminal conduct immediately to the Office of the Attorney General.

III. Proposal Content:

At minimum, the Integrity Monitor's proposal shall include the following:

1. A description of how the Integrity Monitor intends to accomplish each component of the scope of work in Section II above, including a timeline for submission of the deliverables required by this Engagement Query.
2. A detailed budget identifying staff classifications and hourly rates that shall not exceed the rates in the Integrity Monitor's Best and Final Offer (BAFO) Price Schedule using the Price Sheet attached to this Engagement Query.
3. Identification of any potential conflicts of interest regarding the delivery of services for the scope of work under this Engagement Query.
4. A list of existing Engagements under G4018 with other State agencies, along with the commencement and expiration dates of the Engagement.

IV. Submission of Proposals:

Detailed proposals in response to this Engagement Query shall be submitted electronically by 3:00 p.m. on February 17, 2023. Proposals must be submitted via email as set forth below:

TO: State Contract Manager
Mona Cartwright, Fiscal Manager, Department of the Treasury
[REDACTED]

With a copy to the Agency Contract Manager: Elizabeth Mackay, Chief Officer Legal Affairs,
Division of Disaster Recovery and Mitigation, DCA: [REDACTED]

V. Duration of the Engagement:

The Engagement will commence upon the issuance of a Letter of Engagement and expire nine (9) months after issuance of a purchase order to the successful Integrity Monitor. At the option of the DCA, this Letter of Engagement may be extended. Any extension to this Letter of Engagement, however, may not exceed the Contract Term, and any extensions thereto, as set forth in Section 5.2 of the IOM RFQ,

VI. CONTRACT TERMINATION

The IOM's failure to comply with the requirements of the Engagement, including but not limited to E.O. 166, the IOM RFQ, the IOM Guidelines and this Engagement Query may constitute a breach of contract and may result in termination of the contract by the Using Agency or imposition of such other remedy as the Using Agency deems appropriate in accordance with Section 9.0 of the RFQ.

VII. LIQUIDATED DAMAGES

At the DRM's option, liquidated damages may be assessed each time any of the below events occur, due to an act or omission of the IOM. The DRM and the IOM agree that it would be extremely difficult to determine actual damages that DRM will sustain as the result of the IOM's failure to meet its contractual requirements. Any breach by the IOM could prevent the DRM from complying with E.O. 166, the IOM Guidelines, and laws applicable to the use and expenditure of COVID-19 Recovery Funds and other public funds; will adversely impact DRM's ability to ensure identification and mitigation of risks; and may lead to damages suffered by DRM and the State as a whole. If the IOM fails to meet its contractual obligations, DRM may assess liquidated damages against IOM as follows:

DRM has the sole discretion to determine whether liquidated damages should be assessed.

Assessment of liquidated damages shall be in addition to, and not in lieu of, such other remedies as may be available to DRM and the State of New Jersey. Except and to the extent expressly provided herein, DRM shall be entitled to recover liquidated damages under each section applicable to any given incident.

The following table defines DRM's performance standards for the Integrity Monitor's Scope of Work:

Reference	Standard	Liquidated Damages
Section II(D)(1)(a)	Pursuant to E.O. 166, the Integrity Monitor shall submit a draft quarterly report to the DRM on the last day of every calendar quarter detailing the specific services rendered during the quarter. If the Integrity Monitor report contains findings of waste, fraud or abuse, DRM has an opportunity to respond within 15 days after receipt.	\$250 per day for each day a draft quarterly report is delayed.

Section II(D)(1)(b)	Fifteen business days after each quarter-end, the Integrity Monitor shall deliver its final quarterly report, including any comments from DRM, to the State Treasurer, who shall share the reports with the GDRO, the Senate President, the Speaker of the General Assembly, the Attorney General, and the State Comptroller. The Integrity Monitor quarterly reports will be posted on the COVID-19 transparency website pursuant to E.O. 166.	\$250 per day for each day a final quarterly report is delayed.
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VIII. Questions regarding this Engagement Query :

Any questions related to the Scope of Work must be submitted electronically by 3:00 p.m. on **February 3, 2023**. They must be submitted via email to Agency Contract Manager, Elizabeth Mackay, [REDACTED] with a copy to the State Contract Manager; Mona Cartwright [REDACTED].

IX. Selection Process

The Agency Contract Manager will review the proposal(s) received and select the Integrity Monitor whose proposal is most advantageous, price and other factors considered, including:

- The qualifications and experience of the personnel assigned to this Engagement;
- The experience of the IM in engagements of a similar size and scope; and
- The ability of the IM to complete the scope of work based on the proposed personnel/staff classifications and hours allocated to tasks in its proposal.

The State Contract Manager will then issue a Letter of Engagement with a "not to exceed" clause to the selected proposer

DCA may request a Best and Final Offer from Integrity Monitors that responded to the Engagement Query.

Prior to issuing a Letter of Engagement, the Agency Contract Manager in consultation with the Accountability Officer, will independently determine whether the proposed Integrity Monitor has any potential conflicts with the Engagement.

ATTACHMENTS

Attachment 1: Quarterly Report Template

Attachment 2: Memorandum of Understanding between the Treasurer of the State of New Jersey and the New Jersey Department of Community Affairs for American Rescue Plan Act-Coronavirus State Fiscal Recovery Funds Grant Management

Notice of Executive Order 166 Requirement for Posting of Winning Proposal and Contract Documents

Pursuant to Executive Order No. 166, signed by Governor Murphy on July 17, 2020, the Office of the State Comptroller ("OSC") is required to make all approved State contracts for the allocation and expenditure of COVID-19 Recovery Funds available to the public by posting such contracts on an appropriate State website. Such contracts will be posted on the New Jersey transparency website developed by the Governor's Disaster Recovery Office (GDRO Transparency Website). The Letter of Engagement resulting from this Engagement Query is subject to the requirements of Executive Order No. 166. Accordingly, the OSC will post a copy of the Letter of Engagement, including the Engagement Query, the winning proposer's proposal and other related contract documents for the above contract on the GDRO Transparency website.

In submitting its proposal, a proposer may designate specific information as not subject to disclosure. However, such proposer must have a good faith legal or factual basis to assert that such designated portions of its proposal: (i) are proprietary and confidential financial or commercial information or trade secrets; or (ii) must not be disclosed to protect the personal privacy of an identified individual. The location in the proposal of any such designation should be clearly stated in a cover letter, and a redacted copy of the proposal should be provided. A Proposer's failure to designate such information as confidential in submitting a proposal shall result in waiver of such claim.

The State reserves the right to make the determination regarding what is proprietary or confidential and will advise the winning proposer accordingly. The State will not honor any attempt by a winning proposer to designate its entire proposal as proprietary or confidential and will not honor a claim of copyright protection for an entire proposal. In the event of any challenge to the winning proposer's assertion of confidentiality with which the State does not concur, proposer shall be solely responsible for defending its designation.

**Integrity Monitor Report
Categories 1 and 2**

Integrity Monitor Firm Name:	[Type Here]
Integrity Monitor Category (1 or 2):	[Type Here]
Quarter Ending:	[MM/DD/YYYY]
Expected Engagement End Date:	[MM/DD/YYYY]

A. General Information

1. Recovery Program Participant:

[Type Here]

2. Federal Funding Source (e.g. CARES, HUD, FEMA, ARPA):

[Type Here]

3. State Funding Source (if applicable):

[Type Here]

4. Deadline for Use of State or Federal Funding by Recovery Program Participant:

[Type Here]

5. Accountability Officer:

[Type Here]

6. Program(s) under Review/Subject to Engagement:

[Type Here]

7. Brief Description, Purpose, and Rationale of Integrity Monitor Project/Program:

[Type Here]

8. Amount Allocated to Program(s) under Review/Subject to Engagement:

[Type Here]

**Integrity Monitor Report
Categories 1 and 2**

9. Amount Expended by Recovery Program Participant to Date on Program(s) under Review/Subject to Engagement:

[Type Here]

10. Amount Provided to Other State or Local Entities:

[Type Here]

11. Completion Status of Program (e.g. planning phase, application review, post-payment):

[Type Here]

12. Completion Status of Integrity Monitor Engagement:

[Type Here]

B. Monitoring Activities

13. Description of the services provided to the Recovery Program Participant during the quarter (i.e. activities conducted, such as meetings, document review, staff training, etc.):

- a) IM Response

[Type Here]

- b) Recovery Program Participant Comments

[Type Here]

14. Description of activities to prevent, detect, and remediate waste, fraud, and/or abuse during the quarter:

- a) IM Response

[Type Here]

- b) Recovery Program Participant Comments

**Integrity Monitor Report
Categories 1 and 2**

[Type Here]

15. General description of any findings of waste, fraud, or abuse:

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

C. Miscellaneous

16. List of hours (by employee) and expenses incurred to perform quarterly integrity monitoring review:

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

Name of Integrity Monitor:	[Type Here]
Name of Report Preparer:	[Type Here]
Signature:	[Sign Here]
Date:	[MM/DD/YYYY]

**MEMORANDUM OF UNDERSTANDING
BETWEEN
THE TREASURER OF THE STATE OF NEW JERSEY
AND
THE NEW JERSEY DEPARTMENT OF COMMUNITY AFFAIRS
FOR
AMERICAN RESCUE PLAN ACT – CORONAVIRUS STATE FISCAL RECOVERY
FUND GRANTS MANAGEMENT**

This **MEMORANDUM OF UNDERSTANDING** (“MOU”) is made by and between the Treasurer (“Treasurer”) of the State of New Jersey (the “State”) and the New Jersey Department of Community Affairs (“DCA”), an instrumentality of the State, to administer approved project funds in accordance with memorandums of understanding (collectively, the “Agency MOUs”) between DCA and various State departments, agencies and independent authorities (collectively, the “State Entities”) for the disbursement of monies from the American Rescue Plan Act – Coronavirus State Fiscal Recovery Fund (“CSFRF Fund”). DCA and the Treasurer may sometimes hereinafter be collectively referred to as the “Parties” and individually as a “Party.”

PREAMBLES

WHEREAS, due to the increase in the number of novel coronavirus (“COVID-19”) cases in New Jersey, the surrounding region and across the globe, the Governor of the State of New Jersey issued Executive Order No. 103 declaring a public health emergency and a state of emergency in the State of New Jersey (the “State”) on March 9, 2020, allowing for certain executive actions to respond to the increasing amount of COVID-19 cases in the State; and

WHEREAS, on March 11, 2020, the World Health Organization declared the COVID-19 outbreak a global pandemic (the “COVID-19 Pandemic”) and on March 13, 2020, the President of the United States declared a national state of emergency; and

WHEREAS, in response to the COVID-19 Pandemic, Congress enacted a series of laws to address the impacts of the COVID-19 Pandemic; and

WHEREAS, Congress enacted the “American Rescue Plan Act of 2021” P.L. 117-2 (the “ARP Act”); and

WHEREAS, as part of the ARP Act, Congress at subtitle M of the ARP Act, amended Title VI of the Social Security Act (42 U.S.C. 801 et seq.) by adding Sections 602 and 603 to create the “Coronavirus State Fiscal Recovery Fund;” and

WHEREAS, monies from the Coronavirus State Fiscal Recovery Fund are to be used, generally: (a) to respond to the public health emergency with respect to COVID-19 or its negative economic impacts, including assistance to households, small businesses, and nonprofits, or aid to impacted industries such as tourism, travel, and hospitality; (b) to respond to workers performing essential work during the COVID-19 public health emergency by providing premium pay to eligible workers of the State that are performing such essential work, or by providing grants to eligible

workers who perform essential work; (c) for the provision of government services to the extent of the reduction in revenue of the State due to the COVID-19 public health emergency relative to revenues collected in the most recent full fiscal year of the State prior to the emergency; or (d) to make necessary investments in water, sewer, or broadband infrastructure; and

WHEREAS, in Fiscal Year 2021, the State received \$6,244,537,955.50 from the Coronavirus State Fiscal Recovery Fund under the ARP Act (the “CSFRF Funds”), which monies must be used in conformance with the requirements of the ARP Act; and

WHEREAS, DCA was the applicant for the State for the CSFRF Funds; and

WHEREAS, the CSFRF Funds reside in an account in the custody of the Treasurer; and

WHEREAS, the CSFRF Funds shall be accounted for within the New Jersey Comprehensive Financial System (“NJCFS”), which serves as the State’s official financial management system of record for audit purposes; and

WHEREAS, appropriations for the CSFRF Funds have been made pursuant to: (1) the Fiscal Year 2022 Appropriations Act, L. 2022, c. 133, as amended (the “FY 2022 Appropriations Act”), monies received from the federal government pursuant to a federal economic stimulus bill are appropriated to the applicable State entity to be spent on the purposes authorized by the federal economic stimulus bill; or (2) stand-alone acts establishing various different programs to be funded by monies from the federal government pursuant to a federal economic stimulus bill and appropriating the CSFRF Funds ; and

WHEREAS, pursuant to N.J.S.A. 52:14-2, whenever in carrying out the work of a department, the services or expertise of a department or the use of any special apparatus or equipment is desired for which a department is not equipped, a department may request the assistance of another department which may have the needed expertise, apparatus or equipment to meet the needs of the requesting department; and

WHEREAS, DCA is entering into the Agency MOUs with the State Entities to allocate the CSFRF Funds to these State Entities to carry out COVID-19 recovery initiatives as permitted by the ARP Act (the “CSFRF Fund Programs”); and

WHEREAS, the State Entities shall enter into agreements (the “Subrecipient Agreements”) with eligible parties (the “Subrecipients”) in accordance with the Agency MOUs, the ARP Act, the Uniform Guidance (2 CRF Part 200), and other applicable guidance, which Subrecipient Agreements shall be provided to DCA; and

WHEREAS, pursuant to the Agency MOUs, the State Entities must ensure that the CSFRF Funds are obligated by Subrecipients between March 3, 2021 and December 31, 2024; and

WHEREAS, any CSFRF Funds not obligated by December 31, 2024 or not expended by December 31, 2026 to cover such incurred costs must be returned to the United States Department of the Treasury (“U.S. Treasury”); and

WHEREAS, in order to ensure that the CSFRF Funds are distributed properly by the State Entities to the Subrecipients, it is necessary to identify a grants management system for the CSFRF Funds allocated pursuant to the Agency MOUs; and

WHEREAS, DCA utilizes its SIROMS grant management system to track Community Development Block Grant – Disaster Recovery grants that can track State Entity expenditures, and obligations, administer approved grant funds, and track compliance with applicable laws, regulations, guidance and project requirements; and

WHEREAS, DCA will utilize its SIROMS grant management system with respect to the CSFRF Funds, along with DCA's expertise in grants management, to ensure that the State meets its obligations to the U.S. Treasury with respect to the CSFRF Funds; and

WHEREAS, the Parties acknowledge that a grant management function is necessary to effectively manage and administer the CSFRF Funds; and

WHEREAS, it is in the Parties' mutual interests, as well as in the public interest, to have the Parties' respective responsibilities concerning the administration of CSFRF Funds memorialized in a written agreement;

NOW, THEREFORE, the Treasurer and DCA agree as follows:

Section 1. Recitals

1.1 The Preambles are incorporated into this MOU as though set forth herein verbatim.

Section 2. Funding Authority

2.1 The DCA has been designated by the U.S. Treasury as the State's grantee to receive, administer, and disburse CSFRF Funds through the ARP Act.

U.S. Treasury guidance on the eligible uses of ARP Funds is available online at <https://home.treasury.gov/policy-issues/coronavirus/assistance-for-state-local-and-tribal-governments/state-and-local-fiscal-recovery-funds> (the "CSFRF Website").

Any references to ARP Act guidance or eligibility herein refer to those U.S. Treasury ARP Act guidance documents available at the CSFRF Website, the interim rule and the final rule (when available), as well as any updates published or posted by U.S. Treasury, and any other rules, regulations and guidance provided by the U.S. Treasury regarding the ARP Act, and the various federal laws, regulations and executive orders which must be complied with regarding CSFRF Funds (see Attachment A) (collectively, the "Federal Requirements").

Section 3. Treasurer Responsibilities

3.1 Subject to the terms and conditions of this MOU, the Treasurer, as custodian of the account in which the CSFRF Funds are on deposit, shall cause the Director of the Office of Management

and Budget in Treasury (the “OMB Director”) to make available to DCA the necessary allocation of funds to spending accounts in accordance with the Agency MOUs.

3.2 The Treasurer shall provide ongoing cash management of the CSFRF Funds, ensure funds are allocated to appropriate spending accounts based on fully supported requests for funds from DCA, and assist DCA, to the extent necessary, with respect to financial reporting and federal Single Audit requirements available at https://www.nj.gov/infobank/circular/cir1508_omb.pdf, and, per the Uniform Guidance, 2 C.F.R. Part 200, Subpart F (2 C.F.R. § 200.500 et seq.) available at <https://www.ojp.gov/sites/g/files/xyckuh241/files/media/document/wheretofindpart200cfr.pdf>.

3.3 The Treasurer shall delineate for DCA the process pursuant to which DCA will request transfers of CSFRF Funds for eligible purposes.

Section 4. DCA Responsibilities

4.1 DCA will timely submit requests to the OMB Director for transfers of CSFRF Funds for approved and eligible programs and expenses in a form and format as set forth by the OMB Director.

4.2 DCA shall administer and disburse approved project funds upon State Entity proof that established benchmarks have been met and that expenditures are necessary and reasonable. Such State Entity proof may be established through uploading supporting documentation as described in the project (i.e., spreadsheets, receipts, permits, contracts, staffing hours, etc.) or reporting metrics and data into SIROMS in accordance with the respective Agency MOU.

4.3 DCA shall oversee the \$150,000,000 allocation for administrative expenses to cover all CSFRF Fund Programs, as authorized by the FY 2022 Appropriations Act, and, therefore, DCA may determine the disbursement of CSFRF Funds for administrative expenses for a CSFRF Fund Program based on need and the availability of funds, up to 2.5% of the total cost of a CSFRF Fund Program.

4.4 DCA shall disburse CSFRF Funds to State Entities in tranches that equal 25% of the entire award, unless a different disbursement schedule is appropriate given the characteristics of a specific project.

4.5 DCA shall use its best efforts to modify, if necessary, the SIROMS platform to manage and administer CSFRF Funds.

4.6 DCA shall provide grant management functions and processes necessary to administer, manage, and monitor State Entity grant awards and disburse funds accordingly. Such functions may include, among other things, creating the SIROMS accounts for specific projects, collecting and maintaining documentation necessary to monitor the projects, monitoring project progress and disbursing approved funds.

4.7 DCA shall implement a system of internal controls and monitoring procedures to ensure that the CSFRF Funds allocated pursuant to the Agency MOUs are managed and administered in

compliance with applicable laws and guidance, including, but not limited to 2 C.F.R. Part 200 requirements. DCA will assist with State Entities' compliance requirements related to Executive Order No. 166 (Murphy 2020) ("EO 166") including, but not limited to procedures to follow-up with State Entities to confirm that any concerns or findings reported by the integrity monitors are addressed.

4.8 DCA shall implement a system of internal controls and monitoring procedures to ensure that the CSFRF Funds allocated pursuant to agreements between DCA and non-State entities are managed and administered in compliance with applicable laws and guidance, including, but not limited to 2 C.F.R. Part 200 requirements. DCA will assist with the non-State Entities' compliance requirements related to EO 166 including, but not limited to procedures to follow-up with non-State Entities to confirm that any concerns or findings reported by the integrity monitors are addressed.

4.9 DCA shall develop program dashboards to be shared with Treasury and the Governor's Disaster Recovery Office as needed.

4.10 DCA shall provide additional reports to Treasury when requested.

4.11 DCA shall seek to recover any unused grant funds from the State Entities and Subrecipients. DCA shall adopt and implement procedures to seek the recovery of any grant funds that may result from any federal and State audit, investigatory or regulatory determinations.

4.12 DCA shall maintain records for the period set forth in the State General Retention Schedule or seven (7) years for federal grants. Non-federal entities not subject to State records retention requirements shall maintain records for the period set forth in 2 C.F.R. § 200.333. DCA shall give State and Federal agencies the right to examine records and documents related to use of the funds it receives pursuant to this MOU. Records will be provided by DCA upon request.

4.13 In compliance with the Federal Requirements and/or U.S. Treasury Office of Inspector General ARP Act requirements, DCA will submit information and data on any ARP Act expenditures into federal reporting systems on a timely basis.

4.14 DCA will submit a budget of expected grant administration costs to the Treasurer, attached hereto as Attachment B and will maintain documentation justifying actual eligible grant administrative costs related to this MOU. As grant administrative costs will vary dependent upon the various CSFRF Fund Programs and the related compliance needs thereto, DCA will provide the Treasurer with updates to the budget of grant administration costs as necessary.

4.15 DCA will comply with all ARP Act requirements and applicable Federal Requirements and all law and guidance from DCA, the U.S. Treasury and the State with respect to CSFRF Funds.

4.16 DCA shall participate in developing and implementing a compliance program to ensure the CSFRF Funds are managed in accordance with applicable laws, regulations and guidelines, including but not limited to any applicable provisions of the Uniform Guidance (2 C.F.R. Part 200, EO 166, and the New Jersey Office of the State Comptroller's Compliance and Integrity Oversight Monitoring Plans.

Section 5. General Provisions

5.1 Termination and Amendments. This MOU may be modified or extended only by prior written agreement by the Parties. This MOU may be terminated by either DCA or the Treasurer upon thirty (30) days prior written notice to the other Party.

5.2 The Effective Date of this MOU shall be the later of the date executed by the Parties below and shall continue until March 31, 2027.

5.3 This MOU is being entered into for the sole purpose of evidencing the mutual understanding and intention of the Parties.

5.4 There are no third-party beneficiaries of this MOU.

5.5 The Treasurer and DCA shall retain all the powers, obligations and immunities provided by law.

5.6 The Parties acknowledge that the successful completion of each Party's duties hereunder will require cooperation between the Parties. The Parties agree to work cooperatively to achieve the goals of this MOU.

5.7 The Parties agree that the execution of this MOU by electronic signature and/or by exchanging PDF signatures will have the same legal force and effect as the exchange of original signatures.

[The remainder of this page is intentionally left blank.]

SIGNATURES

The terms of this MOU have been read and understood by the persons whose signatures appear below, and shall become effective upon execution by all Parties.

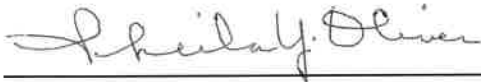
Treasurer of the State of New Jersey



By: Elizabeth Maher Muoio

Dated: 7/22/2021

New Jersey Department of Community Affairs



By: Sheila Y. Oliver, Lieutenant Governor &
Commissioner, Department of Community Affairs

Dated: 7/16/2021

ATTACHMENT A

DCA will comply with the provisions of the following federal statutes, rules, and regulations in connection with the American Rescue Plan Act – Coronavirus State Fiscal Recovery Fund:

A. Federal regulations applicable include, without limitation, the following:

1. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. Part 200, other than such provisions as U.S. Treasury may determine are inapplicable to this Award and subject to such exceptions as may be otherwise provided by U.S. Treasury. Subpart F – Audit Requirements of the Uniform Guidance, implementing the Single Audit Act, shall apply to this award. See <https://home.treasury.gov/policy-issues/coronavirus/assistance-for-state-local-and-tribal-governments/state-and-local-fiscal-recovery-funds/recipient-compliance-and-reporting-responsibilities>
2. Universal Identifier and System for Award Management (SAM), 2 C.F.R. Part 25, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 25 is hereby incorporated by reference.
3. Reporting Subaward and Executive Compensation Information, 2 C.F.R. Part 170, pursuant to which the award term set forth in Appendix A to 2 C.F.R. Part 170 is hereby incorporated by reference.
4. OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement), 2 C.F.R. Part 180, including the requirement to include a term or condition in all lower tier covered transactions (contracts and subcontracts described in 2 C.F.R. Part 180, subpart B) that the award is subject to 2 C.F.R. Part 180 and U.S. Treasury's implementing regulation at 31 C.F.R. Part 19.
5. Recipient Integrity and Performance Matters, pursuant to which the award term set forth in 2 C.F.R. Part 200, Appendix XII to Part 200 is hereby incorporated by reference.
6. Government-wide Requirements for Drug-Free Workplace, 31 C.F.R. Part 20.
7. New Restrictions on Lobbying, 31 C.F.R. Part 21.
8. Executive Order 13985 On Advancing Racial Equity and Support for Underserved Communities Through the Federal Government (January 20, 2021).
9. Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. §§ 4601-4655) and implementing regulations.
10. Generally applicable federal environmental laws and regulations.

B. Statutes and regulations prohibiting discrimination applicable include, without limitation, the following:

1. Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§ 2000d et seq.) and U.S. Treasury's implementing regulations at 31 C.F.R. Part 22, which prohibit discrimination on the basis of race, color, or national origin under programs or activities receiving federal financial assistance. The following language must be included in every contract or agreement subject to Title VI and its regulations between the Recipient and the Recipient's sub-grantees, contractors, subcontractors, successors, transferees and assignees:

The sub-grantee, contractor, subcontractor, successor, transferee, and assignees shall comply with Title VI of the Civil Rights Act of 1964, which prohibits recipients of federal financial assistance from excluding from a program or activity, denying benefits of, or otherwise discriminating against a person on the basis of race, color, or national origin (42 U.S.C. § 2000d et seq.), as implemented by the U.S. Treasury's Title VI regulations, 31 CFR Part 22, which are herein incorporated by reference and made a part of this contract (or agreement). Title VI also includes protection to persons with "Limited English Proficiency" in any program or activity receiving federal financial assistance, 42 U.S.C. § 2000d et seq., as implemented by the U.S. Treasury's Title VI regulations, 31 CFR Part 22, and herein incorporated by reference and made a part of this contract or agreement.

2. The Fair Housing Act, Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), which prohibits discrimination in housing on the basis of race, color, religion, national origin, sex, familial status, or disability.
3. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of disability under any program or activity receiving federal financial assistance.
4. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101 et seq.), and U.S. Treasury's implementing regulations at 31 C.F.R. Part 23, which prohibit discrimination on the basis of age in programs or activities receiving federal financial assistance.
5. Title II of the Americans with Disabilities Act of 1990, as amended (42 U.S.C. §§ 12101 et seq.), which prohibits discrimination on the basis of disability under programs, activities, and services provided or made available by state and local governments or instrumentalities or agencies thereto.

C. Federal Labor Standards

1. The Davis-Bacon Act, as amended (40 U.S.C. §3141 et seq.). The Davis-Bacon Act does not apply to construction contracts at or below \$2,000 (arbitrarily separating a project into contracts below \$2,000 is not permitted), and the prevailing wage rate provisions of the Act do not apply to rehabilitation or construction of residential property containing less than eight units;

2. The Contract Work Hours and Safety Standards Act (40 U.S.C. §3701 et seq.), requiring that mechanics and laborers (including watchmen and guards) employed on federally assisted contracts of \$100,000 or greater be paid wages of not less than one and one-half times their basic wage rates for all hours worked in excess of forty in a work-week;
3. The Federal Fair Labor Standards Act (29 U.S.C. 201 et seq.), requiring that covered nonexempt employees be paid at least the minimum prescribed wage, and also that they be paid one and one-half times their basic wage rate for all hours worked in excess of the prescribed work-week;
4. The Copeland "Anti-Kickback" Act (18 U.S.C. 874), as supplemented in Department of Labor regulations (29 CFR 3), which requires payment of wages once a week and allows only permissible payroll deductions.

D. Other State and federal laws applicable include, but are not limited to, the following:

1. The Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limits certain political activities of State or local government employees whose principal employment is in connection with an activity financed in whole or in part by this federal assistance.
2. State of New Jersey Executive Order No. 215 (Kean 1989), requiring environmental assessments or environmental impact statements to the extent applicable for major construction projects.
3. (a) In accordance with 41 U.S.C. § 4712, DCA may not discharge, demote, or otherwise discriminate against an employee in reprisal for disclosing to any of the list of persons or entities provided below, information that the employee reasonably believes is evidence of gross mismanagement of a federal contract or grant, a gross waste of federal funds, an abuse of authority relating to a federal contract or grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal contract (including the competition for or negotiation of a contract) or grant.

 (b) The list of persons and entities referenced in the paragraph above includes the following:
 - a. A member of Congress or a representative of a committee of Congress;
 - b. An Inspector General;
 - c. The Government Accountability Office;
 - d. A Treasury employee responsible for contract or grant oversight or management;
 - e. An authorized official of the U.S. Department of Justice or other law enforcement agency;
 - f. A court or grand jury; or
 - g. A management official or other employee of DCA, contractor, or subcontractor who has the responsibility to investigate, discover, or address misconduct.
- (c) DCA shall inform its employees in writing of the rights and remedies provided under this section, in the predominant native language of the workforce.
4. Contracting with Small, Minority-owned, Women-owned and Veteran-owned Businesses, and Labor Surplus Area Firms.

(a) DCA shall take all necessary affirmative steps to ensure contracting opportunities are provided to small, minority-owned, woman-owned, and veteran-owned businesses, and labor surplus area firms. As used in this contract, the terms “minority-owned business,” “women-owned business,” and “veteran-owned business” means a business that is at least fifty-one percent (51%) owned and controlled by minority group members, women or veterans. For purposes of this definition, “minority group members” are African-Americans, Spanish-speaking, Spanish surnamed or Spanish-heritage Americans, Asian-Americans, and Native Americans. DCA may rely on written representations by businesses regarding their status as minority, women and veteran businesses in lieu of an independent investigation.

(b) Affirmative steps shall include:

- a. Placing qualified small and minority-, veteran- and women-owned businesses on solicitation lists;
- b. Ensuring that small and minority-, veteran- and women-owned businesses are solicited whenever they are potential sources for goods and/or services required in furtherance of the Agreement;
- c. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority-, veteran- and women-owned businesses;
- d. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority-, veteran- and women-owned businesses;
- e. Using the service and assistance, as appropriate, of such organizations as the Small Business Administration and the Minority Business Development Agency of the U.S. Department of Commerce; and
- f. Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in subparagraphs (a) through (e) of this section.

E. Increasing Seat Belt Use in the United States.

1. Pursuant to Executive Order 13043, 62 FR 19217 (Apr. 18, 1997), DCA should encourage its contractors to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented or personally owned vehicles.

F. Reducing Text Messaging When Driving

1. Pursuant to Executive Order 13513, 74 FR 51225 (Oct. 6, 2009), DCA should encourage its employees, subrecipients, and contractors to adopt and enforce policies that ban text messaging while driving, and DCA should establish workplace safety policies to decrease accidents caused by distracted drivers.

G. Personally Identifiable Information

1. To the extent DCA receives personally identifiable information, it will comply with the Privacy Act of 1974 and U.S. Treasury rules and regulations related to the protection of personally identifiable information. The term “personally identifiable information” refers to information which can be used to distinguish or trace an individual’s identity, such as their name, social

security number, biometric records, etc., either alone or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc. See 2 CFR 200.79. Subrecipients shall require all persons that have access to personally identifiable information (including subcontractors/subconsultants and their employees) to sign a Non-Disclosure Agreement.

H. Conflicts of Interest.

1. DCA must maintain a conflict of interest policy consistent with 2 C.F.R. § 200.318(c) and that such conflict of interest policy is applicable to each activity funded with CSFRF Funds.
2. DCA and any grantees or subrecipients must disclose in writing to U.S. Treasury or DCA, as appropriate, any potential conflict of interest affecting the CSFRF Funds in accordance with 2 C.F.R. § 200.112.

I. American Rescue Plan Act

1. Sections 602 and 603 of the Social Security Act, as added in Section 9901 of the American Rescue Plan Act (Pub. L. 117-2).
2. Implementing regulations adopted by U.S. Treasury pursuant to Section 602(f) of the Social Security Act, as added in Section 9901 of the American Rescue Plan Act (Pub. L. 117-2).

ATTACHMENT B

DCA Administrative Expenses Budget

American Rescue Plan Division of Disaster and Recovery DCA Administrative Budget
Expenditure Category:
7: Administrative
7.1 Administrative Expenses

Budget Expenditure Categories:

1. Salaries	\$17,653,000
2. Related Benefits	9,400,000
3. IT/Telecom	947,000
4. Operating Supplies & Services	500,00
5. Contracts/Professional Services	21,500,000
6. Total Admin Costs (add lines 1-5)	<u>\$50,000,000</u>

Vander Weele Group^{LLC}

A New Jersey Certified Woman-Owned Business Enterprise

Response to:

**New Jersey Department of
Community Affairs
Category Two Financial Auditing
and Grant Management**

**Response to Engagement Query under
Contract G4018 - Integrity Oversight
Monitoring: Program and Performance
Monitoring, Financial Monitoring and
Grant Management and Anti-Fraud
Monitoring for COVID-19 Recovery
Funds and Programs**

Presented by:

Vander Weele Group^{LLC}

February 23, 2023



February 23, 2023

Mona Cartwright, State Contract Manager and Fiscal Manager
New Jersey Department of the Treasury
TreasuryIM@treas.nj.gov

Elizabeth Mackay, Agency Contract Manager
New Jersey Department of Community Affairs
[REDACTED]

Dear Ms. Cartwright and Ms. Mackay,

The Vander Weele Group^{LLC} is pleased to present this proposal to the New Jersey Department of Community Affairs (NJDCA) to provide services under Category 2: Financial Auditing and Grant Management.

The Vander Weele Group—a nearly 20-year-old niche firm specializing in grants oversight—offers a powerful team with nationwide expertise in Federal grants to assist the NJDCA in administering grants to the programs receiving Coronavirus State Fiscal Recovery Funds (CSFRF) funds. We are a certified New Jersey Woman-Owned Business Enterprise (WBE), a Federally certified Woman-Owned Small Business (WOSB), and a Disadvantaged Business Enterprise (DBE).

We have provided Federal grants oversight and related services in 25 states. Currently, we are monitoring nearly \$3.6 billion of COVID relief funding in the State of Illinois. Seven New Jersey agencies, including the NJDCA, have engaged our firm as an Integrity Monitor or a grants consultant. With a team of practitioners well-versed in the challenges of managing government programs, our firm has experience in overseeing federal grant funds for economic recovery, individual assistance, small business assistance, emergency services, education, and other program areas allowable under the U.S. Department of Treasury regulations.

We have experience working with the NJDCA, having recently created a subrecipient monitoring plan that the Division of Recovery and Mitigation (DRM) will use to ensure subrecipients comply with the American Rescue Plan Act and implementing regulations.

On a daily basis, we interpret Federal and local grant requirements and have created a library of resources for requirements of CSFRF and related funding streams, including U.S. Treasury Rules and the Office of Management and Budget (OMB) Uniform Guidance 2 CFR, Part 200. We have developed training modules in grants management and monitoring, including the above requirements and regulations.

We trust this proposal meets your expectations. Thank you for your time and consideration.

Sincerely,

Maribeth Vander Weele, CEO

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I. INTRODUCTION

A. Overview

The Vander Weele Group is pleased to present this proposal to provide grant management services to assist the New Jersey Department of Community Affairs (NJDCA), Division for Disaster Recovery and Mitigation (DRM), in administering grants to programs receiving Coronavirus State Fiscal Recovery Funds (CSFRF) funds. We provide turn-key oversight and compliance solutions for large-scale Federal, state, and local grant programs. As a mission-minded organization, we are passionate about making grants management meaningful and mission-based: focusing oversight on conditions that positively impact the unique needs of local communities. In addition to traditional grants oversight, we offer programmatic and fiscal grants monitoring, and data analytics to detect fraud.

1. Corporate Overview

The Vander Weele Group is a New Jersey certified Woman-Owned Business Enterprise (WBE), a Federally certified Woman-Owned Small Business (WOSB), and a Disadvantaged Business Enterprise (DBE) specializing in grants oversight. We are a mission-minded organization, passionate about providing meaningful oversight and support to programs serving the public interest. A Limited Liability Company incorporated in 2003, our firm was founded by Maribeth Vander Weele, a former member of the Chicago Public Schools turnaround team, a two-time Inspector General, and a noted author. She has overseen grants oversight programs in 25 states, including monitoring nearly \$3.6 billion of COVID-19 relief funds in the State of Illinois.

Our firm's grants experience began in 2006, when we designed and executed a grant-funded Safe Schools programs for the Bureau of Indian Education (BIE) of the U.S. Department of the Interior. In serving the BIE, our firm developed more than 100 sample policies and procedures, manuals, training documents, and related materials. In 2011, we designed a grants monitoring program for the BIE. Called a model for the nation by the U.S. Department of Education, it focused on programmatic effectiveness and later fiscal compliance in 183 Native American schools receiving Federal funds.

Throughout its history, the Vander Weele Group served government clients, Fortune 500 manufacturers, law firms, and other corporate clients with investigative and oversight services, but in 2018, our firm narrowed its corporate strategic vision to focus exclusively on grants oversight. Since then, we have recruited former government program officers with decades of grants experience, built an extensive library of information related to grants management, and developed extensive internal training. Our publicly available resource library is located here: <https://www.vanderweelegroup.com/resources>

We have built customizable software to guide Monitors through the process of gauging allowability, measuring internal controls, and testing compliance not only for COVID-19 Relief funds, but for the *Every Student Succeeds Act* (ESSA), the *Individuals with Disabilities Education Act* (IDEA), the *Carl D. Perkins Career and Technical Education Act*, and other grant funds.

As we continue to deepen our expertise in Federal grants oversight, we look forward to supporting our growing client base in their work to transform lives and uplift communities.

2. Competitive Edge

Vander Weele Group key competencies are as follows:

We understand New Jersey requirements. As an approved and actively working Integrity Monitor, the Vander Weele Group is familiar with New Jersey's framework for applying disaster recovery oversight. Our firm, in conjunction with subcontractor Joseph A. DeLuca Advisory and Consulting Services, LLC (DLA), has performed oversight services of COVID-related grant funds provided through the:

- New Jersey Department of Community Affairs, Division of Disaster Recovery and Mitigation
- New Jersey Department of Environmental Protection (NJDEP)
- New Jersey Department of Labor and Workforce Development (NJDOLE)
- New Jersey Redevelopment Authority (NJRA), and
- New Jersey Department of Treasury, Division of Pensions and Benefits (NJPB).

We have recently been awarded engagements with the New Jersey Department of Education and the New Jersey Bureau of Public Utilities.

We are specialists. Grants compliance with a sub-specialty in fraud prevention is all we do. This permits our recruitment, onboarding, training, software, and business processes to focus on a single goal: to improve grants management and oversight. This singular focus allows us to dive deep into the grants world and continually build on our existing knowledge and experience to provide efficient management and monitoring programs. It permits us to leverage our national expertise to make these programs focus on meaningful standards. Our experts collectively have decades of experience in applying monitoring and financial standards to an array of Federally funded programs.

We are systemized. We have carefully crafted and documented methodologies for every aspect of grants monitoring and management, some of which are embedded in our customized web-enabled grants monitoring software. We work daily with applying the Office of Management and Budget (OMB)'s Uniform Guidance 2 CFR, Part 200 Federal funding requirements to client projects. We have developed risk assessment procedures for prioritizing subrecipients for monitoring, as required by

the Uniform Guidance. We are also immersed in the provisions of the *American Rescue Plan Act (ARPA)*, *Coronavirus Aid, Relief, and Economic Security Act (CARES Act)*, *Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSA)* as well as the U.S. Treasury Interim Final and Final Rules. Finally, we have a solid track record with excellent recommendations from our clients.

We know project management. We approach the engagements we lead in a highly logical and sequenced fashion. We build our training around planning and process, which reduces chaos in service delivery and facilitates excellence and consistency. The logic and structure with which we approach our work is reflected also in well written deliverables. Consistently strong client recommendations and an excellent client retention rate reinforce our assertion. In nearly every instance in which there was an opportunity to do so, our clients over the last decade have renewed our contracts with contract terms as long as seven years.

We are practitioner-driven. Our team consists not only of Certified Public Accountants familiar with internal controls and accounting processes and standards, but also of practitioners who have managed government grant-funded programs. That means we understand the entire life cycle of the grant, from grant application processes to monitoring.

B. Program Background

On March 11, 2021, President Biden signed the *American Rescue Plan Act (ARPA)* of 2021, which provided \$350 billion in emergency funding to eligible state, local, territorial, and tribal governments to support the communities and populations hardest hit by the COVID-19 crisis by providing this much-needed relief to:

- Support urgent COVID-19 response efforts to continue to decrease the spread of the virus and bring the pandemic under control;
- Replace lost public sector revenue to strengthen support for vital public services and help retain jobs;
- Support immediate economic stabilization for households and businesses; and,
- Address systemic public health and economic challenges that have contributed to the unequal impact of the pandemic on certain populations.

The State of New Jersey received an appropriation of \$6.24 billion in recovery funds, which are managed on behalf of the State of New Jersey by the Division for Disaster Recovery and Mitigation of DCA.

C. Program Objectives

As we understand it, the NJDCA DRM is seeking an Integrity Monitor to help determine the eligibility of a variety of programs for CSFRF, help determine the appropriate financial and programmatic reporting requirements, assist with the memorialization of those obligations and monitor expenditures for compliance with the CSFRF

requirements via Memoranda of Understanding or Grant Agreements with State and non-State entities.

It is our understanding that the DRM has been designated by the State as a Grant Manager for the CSFRF funds awarded to the State and, as such, is responsible for overseeing the administration of these funds to numerous and varied programs managed by multiple agencies. We are privileged to offer our services and expertise to assist the DRM in providing oversight and management of these funds.

II. CONFLICTS OF INTEREST

The Vander Weele Group has no conflicts of interest regarding this Engagement Query. We offer an objective, unbiased, and professional perspective.

III. EXISTING ENGAGEMENTS UNDER G4018

Our firm is currently engaged for the following New Jersey state agencies:

Current G4018 Engagements		
New Jersey State Agency	Start Date	Expiration Date
Board of Public Utilities	In process	December 31, 2026
Department of Education	October 7, 2022	June 30, 2024

IV. OUR APPROACH

A. Phase 1: Planning

Upon notification of an award and execution of a written agreement, our team will work with NJDCA DRM to plan and perform our work in three phases as follows:

Phase 1: **Planning**

Phase 2: **Fieldwork**

Phase 3: **Project Reporting**

The following describes proposed engagement activities and how the engagement will be managed to meet the proposed timelines. However, these are subject to discussion and approval from DRM and access to additional information.

1. Project Kickoff Meeting

Within five days of the Engagement Letter being provided to the Vander Weele Group, our engagement team will meet with the DRM. Prior to the scheduled kickoff

meeting, we will send an agenda for the meeting. Tentative agenda items during the kickoff or subsequent bi-weekly meetings will include, but not be limited to:

- Discuss overall engagement expectations and definition of consultant and project success.
- Discuss existing grant application, award, reporting, and reimbursement process.
- Review the preliminary project work plan including project schedules, timelines/due dates, activities, and deliverables.
- Establish key personnel for communications during the course of the engagement.
- Discuss preferred technology systems for engagement collaboration and existing technology.
- Review communication protocols e.g. who is the primary point of contact and who should be copied on communications.
- Review terminology and style preferences (e.g., Federal vs. federal; standard vs. requirement or indicator; Monitor vs. Reviewer or Assessor).
- Review the list of legal authorities.
- Discuss other information, as it arises.

2. Initial Data and Access to Systems

We will request access from DRM key information. Examples include the following:

- Current grant administration plans, processes, tools and templates.
- Previous audits and reviews of work processes, if any.
- Any additional guidance documents with respect to the Federal grants being reviewed. These may include reference manuals, checklists of allowable/non-allowable expenditures for Federal grants, planning guidance documents, etc.
- Legal authorities beyond COVID-19 legislation and regulations such as relevant state laws, policies, procedures, and guidance.
- Any other information and/or systems that DRM recommends we gain access to in order to better facilitate the engagement.

As relevant, we will request policies as they relate to grant accounting, equipment purchases, procurement, credit cards, inventory records, conflicts of interest, time-keeping and payroll records, time and effort reports for Federally funded positions, Personally Identifiable Information (PII), and more.

B. Phase 2: Fieldwork

What follows is our discussion of the fieldwork requested in the Engagement Query.

1. Draft Memoranda of Understanding and Agreements

If privileged to serve the NJDCA DRM, we will draft up to fifty (“50”) Memoranda of Understanding (“MOUs”) and Grant Agreements between NJDCA and other State and Non-State subrecipients and beneficiaries using a DRM-supplied template.

Critical to the efficient and timely processing of these MOUs and Grants Agreements are well thought-out systems for managing:

- the issuance of each document
- communications between the DRM (or its agent i.e. the IM) and each grantee, and
- record retention policies for completed templates.

We will use Microsoft Teams with Microsoft SharePoint or a similar collaboration tool to track each document while the communications are in process and upload the final signed documents in the manner and using the tool that DRM requests. We will daily track the progress of completion, identifying the status of completed vs. uncompleted agreements, and provide DRM access to the tracking dashboard for real-time reports.

2. Determine Eligibility and Ensure Compliance

If privileged to serve the DRM, we will assist the Division in determining the eligibility of programs receiving Coronavirus State Fiscal Recovery Funds (“CSFRF”).

We will draft up to fifty (50) memoranda documenting the eligibility determinations. We will track submission and completion of these documents using the same collaboration tool adopted for managing the grant agreements.

We will conform to the ARPA itself and accompanying guidance, contained in 31 CFR Part 35, the U.S. Treasury’s Final Rule for Coronavirus State and Local Fiscal Recovery Funds (“CSLFRF”). The ARPA adds Section 602 of the *Social Security Act*, which creates the State Fiscal Recovery Fund, and Section 603 of the *Social Security Act*, which creates the Local Fiscal Recovery Fund. The two sections contain substantially similar eligible uses, but differ in what type of entity receives funds under each section.

In general terms, allowable uses of the Fiscal Recovery Funds include:

- Direct Health Care Services such as vaccination programs, medical care, and testing, as well as supports for vulnerable populations to access medical or public health services;

- Health Care Data Collection and Analysis such as contact tracing and public health surveillance (e.g., monitoring case trends, genomic sequencing for variants), and enhancement of public health data systems and other public health responses;
- Health Care Institutional Support such as enhancement to health care capacity, including through alternative care facilities; purchases of personal protective equipment; support for prevention, mitigation, or other services in congregate living facilities (e.g., nursing homes, incarceration settings, homeless shelters, group living facilities), and other settings;
- Housing that includes support for isolation or quarantine;
- Enforcement of public health orders and public communication efforts;
- Capital expenditures and renovations such as ventilation improvements in congregate settings, health care settings, or other key locations and capital investments in public facilities to meet pandemic operational needs, such as physical plant improvements to public hospitals and health clinics or adaptations to public buildings to implement COVID-19 mitigation tactics¹.

Using a “cheat sheet” categorizing and indexing allowable uses, we will follow additional guidance on how funds may be spent contained in the 117-page U.S. Treasury Final Rule.

Expenditures are also guided by the reasonability and allocability requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*.

3. Evaluate and Suggest Administration Processes

We will evaluate and suggest workflow/ processes for the administration of CSFRF funding throughout the life cycle of the grant, which is typically divided into three Phases:

- Pre-Award Phase
- Award Phase
- Post-Award Phase

We will present DRM a list of activities associated with each Phase and identify which activities and associated processes DRM wishes to be reviewed. (Some activities may not require review because DRM is comfortable with the level of effectiveness and efficiency already embedded in the process.) Key components of the grant life cycle include:

Pre-Award Phase

- Program Scope Planning
- Issuance and Publication of the Notice of Funding Opportunity

¹ <https://home.treasury.gov/system/files/136/SLFRPFAQ.pdf>

- Receipt of Grant Applications
- Evaluation of Grant Applications
- Pre-Award Due Diligence
- Notifications of Intent to Award
- Protest Process
- Finalizing of Awardees
- Completion of Grant Agreements

Award Phase

- Welcome and Onboarding of Awardees
- Training of Awardees in the regulatory framework; technical, financial, compliance and reporting requirements; software protocols; fraud-prevention, and related matters
- Making Payments, whether Advance Payments or Reimbursements
- Ongoing Communications with Awardees
- Reporting programmatic and financial progress
- Reporting indicators or actual incidences of fraud

Close-Out Phase

- Close-Out Reporting
- Reconciliation
- Auditing
- Monitoring
- Reporting on grant-purchased inventory
- Record Retention

A key requirement for subrecipients under 2 CFR § 200.303(a) is to establish and maintain effective internal controls over the Federal award that provides reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should comply with guidance in the “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States or the “Internal Control Integrated Framework,” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

As needed, we will inquire about internal controls, ranging from segregation of duties among individuals handling and accounting for grant funds to timely account reconciliations, a critical component for preventing waste, fraud, and abuse.

Review factors will also include process efficiency, process effectiveness, and clarity in communications.

4. Review and Approve Processes

If privileged to serve the DRM, we will review processes as they relate to disbursements, expenditures, and reporting.

Our Certified Public Accountants will work with the DRM Finance Department staff to ensure proper accounting and reporting internal control mechanisms to record, track, and disburse funds according to Federal, state, and local laws and regulations including, but not limited to: the Uniform Guidance; Generally Accepted Accounting Principles; and the State's internal fund(s)-based accounting policies and procedures.

Using appropriate internal controls, ranging from segregation of duties among individuals handling and accounting for grant funds to timely account reconciliations, our team will review processes whereby subrecipients apply for grant reimbursements in accordance with the appropriate standards. For example, we will review the series of checks taken to ensure that funds are eligible for reimbursement before they are disbursed. We will review how the team ensures that expenditures align with the approved grant application and amendments and are allowable under the various legal and regulatory standards. We will inquire how authorized individuals assess whether the expenditures have been subject to the appropriate procurement processes and ensure that the vendor is not debarred.

We will provide guidance on how to establish one or more appeals procedures for disputes regarding amounts awarded, including processes for evaluation of final determinations.

5. Review Performance Evaluation Reports

We will Review Performance Evaluation Reports ("PERs") Quality Assurance / Quality Control functions associated with program and system reconciliations.

2 CFR § 200.332(d) requires following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means. To meet this end, our team will review PERs and reconciliation PERs submitted with PERs required as well as processes related to detecting, following up and rectifying deficiencies.

6. Establish Accounting Processes

If privileged to serve the DRM, our Certified Public Accountants will develop the spreadsheets that set up the accounting for the eventual release of SFRF monies.

We will work with the Finance Department staff to establish proper accounting and reporting internal control mechanisms to record, track, and disburse funds according to Federal, state, and local laws and regulations, specifically 2 CFR §

200.302 (a)(b) *Financial Management*. We will ensure that the accounting systems meet the following required elements:

- Provide for the clear identification of all Federal awards, state awards, and local funds received or expended.
- Enable the preparation of reports required by general and program-specific terms and conditions of the Grantee's awards.
- Allow the tracing of funds to a level of expenditures adequate to establish that such funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal or state award.
- Require each Federal award, state award, and matching fund revenues and expenditures to be accounted for, recorded, and tracked separately by funding source.
- Include classification of expenditures (e.g., personnel, commodities, equipment).
- Permit summaries and reporting of grant revenue and expenditures by specific accounts, programs, budgets, and projects.
- Ensure that funds are not inappropriately co-mingled.
- Prorate expenditures, such as salaries (supported by time and effort documentation), travel, etc., to ensure, when applicable, that they are divided correctly between two or more accounts and that the basis of such division can be substantiated as reasonable and equitable. (This depends on the level in the funding stream at which personnel expenditures are kept.)

Fund-based accounting ensures that distinct funding streams such as grants are segregated and that expenditures are treated consistently and properly categorized in an organization's financial system. An effective system ensures transparency and better management of the organization's costs by producing useful reports of costs by fund and type. Each fund is self-balancing and has a complete set of accounts that show fund assets, liabilities, reserves, fund balances, revenues, and expenditures.

At the heart of fund-based accounting is the chart of accounts, accompanied by financial procedures that explain how revenues and expenditures are coded. To develop or amend an existing chart of accounts, we will begin by identifying expenditure types that are allowable and unallowable under the grant legislation and Federal guidance. We will document any further local restrictions imposed on the funds via Notice of Funding Opportunities, grant applications, or local policies. We will then examine the existing accounting system, chart of accounts, cost pools, documentation, and financial procedures. We will analyze alignment with the State's uniform chart of accounts for local governments or any locally required chart of accounts as well as policies adopted by the DRM and standards promulgated by the Governmental Accounting Standards Board (GASB) such as GASB 34. We will report any gaps or misalignments, propose amendments, and collaborate with DRM to obtain an approved chart of accounts.

Disbursements of funds will be tracked in the financial system through the report function. Selected data can then be uploaded to required Federal reporting portals such as the Federal Financial Report (FFR) system.

7. Develop Project Management Measures

We will create, evaluate, and/or implement project management measures for task prioritization, increased workload, and time sensitive matters to be approved by the DRM.

We will use our internal Resource Planning Tool to compare available resources to necessary tasks. By understanding number of people hours available, we can support DRM in allocating available time to each task, identifying efficiencies, and creating a prioritization matrix to identify and respond to time-sensitive matters. We can use tools such as Microsoft Planner to schedule and track necessary activities.

Having managed engagements for multiple State agencies, we are well accustomed to project management. Our team brings expertise from all angles of an oversight program: from monitoring the front lines of program delivery to managing a government program from behind the scenes. That means we appreciate the complexities and challenges of working in government environments driven by important visions but challenged by obstacles ranging from legacy software to long hiring processes. We have developed an expertise not only in providing and improving the oversight of a program, but also in improving the effectiveness and efficiency of an organization and its programs.

We will examine the DRM's existing processes for managing projects, look for areas to improve efficiency, and create processes to ensure timelines are met, tasks are prioritized appropriately, increased workload is addressed effectively, and time sensitive matters are addressed accordingly. To meet deadlines and deliverables, we typically develop a work plan that addresses each major activity and task, the personnel assigned to each task, administrative procedures, scheduling, and the training curriculum and protocols.

The work plan will visually display project goals, timelines, and metrics for reaching those goals. Once approved by DRM, it will guide project activities going forward. Timely completion will be contingent upon DRM supplying necessary information in a timely manner and on keeping mid-project changes to a minimum.

8. Review Budgets

We will review each Program's Budget, included as Exhibit B to DCA's form of MOUs/ Grant Agreements with State and non-State recipients, and make recommendations. We will work with the prospective program staff, as necessary, to ensure alignment with grant objectives as well as allowability of proposed expenditures under the CSFR rules and those of the Uniform Guidance.

9. Assist with Reporting

We will assist with the submission of forms and reports to the U.S. Department of the Treasury, pursuant to the ARPA and implementing regulations.

The U.S. Treasury has authority to collect information from recipients through requested reports and to modify the requested content for the Interim Report, Project and Expenditure reports, and Recovery Plan Performance reports.

We will examine and recommend changes, if necessary, to DRM policies and procedures for appropriate document retention and reporting in accordance with the Federal Financial Accountability and Transparency ACT (FFATA) and/or the U.S. Department of Treasury's Office of Inspector General. Typical ARPA report data includes:

Quarterly Project and Expenditure Reports

- The types of projects funded
- Financial data, i.e., how much was expended, to date, on each project
- Data on all contracts, grants, and subawards over \$50,000

Annual Recovery Plan Report

- Description of approaches and objectives
- Detailed descriptions of funded projects
- Performance and evidence information
- Description of how equity is being promoted and its frequency

The Vander Weele Group team will provide or assist DRM in providing required reports.

10. Review Policies and Procedures to Ensure Compliance

We will ensure compliance with applicable Federal and State accounting and financial reporting requirements, whether as a subrecipient or direct beneficiary, by reviewing policies and procedures and interviewing the respective entity.

Subject to DRM's approval, possible policies that can be reviewed address the following:

- Accounting of Grant Monies
- Audit Resolution
- Contract Administration
- Conflicts of Interests
- Credit Card Use
- Documenting personnel expenses
- Fraud, Waste and Abuse

- Payroll
- Personally Identifiable Information (PII) policies.
- Procurement or Equipment, Supplies and Materials
- Retention of Records for appropriate document retention and reporting with the Federal Financial Accountability and Transparency Act (FFATA) and/or Treasury Office of Inspector General.
- Timekeeping, including Time and Effort reporting for federally funded positions
- Travel
- Vendor Payments

For equipment purchased, we will inquire about policies governing inventory systems, to ensure they document:

- A description of the property.
- A serial number and other identification numbers such as bar codes.
- The source of the property.
- The title holder.
- The acquisition date and cost of property.
- The percentage of state/Federal participation in the cost of the property.
- The location, use, and condition of the property.
- Any ultimate disposition date, including the date of disposal and sale price of the property.

C. Phase 3: Reporting

We will provide reports to DRM in accordance with the requirements stated in the Engagement Query. Monthly reports, due on the fifth day of each month will cover, at a minimum, process improvement suggestions and flag potential problems with specific programs, as they may relate to compliance or document reviews. We will also make schedules, status reports, and draft and completed reports available to NJDCA.

With the submission of each monthly invoice, we will submit hours billed for each consultant corresponding to the components of the scope of work. Indications of fraud, waste, or abuse will be immediately addressed with recommendations for risk mitigation.

Pursuant to E.O. 166, we will submit a draft quarterly report to the DRM on the last day of every calendar quarter detailing the specific services rendered during the quarter and any findings of waste, fraud, or abuse. Fifteen (15) business days after each quarter-end, the Engagement Team will deliver its final quarterly report, including any comments from the DRM, to the State Treasurer, who will share the reports with the Governor's Disaster Recovery Office ("GDRO"), the Senate President, the Speaker of the General Assembly, the Attorney General, and the Office of the State Comptroller ("OSC").

We will provide additional reports, as needed. If requested, we will share any corrective action plan(s) prepared by the DCA to the Office of the State Comptroller.

At the completion of the Engagement, we will submit a Project Completion Report, including at minimum, scope of Engagement and methodology, documentation of work performed, summary of findings, and recommendations to mitigate the risk of fraud, waste, and abuse in the Program or future Programs. We will report any issues of fraud, waste, abuse, and misuse of COVID-19 Recovery Funds immediately to the GDRO, the OSC, the State Contract Manager, the State Treasurer, and the Accountability Officer. We will report issues of potential criminal conduct immediately to the Office of the Attorney General.

V. DELIVERABLES AND TIMELINES

All deliverables mentioned above will be completed within nine months of the Purchase Order being received by the Vander Weele Group.

VI. INTEGRITY MONITORING – PRICE SHEET

Our proposed pricing is \$166,194.18. A breakdown is as follows:

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)	Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
Risk Assessment	Partner/Principal/Director	\$250.00		\$0.00	\$0.00	\$220.00	\$0.00	\$0.00
	Program Manager	\$241.91		\$0.00		\$212.88	\$0.00	
	Project Manager	\$170.01		\$0.00		\$170.01	\$0.00	
	Supervisory/Sr. Consultant	\$222.17		\$0.00		\$195.51	\$0.00	
	Consultant	\$135.00		\$0.00		\$135.00	\$0.00	
	Associate/Staff	\$130.00		\$0.00		\$130.00	\$0.00	
	Subject Matter Expert	\$192.54		\$0.00		\$192.54	\$0.00	
	Administrative Support	\$ 95.00		\$0.00		\$95.00	\$0.00	
			0					
Work Plan Development	Partner/Principal/Director	\$250.00	2	\$500.00	\$5,338.20	\$220.00	\$440.00	\$4,697.62
	Program Manager	\$241.91	20	\$4,838.20		\$212.88	\$4,257.62	
	Project Manager	\$170.01		\$0.00		\$170.01	\$0.00	
	Supervisory/Sr. Consultant	\$222.17		\$0.00		\$195.51	\$0.00	
	Consultant	\$135.00		\$0.00		\$135.00	\$0.00	
	Associate/Staff	\$130.00		\$0.00		\$130.00	\$0.00	
	Subject Matter Expert	\$192.54		\$0.00		\$192.54	\$0.00	
	Administrative Support	\$95.00		\$0.00		\$95.00	\$0.00	
			22					
On-going Monitoring (Includes all fieldwork)	Partner/Principal/Director	\$250.00	16	\$4,000.00	\$131,078.35	\$220.00	\$3,520.00	\$122,800.95
	Program Manager	\$241.91	54	\$12,990.57		\$212.88	\$11,431.70	
	Project Manager	\$170.01		\$0.00		\$170.01	\$0.00	
	Supervisory/Sr. Consultant	\$222.17	234	\$51,987.78		\$195.51	\$45,749.25	
	Consultant	\$135.00	460	\$62,100.00		\$135.00	\$62,100.00	
	Associate/Staff	\$130.00		\$0.00		\$130.00	\$0.00	
	Subject Matter Expert	\$192.54		\$0.00		\$192.54	\$0.00	
	Administrative Support	\$95.00		\$0.00		\$95.00	\$0.00	
			763.7					
Reports (includes internal and client meetings, monthly, quarterly reports)	Partner/Principal/Director	\$250.00	12	\$3,000.00	\$31,283.20	\$220.00	\$2,640.00	\$28,695.62
	Program Manager	\$241.91	40	\$9,676.40		\$212.88	\$8,515.23	
	Project Manager	\$170.01		\$0.00		\$170.01	\$0.00	
	Supervisory/Sr. Consultant	\$222.17	40	\$8,886.80		\$195.51	\$7,820.38	
	Consultant	\$135.00	72	\$9,720.00		\$135.00	\$9,720.00	
	Associate/Staff	\$130.00		\$0.00		\$130.00	\$0.00	
	Subject Matter Expert	\$192.54		\$0.00		\$192.54	\$0.00	
	Administrative Support	\$95.00		\$0.00		\$95.00	\$0.00	
			164					
	Allowance for Travel Expenses and Reimbursement if on-site monitoring required	\$10,000.00						
	Total Cost (non-discounted)				\$177,699.75			
	Total Cost (if discounted)				\$166,194.18			

VII. PAST PERFORMANCE

A. New Jersey Department of Community Affairs, Division of Recovery and Mitigation

Project Timeframe: 2022

Project Description: In February of 2022, the Vander Weele Group was engaged to create a subrecipient monitoring plan that the Division of Recovery and Mitigation (DRM) will use to ensure subrecipients comply with the ARPA and implementing regulations and assist subrecipients in identifying metrics for success. Among many tasks, the project includes initial and ongoing risk assessments, means to evaluate project performance; means to evaluate internal controls association with DRM's financial management, cash management, acquisition management, property management, and records management capabilities. Our firm, in conjunction with DeLuca Advisory, provided training on the areas of detection and prevention of fraud, waste, and abuse, and will provide training on subrecipient monitoring.

B. New Jersey Department of Labor and Workforce Development

Project Timeframe: 2021 – 2022

Project Description: In December of 2021, the Vander Weele Group was engaged by the state of New Jersey to support the implementation of risk assessments and policy creation to aid the monitoring of funds provided to the New Jersey Department of Labor and Workforce Development (NJDOLE) through the Coronavirus Aid, Relief and Economic Security Act (CARES Act). The CARES Act created three new unemployment insurance benefit programs, which were implemented and managed by the Unemployment Division of the NJDOLE. The Vander Weele Group, with subcontractor DeLuca Advisory, supported the creation of risk assessments and a Fraud Prevention and Detection Policy to aid the monitoring of \$5.6 billion dollars expended through the Pandemic Unemployment Assistance (PUA), \$9 billion expended through the Federal Pandemic Unemployment Compensation (FPUC), and \$3.8 billion expended through the Pandemic Emergency Unemployment Compensation (PEUC).

C. New Jersey Division of Pensions and Benefits

Project Timeframe: 2021 – 2022

Project Description: In December of 2021, the Vander Weele Group was engaged by the state of New Jersey to support the creation of a risk assessment, recommendations and procedures following a Memorandum of Understanding (MOU) between the NJ Department of Treasury and the NJ Division of Pensions and Benefits (NJPB) to aid the monitoring of \$146.2 million in increased claims to NJPB resulting from the COVID-19 pandemic. The NJPB, on behalf of the State Health Benefits Program (SHBP) and the School Employees' Health Benefits Plan (SEHPB), contracted with a third-party medical vendor, Horizon Blue Cross of New Jersey, to process and reconcile the claims with an independent vendor, Health Management Systems. The Vander Weele Group, with

subcontractor DeLuca Advisory, supported the creation of a Report of Prioritized Recommendations, risk assessment of integrity oversight, and Sampling and Monitoring Procedures to support this MOU.

D. New Jersey Redevelopment Authority

Project Timeframe: 2021 – 2022

Project Description: In December of 2021, the Vander Weele Group was engaged by the state of New Jersey to monitor funds and support the creation of a risk assessment following a Memorandum of Understanding (MOU) between the NJ Department of Treasury and the NJ Redevelopment Authority (NJRA) that allocated \$6.25 million to provide eligible businesses and property owners in NJRA-eligible communities grant awards toward monthly lease obligations under the Small Business Lease-Emergency Assistance Grant Program. The Vander Weele Group, with subcontractor DeLuca Advisory, supported the creation of a risk assessment after monitoring 159 total applications over three phases with an additional testing period for actual disbursements. Records were split between two systems that were purchased for the monitoring of the grant: Seamless was used in Phase 1 and SimpliGov was utilized for Phases 2 and 3.

E. New Jersey Department of Environmental Protection

Project Timeframe: 2021 – 2022

Project Description: In December of 2021, the Vander Weele Group was engaged by the state of New Jersey to monitor funds allocated to the NJ Department of Environmental Protection (NJEP) to be awarded during two rounds of sub-awards for \$11.2 million (Round 1) and \$9.4 million (Round 2) with the Atlantic States Marine Fisheries Commission (SFMGC). This grant provides funds to fishermen or fishery-related businesses directly. In March 2022, an internal audit by the state Office of the Comptroller issued a report revealing fraudulent payments for the fisheries and fishing-related industries. The sample chosen for review ensures there was not duplication. The Vander Weele Group, with subcontractor DeLuca Advisory, provided monitoring and created a risk assessment to support the monitoring of these funds.

F. Public Building Commission of Chicago

Project Timeframe: 2012 - 2014

Project Description: In 2012, the Public Building Commission of Chicago, an agency that manages hundreds of millions of dollars of construction on behalf of Chicago city and county agencies, selected the Vander Weele Group to be its outside Inspector General. As a result, the Vander Weele Group conducted investigations into allegations such as MBE/WBE fraud within public works construction contracts; performed internal process evaluation and made recommendations for operational improvements. This work resulted in substantial actual recoveries, the identification of millions of dollars more of potential recoveries, and an overhaul of the PBC contract compliance

systems and approach. Our work also resulted in the unsubstantiating of multiple allegations, providing the organization with confirmation that correct processes had been followed.

As part of its work, the Vander Weele Group authored a study on detecting, investigating, and documenting small business fraud and evaluated dozens of small businesses for indicators of pass-through fraud or non-compliance with the “commercially useful” function requirement. As part of its work, the Vander Weele Group performed open source research; conducted complainant and target interviews; analyzed commercial agreements; analyzed and prepared as evidence thousands of financial records; reviewed electronic evidence such as email communications, and memorialized formal investigation findings in extensive reports with appendices. Deliverables included more than a thousand pages of reports, PowerPoint presentations on findings, studies on small business utilization, research, analyses and recommendations on a new debarment policy and on an existing policy governing small business participation.

A key aspect of this engagement was to evaluate systems, practices and procedures of the Commission to determine their efficacy in preventing incidents of waste, fraud and mismanagement and recommend to the Board potential modifications to promote efficiency and prevent subsequent incidents of waste, fraud, or mismanagement.

G. Illinois State Board of Education, Division of Federal and State Monitoring

Project Timeframe: 2018 – present

Project Description: This engagement, which currently involves monitoring nearly \$3.6 billion in CARES and CRRSA Acts and related grants funding for Chicago Public Schools, began on May 7, 2018, when the Illinois State Board of Education (ISBE) engaged the Vander Weele Group to create and execute a risk-based program to monitor the expenditure of Federal grants distributed by ISBE to Chicago Public Schools District 299. Over five years (FY18 to FY22), our team monitored \$620.3 million in grants expended at Chicago Public Schools for elementary and early childhood education. In the first year, the team developed program infrastructure, reviewed grant distribution and management processes in three Central Office units, and identified schools to be monitored. We monitored 33 district-operated schools and 12 charter schools funded through Chicago Public Schools (CPS). In the first year, our firm identified 74 findings of non-compliance resulting in \$245,366 in questioned costs.

“The Group provided the experience, expertise, and staffing resources necessary to complete the challenging engagement... Overall, I was impressed by the thorough work performed by the Group, and I was pleased with the collaborative partnership the Group formed with myself and my staff during the engagement.”

**Matthew Ulmer, Director
Federal and State Monitoring
Illinois State Board of Education**

This year (FY22), our team is conducting 60 fiscal reviews of schools and two Central Offices. Our team created fiscal monitoring tools to gauge compliance with grant requirements, including but not limited to 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance"), the CARES Act, CRRSA Act and multiple education-related statutes. Examples of testing include gauging the allowability of costs, Time and Effort, adherence to budgets, appropriateness of parental involvement expenditures, timeliness of spending, coding of expenditures, and effectiveness of internal controls. We also conducted program existence testing, reconciliations of accounts, and district reporting requirements. In 2020, the State awarded our firm an additional contract to monitor nine of the state's other large districts.

H. Bureau of Early Intervention, Illinois Department of Human Services

Project Timeframe: 2015 - present

Project Description: Annually since 2015, the Vander Weele Group has monitored services provided to more than 19,000 children and families of children under age 3 with disabilities or developmental delays. Each year, our team monitors 25 Child and Family Connections Offices (CFCs), conducting both general and focused verification reviews, and individual therapy Providers / Payees in 16 individual categories of service. On behalf of the Illinois Department of Human Services, the Vander Weele Group monitored nearly \$140 million in funds over a five-year period provided to more than 1,200 payees and the 25 CFCs.

"The team has become a true partner within the Illinois Early Intervention network by delivering more than monitoring services. It also has made a significant contribution to the development of the Illinois State Systemic Plan . . . I heartily recommend the Vander Weele Group as a competent, caring, and professional organization who is proven and well-versed in the complexities of compliance monitoring."

**- Ann Freiburg, Chief
Bureau of Early Intervention
Illinois Department of Human Services**

Our Monitors test compliance with grant laws, regulations, policies, and high-quality service delivery standards. Our unique and specific testing tools are designed to ensure adherence to state and Federal regulations. Our Monitors evaluate child file documentation and Individual Family Service Plans for families in early childhood settings. Upon completion of each review, Vander Weele Group Monitors facilitate exit meetings with each grantee program team and review the results directly.

Our team provides guided technical assistance so that identified concerns are mitigated and addressed. In addition to exit reports, our team provides resources and require Early Intervention trainings when findings of non-compliance are identified. We conduct surveys to gauge family satisfaction. Our team has worked with the Illinois Department

of Human Services in building better measures of family engagement and has assisted the program with improving reportable data through the State Systemic Improvement Plan. This assistance includes evaluating the fidelity of data collected, revising Early Intervention policies and procedures, and providing on-going technical assistance with the implementation of the revised meeting facilitation and family support policy and procedure.

I. Bureau of Early Childhood Education, Illinois State Board of Education

Project Timeframe: 2020 – present

Project Description: In a five-year engagement, the Vander Weele Group has been engaged to monitor Early Childhood programs funded through the State of Illinois' Prevention Initiative program. In FY21, our team monitored 96 programs representing a total funding of \$49,874,896. Program models include BabyTalk, Early Head Start, Nurse Family Partnership, Parents as Teachers, and Healthy Families Illinois. Grantees include Regional Offices of Education, Public School Districts, Charter Schools, Area Vocational Centers and other public or private entities experienced in delivering services to young children and their families. Our team is engaged to use three monitoring tools: the Prevention Initiative Compliance Checklist, the Home Visit Rating Scales, and the Infant / Toddler Rating Scale.

J. Bureau of Indian Education, U.S. Department of the Interior

Project Timeframe: 2005 – 2016

Project Description: In September 2011, the Vander Weele Group was engaged by the Bureau of Indian Education (BIE) to monitor 183 schools in 23 states for compliance with the *No Child Left Behind Act* (NCLB) and the *Individuals with Disabilities Education Act* (IDEA). At the beginning of the monitoring engagement, we created a school self-assessment tool, a monitoring tool, a standardized report format, and other program materials. We completed the first year's 38 compliance reviews in a two-month period. We hired Lead Monitors who previously led or taught in K-12 institutions to spearhead the compliance monitoring site visits. They were supported by secondary Monitors with critical technological and writing skills. During site visits, Monitors reviewed further documentation, conducted interviews with administrators and business managers, observed classrooms for teacher-student engagement and environment, reviewed samplings of teacher files to verify teaching credentials, and led focus groups of parents, teachers, paraprofessionals and

"You and your staff's commitment to Indian Education was demonstrated on many levels. The drive to dig deeper to find the source of noncompliance was and is critical in assisting schools to improve student achievement and close the achievement gap. Your staff's commitment to working through tough issues to arrive at the best approach to serve schools and Indian students was evident throughout this contract."

Stanley Holder, Chief (now retired) of the Division Compliance, Monitoring and Accountability

students to gain a more complete sense of not only schools' compliance with NCLB, but operations that helped or hindered their ability to provide quality education to children. By the end of the engagement, we completed 142 site visits and multiple desk monitoring reviews. After Monitors returned from each school visit, they completed a complex 20- to 40-page report. Each report thoroughly detailed a school's compliance with NCLB and also contained narratives explaining the school's strengths and weaknesses, which ultimately influenced a school's ability to comply with the law.

The reports detailed outcomes of classroom observations, provided important insights on the causes of non-compliance, and identified endemic problems at BIE schools, which helped the agency be a better partner to the schools under its jurisdiction.

In more than a decade of service to the BIE, our firm developed more than 50 manuals, training materials, reports, template forms, sample policies and procedures, and other materials to provide schools with technical assistance. We developed more than 100 pages of training on conducting fiscal and educational reviews of schools. We also designed monitoring tools and related materials for fiscal, Special Education, and other reviews.

VIII. OUR TEAM

MARIBETH VANDER WEELE

President of the Vander Weele Group^{LLC}

Maribeth Vander Weele leads this Chicago-based firm specializing in grants management and oversight for Federal, state, local, tribal, and international agencies. Under her vision and direction, the firm serves as a trusted partner to its clients, providing exceptional support and technical assistance and ensuring fiscal control, fraud prevention, compliance, risk management, and, ultimately, effective program delivery.

Maribeth is a recognized thought leader, speaker, and author who has consulted with countless complex organizations and whose life's work has centered on promoting integrity. Prior to launching her own firm, she was appointed Chief of Investigations and then Inspector General of Chicago Public Schools, where she spearheaded significant change initiatives and lasting system transformation. She previously authored *Reclaiming Our Schools, the Struggle for Chicago School Reform*, which became the roadmap for nationally acclaimed reform. Maribeth's mission-driven passion for excellence, high-level government experience, and deep knowledge are at the core of the Vander Weele Group's impact.

KEY EXPERTISE: STRATEGY AND EXECUTION | CLIENT RELATIONSHIP BUILDING | TEAM LEADERSHIP | PROJECT MANAGEMENT | GRANTS MANAGEMENT AND OVERSIGHT | INVESTIGATIONS | COMPLEX PROBLEM SOLVING | WRITING | PUBLIC SPEAKING

SECTOR EXPERIENCE: EDUCATION | HUMAN AND SOCIAL SERVICES | CONSTRUCTION AND REAL ESTATE | FINANCIAL SERVICES | INSURANCE | CRIMINAL JUSTICE | GAMING AND HOSPITALITY | TRANSPORTATION | LABOR AND ECONOMIC DEVELOPMENT

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2003 – Present

President

Founded, grew, and evolved firm to provide critical grants management and monitoring services to diverse public sector clients facing unprecedented challenges. Built 30+-member team with government program experience and the full range of grants management expertise.

- Spearheaded development of the firm's processes, procedures, and systems, including proprietary grants monitoring software, to ensure efficient project management and consistently exceptional client service across all engagements.
- Cultivated team capabilities to deliver timely, structured, and high-quality project results, including accurate data analysis, detailed research, careful reviews, and meticulously documented conclusions.

- Won highly competitive multi-year projects and renewals, forged trusted client relationships, and established foothold across diverse agencies in 3 states; quadrupled annual revenues since 2018.
- Earned place on General Services Administration schedule (pre-qualified by the Federal government) and as one of 8 prequalified firms in a Blanket Purchase Agreement (BPA) for the State of New Jersey.
- Contributed to myriad client results, including up to hundreds of millions of dollars in savings, resolution of audit findings, and effective implementation of large-scale critical programs.
- Designed and executed Safe Schools programs for the Bureau of Indian Education, ensuring program effectiveness and fiscal compliance across 183 schools receiving Federal funds (in 23 states); programs were recognized as a model for the nation by the U.S. Department of Education.
- Oversaw creation of an extensive internal library of resources and articles on grants management, laying groundwork for a planned training academy with courses on compliance, grants monitoring, project management, uniform guidance, state and Federal legislation, and more.

CHICAGO PUBLIC SCHOOLS

1995 – 2002

Inspector General (1998 – 2002)

Led staff of 50 to investigate thousands of waste, fraud, and misconduct complaints within the nation's 3rd largest school system.

- Restructured the agency to ensure that investigations were conducted according to the highest professional standards; zero cases were legally challenged during tenure.
- Created and oversaw a construction integrity unit and a procurement fraud investigation unit, which instituted management reviews across key operations and contracts, including construction, food and janitorial services, and informational technology.

Chief of Investigations (1995 – 1998)

Appointed by the Mayor to help turn around the city schools and acted as a key adviser and program leader. Oversaw Internal Audit Unit, as well as \$3 million Safe Schools grant.

- Spearheaded system-wide policy and management reforms to restore integrity, promote accountability, and improve the quality of public education.
- Created team that investigated employee integrity, with special emphasis on allegations of physical and sexual abuse of children.

ADDITIONAL LEADERSHIP

- Former Inspector General of Chicago's Public Building Commission, Member of the Cook County Board of Ethics, Commissioner of the Illinois Gaming Board, Commissioner of

University of Illinois' Admissions Review Commission, and President of the Illinois Association of Inspectors General.

- Author of two acclaimed books: *Reclaiming Our Schools, the Struggle for Chicago School Reform* (1995) and *The Joy of Job, An Investigator's Perspective on the Most Righteous Man on Earth* (2018).
- Frequent public speaker in state, national, and international forums, including the World Bank, the TIAA-CREF Annual Fraud Conference, the Association of Inspectors General, the National Association of Local Government Auditors, and the Association of Fraud Examiners, among many others.
- Frequent trainer for agencies in multiple states on grants monitoring, program design, Uniform Guidance, regulatory requirements, data analytics, fraud prevention and detection, and grants management.

EDUCATION, SELECTED PROFESSIONAL DEVELOPMENT, AND CERTIFICATIONS

Wheaton College—Bachelor of Arts, Political Science

Northwestern University, Kellogg School of Management—executive courses on People Performance, Operations Strategy, and High-Impact Sales

Numerous professional seminars, including on leadership, people management, marketing, information technology, fraud prevention and examination, security, and investigations.

Certified Inspector General

KRISTEN MOKOFISI, PhD

Director of Fiscal Oversight

Kristen Mokofisi leads the fiscal monitoring team and manages significant Vander Weele Group^{LLC} projects, providing subject matter expertise, serving as a key contact point for clients, and ensuring exceptional grant monitoring and management. She is committed to providing highest-quality technical assistance and guidance to clients so that grant funding can facilitate meaningful change in the communities they serve. She has a doctorate in performance psychology, enabling her to optimize each team member's strengths, communicate effectively with clients, and improve overall client success in managing complex grants.

She previously served as State Director of the Title IV-B Grant at the Nevada Department of Education, overseeing the large-scale Federal 21st Century Community Learning Centers Grant, with widespread impact at the state, local, and tribal levels. In addition to prior teaching experience, she has repeatedly supported grants, contract management, and grant research and proposals in the education and healthcare sectors.

KEY EXPERTISE: TEAM LEADERSHIP AND MENTORING | PROJECT MANAGEMENT | GRANTS MANAGEMENT AND OVERSIGHT | RELATIONSHIP BUILDING | COMMUNICATION | RISK MANAGEMENT | DATA ANALYSIS | RESEARCH | PROBLEM SOLVING | SOFTWARE DEVELOPMENT | PROCESS MAPPING AND PROCESS IMPROVEMENT | WRITING | TRAINING | PUBLIC SPEAKING

SELECT TECHNOLOGIES: ORACLE SUITE | MS OFFICE SUITE | MS TEAMS | MS PROJECT | iWORK | BUSINESS PLUS | iVISIONS | SMARTSHEET | ZOOM | ADOBE SUITE

SECTOR EXPERIENCE: EDUCATION | HEALTHCARE | ENVIRONMENTAL PROTECTION | LABOR | PUBLIC SAFETY

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2021 – Present

Director of Fiscal Oversight

Leads the fiscal monitoring team and manages client engagements, including two complex Illinois State Board of Education contracts (multiple grants, multiple districts), as well as labor, environmental protection, disaster recovery, and other grants in other states. Serves as point person on client and team communications; provides critical subject matter expertise.

- Plans and manages diverse engagements, provides client technical assistance, and oversees and supports team to ensure exceptional quality and timeliness of monitoring and reporting.
- Develops fiscal monitoring team, hires new team members with complementary skill sets, and organizes weekly skill-building meetings; engages each person's strengths to optimize performance.
- Steadily consolidates and enhances monitoring processes to improve efficiencies and outcomes.

- Actively supports monitoring, from high-level risk assessments, central office reviews, and template adjustments to process and internal control testing, compliance analyses, reviews of documents, budgets, and expenses, and drafting of reports and recommendations.
- Building internal program for fiscal certification, including core training and document repository.

NEVADA DEPARTMENT OF EDUCATION

2018 – 2021

State Director, Title IV-B Grant / Programs Specialist, Office of Student and School Supports

Managed Federal allocations for multiple grants and provided grant guidance and monitoring to local education agencies to ensure the best possible academic and out-of-school program outcomes.

- Oversaw Federal Title IV-B 21st Century Community Learning Centers grant (\$10–\$12M per year) which grew to serve 135+ sites in 12 districts and affected 30,000+ children across the state.
- Provided peer-reviewed competitive award processing, grants management, and monitoring for grant subrecipients, as well as technical assistance and guidance to ~35 district and site-level staff.
- Played a vital role in distributing and monitoring two rounds of Emergency Relief (ESSER) funding—\$117M total—under the CARES Act, as well as \$1B in American Rescue Plan Act (ARPA) funding.
- Built and improved relationships with districts, tribes, and non-profit organizations, facilitating significant growth in applications and more than tripling the number of students served.
- Consolidated processes and streamlined forms (cutting the number of application pages in half), reducing the application burden and making the process more equitable.

WASHOE COUNTY SCHOOL DISTRICT

2015 – 2018

CHURCHILL COUNTY SCHOOL DISTRICT

2013 – 2015

Art Department Head/Title I Teacher

Served as Department Lead and Social-Emotional Learning Implementation Specialist.

- Implemented specialized curricula to meet state and district education standards for Federally funded Title I schools.
- Taught 160+ students per semester, successfully managing classrooms and differentiating instruction to varied levels of cognitive development.
- Built vital and productive relationships with students and families.

- Trained teachers in supporting underserved students and formed vital Peer Learning Communities.

RIVERVIEW CHRISTIAN ACADEMY

2009 – 2013

Art Teacher / Social Intervention Program Specialist

Taught primary and secondary students, differentiating instruction to meet individual needs. Developed curriculum, lesson plans, and conflict resolution plans. Supported grants and contract management.

Prior experience in the healthcare sector, with role that included assisting with grant research and writing, including responses to Requests for Proposals, to secure critical funding.

EDUCATION, CERTIFICATIONS, AND SELECTED PROFESSIONAL DEVELOPMENT

Grand Canyon University—Doctor of Philosophy, Psychology

University of Nevada—Master of Arts in Secondary Education

University of Nevada—Bachelor of Arts in Fine Arts

Numerous professional teaching certifications

Project Management Institute (PMI)—Introduction to Project Management (*in progress*)

SOPHIA STAVERIS, CPA, CIA, CFE

Senior Grants Accountant

Sophia Staveris is a key member of the fiscal monitoring team, bringing her extensive experience in auditing and compliance to support clients' effective grants management. Building on her multiple certifications, Sophia's career expertise is in financial and operational auditing, compliance, risk management, and investigations. Not only does she complete her monitoring and analyses in a timely and complete manner, but she also has the insight to propose optimal process improvements and policies. Sophia works collaboratively with colleagues to conduct monitoring activities, advance projects, and deliver the highest levels of accuracy and quality. She also builds productive relationships with clients, serving as a trusted partner and advisor.

KEY EXPERTISE: INTERNAL AUDITING | OPERATIONAL AUDITING | GRANTS MONITORING | COMPLIANCE PROGRAMS | RISK ASSESSMENT AND ANALYSIS | ETHICS INVESTIGATIONS AND TRAINING | PROCESS IMPROVEMENT | REPORTING | POLICIES AND PROCEDURES DEVELOPMENT | PROJECT MANAGEMENT | RELATIONSHIP BUILDING | TEAM LEADERSHIP

SELECT TECHNOLOGIES: EXCEL | WORD | POWERPOINT | PEOPLESOFT

SECTOR EXPERIENCE: EDUCATION | ENVIRONMENT | UTILITY | HOSPITALITY | MANUFACTURING

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2022 – Present

Senior Grants Accountant

Serves on the fiscal monitoring team, reviewing complex client expenditures, processes, and policies to ensure alignment with grant purposes and guidelines, and facilitating effective grants management.

- Conducts detailed fiscal and operational reviews for Chicago Public Schools and Illinois State Board of Education contracts, focusing on allowable expenditures and on identifying opportunities for process improvement.
- Delivers timely and high-quality client-facing and internal materials on simultaneous projects.
- Conducts important peer reviews to ensure accurate and complete data gathering and reporting.
- Assisted with preparation of a detailed monitoring plan for the State of New Jersey's Department of Community Affairs.

SUEZ NORTH AMERICA

2007 – 2022

Manager ERM and Corporate Compliance (2018 – 2022)

Selected to help establish new Enterprise Risk Management and Corporate Compliance department.

- Played key role in building the company's ERM program to identify and avert risks and develop response strategies; performed risk analyses for senior leaders.
- Developed new compliance solutions and training, as well as new policies, including on charitable giving, lobbying, gifts, and conflicts of interest; administered the annual conflict of interest and gift reporting processes.
- Co-managed the company-wide training platform for ethics and compliance.
- Achieved 95% compliance with ethics training, gift reporting, and conflict of interest reporting.
- Performed reviews of compliance to Company policies and reported results to Ethics Committee.
- Assisted in the performance of ethics investigations.
- Co-developed and promoted Ethics and Compliance Program, including frequent communications, Ethics and Compliance Day, new Compliance Champion awards, and Ethics promotional items.

Manager of Internal Audit (2010 – 2018)

Senior Auditor (2007 – 2010)

Played key role in developing and formalizing strong financial auditing for the company.

- Developed audit programs based on a risk assessment analysis and interviews.
- Prepared detailed reports of audit findings with recommendations for improvements.
- Held audit closing meetings with management to relay audit findings and recommendations.
- Performed follow-up reviews to assess implementation of recommendations made by Internal Audit.
- Consulted with management on evaluation of new systems and procedures.
- Performed SOX testing and made recommendations to improve internal controls.
- Conducted investigations of ethics complaints and reported results to the Ethics Committee.
- Assisted external auditors with their year-end financial review.

LOEWS CORPORATION

1995 – 2007

Internal Audit Supervisor

Led team to perform operational and financial audits of the Corporate Office, Lorillard Tobacco, Loews Hotels, Bulova Watch, and Diamond Offshore, as well as advertising agencies used by Loews' divisions.

- Performed critical audits and evaluated internal controls of complex businesses.
- Analyzed audit results and prepared detailed audit reports with recommendations for process improvements, implementation of controls, and procedure changes.

- Planned the budget and scope of audits; prepared the Internal Audit department's annual budget.
- Supervised and trained junior staff members.
- Streamlined SOX matrices for Lorillard and performed SOX testing for Lorillard Tobacco.
- Made recommendations to Lorillard Tobacco for their buydown procedures that were implemented and significantly reduced their risks for fraud.
- Wrote the Standard Operating Procedures Manual for the Hotel Division.

Prior:

LOEWS CORPORATION, Senior Auditor, Semi-Senior Auditor, Assistant Auditor

INTERNAL REVENUE SERVICE, Internal Revenue Agent

EDUCATION AND CERTIFICATIONS

Pace University, Lubin Graduate School of Business—Master of Business Administration (MBA), Accounting

Marymount College—Bachelor of Science (BS), Math and Business, *summa cum laude*

Certified Public Accountant (CPA) in New York State

Certified Internal Auditor (CIA)

Certified Fraud Examiner (CFE)

RICHARD PALMER, CPA

Senior Grants Accountant

Richard Palmer is a key member of the fiscal monitoring team, reviewing clients' expenditures for optimal and compliant use of grant funding and helping them achieve the best possible grant outcomes. As a Certified Public Accountant and former auditor for Big 4 (PwC and Deloitte) and regional firms, he brings deep experience with single audits (testing and auditing Federal and state grants), as well as integrated audits of complex organizations in diverse sectors. In addition to his exceptional technical skills, proven accuracy and quality, and consistent timeliness, Richard is a connector and relationship builder with colleagues and clients, ensuring vital collaboration and project success.

KEY EXPERTISE: AUDITING (INCLUDING SINGLE AUDIT, FINANCIAL STATEMENT AUDIT AND INTERNAL CONTROLS TESTING) | GRANTS MONITORING | ACCOUNTING | GAAP | COMPLIANCE | RISK ASSESSMENT | PROJECT PLANNING AND MANAGEMENT | DOCUMENTATION | WRITING & REPORTING | COMMUNICATION | STAFF OVERSIGHT

SELECT TECHNOLOGIES: ADVANCED EXCEL | AUDIT SOFTWARE (ENGAGEMENT, AURA) | TAX SOFTWARE

SECTOR EXPERIENCE: EDUCATION | HEALTHCARE | INSURANCE | NONPROFIT | MANUFACTURING | REAL ESTATE | MEDIA

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2022 – Present

Senior Grants Accountant

Serves on the fiscal monitoring team, reviewing complex client expenditures to ensure alignment with grant purposes and guidelines and to support effective grants management.

- Conducts detailed fiscal reviews and monitoring on large Chicago Public Schools and the Illinois State Board of Education contract (9 districts across the state), focusing on allowable compensation and non-compensation expenditures.
- Delivers timely and high-quality client-facing and internal materials on simultaneous projects.
- Provides key project support, including project planning and management, testing planning, and communication/coordination with clients.

MARCUM, LLP

2018 – 2022

Senior Auditor (Assurance)

Performed integrated audits—internal control testing plus financial statement auditing—primarily for healthcare sector clients. Also provided project planning, risk assessment, training, and staff supervision.

- Frequently conducted single audits to ensure grant compliance with Federal guidelines.
- Selected to review three years of client transactions as critical input to legal investigation.

- Tapped repeatedly by colleagues to work with them on client projects due to expertise, timeliness, effectiveness, and ability to build strong working relationships.

MARC S PELLETIER, CPA

2016 – 2017

Tax Accountant

Reviewed and prepared year-end financial statements for individual, partnership & S-corporation clients. Reviewed client's supporting statements/schedules, recommended reasonable changes, and processed tax returns based on complete financials.

PwC, LLP

2014 – 2016

Experienced Audit Associate (Assurance) – Contractor

Performed integrated audits of manufacturing clients' financial statements, including: annual audits and quarterly financial information reviews; evaluation of internal controls over financial reporting to determine operational effectiveness as required for Sarbanes-Oxley (SOX) compliance.

COHNREZNICK, LLP

2012 – 2014

Audit Senior (Assurance)

Performed integrated audits of clients' financial statements, including annual audits, quarterly financial information reviews, and evaluation of internal controls over financial reporting. Diverse client portfolio included private and publicly listed companies in the manufacturing, real estate, software, sustainable energy, and digital media sectors. Increasingly involved in the audit planning phase, which included risk assessment and staff supervision.

DELOITTE & TOUCHE LLP

2010 – 2012

Audit Senior Assistant (Assurance)

Performed integrated audits of clients' financial statements, including annual audits, quarterly financial information reviews, and evaluation of internal controls over financial reporting. Diverse portfolio included private and publicly listed companies in the manufacturing, insurance, and real estate sectors.

AETNA INSURANCE INC.

2004 – 2009

Audit & Control Analyst (HR Service Delivery) (2005 – 2009)

Financial Reporting Analyst (Financial Accounting & Reporting) (2004 – 2005)

Assisted in creating and implementing internal controls to ensure the data integrity of Aetna's payroll system, PeopleSoft, and its sub-systems, and assisted in preparing and implementing audit plans for payroll services, with a focus on high-risk areas.

- Provided information and assistance to facilitate the completion of annual financial statement audits/quarterly reviews to ensure compliance with SOX requirements.

- Completed timely and accurate monthly/quarterly reinsurance audits, which involved assessing risk associated with our reinsurance segment.
- Handled elements of the monthly financial close process, including preparing account analyses to identify unusual results, trends, and issues.

EDUCATION, CERTIFICATION, AND PROFESSIONAL AFFILIATION

University of Hartford, Barney School of Business—Master of Science in Accounting & Taxation

Beta Alpha Psi Honor Society

Eastern Connecticut State University—Bachelor of Science in Accounting

INROADS Leadership Alumni

Certified Public Accountant (CPA)

National Association of Black Accountants (NABA)—Past VP & Secretary, Greater Hartford Chapter

ARTECIA FOSTER

Fiscal Monitor

Artecia Foster is a highly experienced member of the fiscal monitoring team at the Vander Weele Group^{LLC}, where she has worked on significant projects for the Chicago Public Schools, the Illinois State Board of Education, the Illinois Racing Board, and the Bureau of Indian Education, among other clients. Her accounting and finance background, plus her innate analytical skills and attention to detail, enable her to deliver the highest levels of quality and accuracy, often within tight timelines. Given the depth of her experience, she resolves issues quickly, takes initiative to expand her knowledge, and offers support and mentoring to other team members. Artecia provides invaluable technical assistance to clients as well, as they work to manage complex grants and achieve the best possible outcomes for the communities they serve.

KEY EXPERTISE: GRANTS MONITORING | ACCOUNTING | FINANCE | PROJECT MANAGEMENT | DATA ANALYSIS AND REPORTING | TECHNICAL ASSISTANCE | QUALITY CONTROL | ORGANIZATION | PROBLEM SOLVING | COLLABORATION

SELECT TECHNOLOGIES: MICROSOFT OFFICE SUITE (WORD, EXCEL, POWERPOINT, OUTLOOK, TEAMS) | QUICKBOOKS | ADOBE ACROBAT | ZOOM | ADP PAYROLL SOFTWARE

SECTOR EXPERIENCE: EDUCATION | RACING AND WAGERING | LABOR | ENVIRONMENTAL PROTECTION | TRANSPORTATION

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2015 – Present

Fiscal Monitor (2018 – Present)

Monitors grants won by complex clients, reviewing their expenditures, personnel, documentation, policies, and procedures to ensure allowability and alignment with grant guidelines and to enhance overall grant outcomes. Provides technical assistance to clients and supports newer members of the fiscal team.

- Performs detailed fiscal reviews and monitoring of large Chicago Public Schools (CPS) contract and separate IL State Board of Education contract for 9 additional districts across the state; conducts combination of site visits and desk reviews to assess all data and documents.
- Proactively provides technical assistance to schools, helping them continuously improve and streamline their documentation, coding, and processes, and adhere to best practices.
- Assists in conducting risk assessments for CPS to determine monitoring priorities.
- During leadership transition, effectively managed/completed project for Illinois Racing Board (IRB).
- Reviewed IRB grantee's financial and performance reports, general ledgers, and support documentation; tested expenditures to verify allowability; analyzed spending and

recommended budget amendments to offset future deficits; provided guidance on grant spending and management.

- Executes monitoring reviews for New Jersey state agencies receiving CARES Act funding; tests applications, support documents, and other data to ensure compliance with laws and guidelines.
- Researches and conducts site visits to verify all subcontractors for major Chicago O'Hare contract.
- Trains and supports new teammates to facilitate their successful onboarding and project impact.

Finance and Human Resources Associate (2015 – 2019)

Hired to manage and improve key financial and human resources functions for the firm.

- Researched, discovered, and implemented enterprise finance software—Unanet—to streamline time and expense tracking; migrated key data from ADP; system is still in place, offering the firm a better way to record time and payments, as well as track and view finances in real time.
- Oversaw the firm's finance policies, ensuring compliance with ever-changing city, county, state, and Federal mandates.
- Performed regular audits of financial records and examined/verified documents to ensure completeness and accuracy in accordance with accounting procedures.
- Monitored and completed WBENC, WBE, DBE, WOSB, and HUBZone certifications and licenses to ensure compliance with Federal and state laws and regulations.

CITY COLLEGES OF CHICAGO, DISTRICT OFFICE Assistant Accountant

2015

- Thoroughly evaluated accounts to ensure that balances corresponded with the general ledger, identifying any variances, and analyzing them to confirm their appropriateness.
- Prepared schedule of daily cash reports for all 7 City Colleges and their business entities.
- Reviewed the organization's investments and adjusted market values and maturity dates.
- Created and posted journal entries using PeopleSoft.
- Assisted with the preparation of bank reconciliations.
- Handled asset disposition recording all asset costs and acquisition dates.
- Assisted with the preparation of the Comprehensive Annual Financial Report (for Fiscal Year ending June 30, 2015).

EDUCATION

Roosevelt University—Bachelor of Science in Business Administration, Accounting Major



Extensive relevant coursework in Accounting, Auditing, Tax, and Finance
Harold Washington College—Associate of Arts, Accounting Major

LINDA RESSLER

Fiscal Associate

Linda Ressler provides accounting, data collection, testing, and other grant monitoring and management assistance on critical Vander Weele Group^{LLC} projects. Her career includes more than 20 years of grants and contracts experience, including at the Federal, state, and tribal levels and in the private sector. Building on her varied background, Linda consistently brings an inquisitive mind, readiness to learn and adapt, and a collaborative approach to each project. She ensures timely deliverables, clear documentation, and data accuracy to support clients' successful grants management.

KEY EXPERTISE: GRANT AND CONTRACT MONITORING | ACCOUNTING | BUDGETING | DATA COLLECTION | TESTING | COMPLIANCE | DOCUMENTATION AND REPORT WRITING | CRITICAL THINKING AND ANALYSIS | CERTIFIED PUBLIC MANAGER

SELECT TECHNOLOGIES: SAP | MIP | PEOPLESOFT | INFOED AND OTHER GRANT PORTALS | MS OFFICE SUITE

SECTOR EXPERIENCE: EDUCATION | HUMAN SERVICES | HEALTHCARE | PUBLIC SAFETY | TRANSPORTATION | DEFENSE

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2022 – Present

Fiscal Associate

Provides fiscal reviews and other grant monitoring support on diverse projects.

- Supports projects with a wide range of New Jersey state agencies receiving COVID relief funding; samples and tests documents, expense reimbursements, and other data to ensure compliance with laws and guidelines, helping to avert fraud, waste, abuse, and conflicts of interest.
- Provides inputs and insights to project partners for risk assessments and quarterly reports.
- Conducts fiscal reviews/monitoring on execution of large contracts for the Illinois State Board of Education, including the Chicago Public Schools and other large districts across the state; examines documentation, timeliness, appropriateness, and coding of expenses.
- Regularly accesses and uses diverse client systems to review data and documents.

WAKE FOREST INSTITUTE FOR REGENERATIVE MEDICINE

2018 – 2019

Grant Administrator

Managed key responsibilities for numerous grant proposals and awards.

- Analyzed grant proposals for compliance with Federal funding announcements, ensuring that they included accurate bios, project summaries, abstracts, and other sponsor requirements.
- Submitted grant proposals for Federal, state, and foundation funding.
- Tracked proposals and funding awards through the automated system.
- Tracked subrecipient awards in coordination with grant administrators at subrecipient entities.

WAKE FOREST BAPTIST HOSPITAL
Accounts Payable Associate I

2017 – 2018

Hired from temporary into permanent role to track, enter, and process Accounts Payable transactions.

- Entered AP transactions and invoices into the financial system for payment processing to vendors.
- Determined accurate allocation of sales tax.
- Reviewed, matched, and checked files and payments for accuracy.

CONTRACT ASSIGNMENTS

2011 – 2017

Served as a financial analyst for diverse organizations and projects, one of which included analysis to detect and correct errors on Federal contracts. Other projects: performed AP and AR reconciliations; calculated 401(k) discrepancies; analyzed accounting system for forthcoming transition and consolidation.

LANTANA CONSULTING GROUP
Project Accountant

2011

Performed project management support on various contracts with Federal healthcare clients, such as the Centers for Disease Control (CDC). Reported weekly to clients and coordinated monthly invoices with the Financial Manager. Developed timekeeping policy and procedures for key audits.

RAYTHEON MISSILE SYSTEMS, ADVANCED PROGRAMS (R&D)
Financial Analyst

2007 – 2010

Provided financial support and reporting for defense contracts, from setup in SAP to close-out.

- Prepared monthly presentations for directors and program managers and performed budget forecasting for all assigned contracts.
- Provided daily financial support to Federal clients, including financial document preparation, financial analysis, account reconciliations, and research.
- Met quarterly with management team on budget and contract issues and presented revenue risk assessments based on anticipated contract deliverables.

PASCUA YAQUI INDIAN TRIBE
Grants and Contracts Accountant

2005 – 2007

Provided accounting and reporting support on state grant programs (Federal pass-through grants). Worked with program directors to track contract renewals and prepare budget revisions. Initiated journal entries for corrections and revisions. Initiated system changes to ensure budget controls were active. Provided quarterly risk analysis to program managers.

QUECHAN INDIAN TRIBE
Grants and Contracts Coordinator

2003 – 2005

Assisted program directors in preparing budgets and monitoring contracts and grants. Ensured contracts were received, reviewed by a tribal attorney, and signed, and all budgets were approved in the financial reporting system. Audited transactions prior to payment to ensure compliance. Provided

tribal council and program managers with risk assessment on financial shortfalls. Served as liaison to state agencies.

Prior experience with the **STATE OF KENTUCKY** (including Federal highway and public safety grants coordination) and the **US ARMY** (including service as a budget officer in the Pentagon).

EDUCATION, CERTIFICATION, AND SELECTED PROFESSIONAL DEVELOPMENT

University of Maryland, Europe—Bachelor of Arts, Business Management

University of Kentucky—Certified Public Manager

Wake Forest Institute for Regenerative Medicine—Research Administrators Certification training

Raytheon—Basic Six Sigma Certification

CASSY GOOD

Legislative Researcher and Contract Manager

Cassy Good has recently joined the Vander Weele Group and will act as a Legislative Researcher and Contract Manager. If privileged to serve the NJDCA DRM, Cassy will provide support in drafting the Memoranda of Understanding and performing other services as necessary. Cassy has an extensive background in working with various levels of government, researching legislation, performing compliance monitoring, and acting as a liaison in a range of circumstances.

KEY EXPERTISE: WORKING IN AND WITH LOCAL, STATE, AND FEDERAL GOVERNMENT | GRANT AND CONTRACT MONITORING | ACCOUNTING | BUDGETING | DATA COLLECTION | CONTRACTING AND PROCUREMENT | COMPLIANCE | DOCUMENTATION AND REPORT WRITING | LEGISLATIVE RESEARCH

SECTOR EXPERIENCE: GOVERNMENT | EDUCATION

EXPERIENCE

VANDER WEELE GROUP^{LLC}

2023 – Present

Legislative Researcher and Contract Manager

Cassy recently joined the Vander Weele Group and will be assisting with drafting the Memoranda of Understanding and providing related services should the Vander Weele Group be privileged to serve the NJDCA DRM. She will also provide assistance with fiscal reviews and other grant monitoring support on diverse projects.

ILLINOIS STATE BOARD OF EDUCATION

Fiscal Support Services

On behalf of the Illinois State Board of Education:

- Updated and maintained contract tracking and procurement systems.
- Negotiated, monitored, and created vendor contracts.
- Tracked receipt of post-performance reviews.
- On a monthly basis, reported Business Enterprise Program (BEP) spending, veteran's spending, and small business set-aside spending.
- Responded to Freedom of Information (FOIA) requests.
- Assisted in the Education Purchasing Program.
- Assisted with Expenditure Review scheduling and preparation.
- Assisted in contract evaluator meetings.

ILLINOIS MUNICIPAL LEAGUE

Legislative Liaison

On behalf of the Illinois Municipal League (IML):

- Advocated on behalf of the 1,296 municipalities in the State of Illinois.
- Acted as a liaison between local officials, state legislators, and state agencies and worked closely with legislators during legislative negotiations.
- Researched over 8,000 legislative bills filed and actively tracked and took a position on 1,200 of those bills.

- Created and edited position papers, fact sheets, publications, proposed bill language, and official agency advocacy documents.
- Maintained the IML Legislative and Legal web pages.
- Attended legislative committee meetings.
- Hosted a variety of meetings including the IML Annual Conference, monthly IML Legislative Committee meetings, monthly IML Manager Committee meetings, and monthly state agency liaison meetings.
- Interpreted rules, regulations, laws, and policies.
- Created and filmed presentations.

ILLINOIS COMMUNITY COLLEGE BOARD

Associate Director for Financial Compliance

On behalf of the Illinois Community College Board (ICCB):

- Ensured compliance for approximately 250 grantees for the community college system within the State of Illinois.
- Coordinated and conducted site visits, desk audits, and risk-based fiscal monitoring of grant programs statewide.
- Developed, maintained, and updated monitoring instruments of state and Federal law.
- Analyzed and compiled data and findings into final reports in coordination with other ICCB divisions.
- Restructured the monitoring process.
- Collected and inputted all community college annual budgets and audits.
- Assisted with the community college recognition process.
- Gained experience with and attended meetings on the Grant Accountability and Transparency Act (GATA).
- Acted as BEP Liaison between the BEP Council and the ICC Purchasing Consortium and all public community colleges in the State of Illinois.
- Ensured businesses/vendors owned by minorities, women and persons with disabilities were represented in community college procurement.
- Recreated the BEP Compliance Plan structure to better fit community college accounting systems.
- Compiled the annual Spend Reports from each community college to be submitted to CMS at the end of the calendar year to ensure BEP requirements were met.
- Acted as 2020 CENSUS Liaison to all public community colleges and the Governor's office.

EDUCATION

Ashford University—Bachelor of Business Administration

University of Illinois—Master of Public Administration