



State of New Jersey  
DEPARTMENT OF TRANSPORTATION  
P.O. Box 600  
Trenton, New Jersey 08625-0600

PHILIP D. MURPHY

*Governor*

SHEILA Y. OLIVER

*Lt. Governor*

DIANE GUTIERREZ-SCACCETTI

*Commissioner*

March 3, 2023

Ms. Brandi Gowdy  
Rumph & Associates, P.C. – [REDACTED]  
2520 Northwinds Parkway; Suite 150  
Alpharetta, GA 30009

VIA E-MAIL: [REDACTED]

Dear Ms. Gowdy:

The New Jersey Department of Transportation (NJDOT) is pleased to place a blanket purchase order for Integrity Monitoring Services for NJDOT COVID Relief ending in June 30, 2023 based on the attached Requisition/PO #3209170 in the total amount of \$559,183.77. All terms and conditions of Rumph and Associates, P.C.'s state contract #21-PROSV-01440 are in effect for this order.

This letter serves as your official Notice to Proceed.

Please contact Sara Brecke at [REDACTED] for scheduling services.

Enclosed you will find a State of New Jersey Payment Voucher. This payment voucher must be completed and returned to the address listed in Part E of the form, along with your company's invoice.

If you have any questions or concerns, please contact Ms. Brecke.

Sincerely,

A handwritten signature in blue ink that reads "Marian J. Bucci".

Marian J. Bucci  
Section Chief  
Division of Procurement

Attch.



STATE OF NEW JERSEY  
**PAYMENT VOUCHER**  
 (VENDOR INVOICE)

DOCUMENT						BATCH						ACTG PER	FY
TC	AGY	NUMBER			TC	AGY	NUMBER						
											22		
PP START			SCHED PAY			CHK	OFF	F	RF	CK	(A) VENDOR ID NUMBER		
MO	DY	YR	MO	DY	YR	CAT	LIAB	A	TY	FL			
PO #		PV DATE											
3209170													

CONTRACT NO	AGENCY REF	BUYER	(B) TERMS	PAYEE: SEE INSTRUCTIONS FOR COMPLETING ITEMS (A) THROUGH (G)	C TOTAL AMOUNT
21-PROSV-01440	F23-151196	945			\$559,183.77

(D) PAYEE NAME AND ADDRESS Rumph & Associates, P.C. 2520 Northwinds Parkway Suite 150 Alpharetta, GA 30009	(E) SEND COMPLETED FORM TO: NJ Department of Transportation 1035 Parkway Avenue PO Box 600 Trenton, NJ 08625 ATTN: Accounts Payable
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(F) PAYEE DECLARATIONS I CERTIFY THAT THE WITHIN PAYMENT VOUCHER IS CORRECT IN ALL ITS PARTICULARS. THAT THE DESCRIBED GOODS OR SERVICES >>>>> HAVE BEEN FURNISHED OR RENDERED AND THAT NO BONUS HAS BEEN GIVEN OR RECEIVED ON ACCOUNT OF SAID DOCUMENT	PAYEE SIGNATURE
	PAYEE TITLE
	BILLING DATE

LINE NO	REFERENCE				(G) PAYEE REFERENCE
	CO	AGY	NUMBER	LINE	
1					
2					
3					

	FUND	AGCY	ORG CODE	SUB-ORG	APPR UNIT	ACTIVITY CD	OBJECT CD	SUB-OBJ	REVSRC	SUB-REV	PROJECT/JOB NO
1	480	078	6300	10	IQ3	TCAP	7310				22261ZQ0
2											

	RPT CT	BS ACT	DT	DESCRIPTION	QUANTITY	AMOUNT	ID	PF	TX
1	FHWA					\$559,183.77			
2									

ITEM NO.	COMMODITY CODE/DESCRIPTION OF ITEM	QUANTITY	UNIT	UNIT PRICE	AMOUNT
1	Blanket PO to cover integrity monitoring services for NJDOT COVID relief ending Jun 30, 2023 in accordance with the hourly rate in Treasury Contract G4018.	559,183.77	LOT	\$1.00	\$559,183.77
<b>TOTAL</b>					<b>\$559,183.77</b>

CERTIFICATION BY RECEIVING AGENCY: I certify that the above articles have been received or services rendered as stated herein.

Signature \_\_\_\_\_

Title \_\_\_\_\_ Date \_\_\_\_\_

CERTIFICATION BY APPROVAL OFFICER: I certify that this Payment Voucher is correct and just and payment is approved.

Authorized Signature \_\_\_\_\_

Title \_\_\_\_\_ Date \_\_\_\_\_

## **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

New Jersey Department of Transportation  
[Category 3 services per Section 3.1.1 of the IOM RFQ]

### **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 nationwide 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 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 (“Taskforce”) and the Governor’s Disaster Recovery Office (“GDRO”).

Pursuant to E.O. 166, the Taskforce has issued guidelines, which have been updated as of June 2021 and are attached hereto, 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 Auditing, Financial Auditing and Grant Management, and Integrity Monitoring/Anti-Fraud services.

The New Jersey Department of the Treasury has established a pool of qualified Integrity Monitors for the oversight of COVID-19 Recovery Funds and COVID-19 Recovery 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 will apply to all Integrity Monitoring Engagements executed via this Engagement Query.

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

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This Engagement Query is issued by the Department of the Treasury on behalf of the New Jersey Department of Transportation (NJDOT).

The purpose of this Engagement Query is for the **Using Agency** to procure the services of an Integrity Monitor ("IM") for **Category 3 services per Section 3.1.1 of the IOM RFQ.**

## A. Background

- Route 130, Bridge over Big Timber Creek, Contract No. 025144260, Bridge Replacement, Borough of Brooklawn, Camden County, Borough of Westville, Gloucester County. The anticipated publicly advertising date is December 12, 2022. The anticipated bid opening date is January 22, 2023. The projected cost is approximately eighty-million dollars (\$80,000,000.00). This project was authorized by the Federal Highway Administration (FHWA).

Anticipated start date February 2023, anticipated completion date July 2030.

- Route 47, Bridge over Big Timber Creek, Contract (DBNUM: 11371; UPC: 113710). The projected cost is approximately thirty-one million dollars (\$31,000,000.00). The anticipated publicly advertising date is May 11, 2023. The anticipated bid opening date is June 6, 2023. The projected cost is thirty-one million dollars (\$31,000,000.00). This project is pending authorized by the Federal Highway Administration (FHWA).

Anticipated start date July 2023, anticipated completion date July 2030.

- Route 76/676 Bridges and Pavement, Contract 3 (DBNUM: 11326C; UPC: 208050). The projected cost is approximately seventy-six million dollars (\$76,000,000.00). The anticipated publicly advertising date is April 11, 2024. The anticipated bid opening date is May 2, 2024. This project is pending authorized by the Federal Highway Administration (FHWA).

Anticipated start date June 2023, anticipated completion date July 2030.

**Please note: The NJDOT plans to obligate all the CRRSAA funding in Federal FY 2023 i.e., by September 30, 2023. FHWA does provide oversight on these projects. All the projects will be publicly advertised, bid opened, read, and awarded by NJDOT.**

- The purpose of this solicitation is to obtain one (1) Integrity Monitor for all of the NJDOT CRRSAA projects over twenty million dollars (\$20,000,000.00) to eliminate duplication in effort, create consistency in results, streamline deliverables, and reduce cost.

- All Program data will be available electronically (read only) either through the NJDOT network in NJDOT's Project Reporting System (PRS) and or in our ACCESS Database. NJDOT can also provide hardcopies or PDF documents, if necessary.
- Helpful links follow:
  - [Construction Services Overview, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/ConstructionServicesOverview.html)
  - [Notices, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/Notices.html)
  - [Prequalification, Construction Services, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/Prequalification.html)
  - [Current Advertised Projects, Construction Services, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/CurrentAdvertisedProjects.html)
  - [Subcontracting, Construction Services, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/Subcontracting.html)
  - [Planned Advertisements, Construction Services, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/PlannedAdvertisements.html)
  - [2022 Bid Openings, Construction Services, Procurement, Doing Business \(state.nj.us\)](https://www.state.nj.us/treasury/procurement/doingbusiness/2022BidOpenings.html)

## **II. SCOPE OF WORK REQUIREMENTS**

The IM will conduct a Risk Assessment specific to the items listed within II. SCOPE OF WORK REQUIREMENTS, as well as a detailed single work plan that includes a sampling method for detecting fraud, waste, corruption and or abuse related to the following three (3) projects:

- Route 130, Bridge over Big Timber Creek, Bridge Replacement, the projected cost is approximately eighty-million dollars (\$80,000,000.00).
- Route 47, Bridge over Big Timber Creek, the projected cost is thirty-one million dollars (\$31,000,000.00).
- Route 76/676 Bridges and Pavement, Contract 3, the projected cost is approximately seventy-six million dollars (\$76,000,000.00).

### A. Project Description

Under this engagement and working in cooperation with NJDOT's Inspector General, the IM will complete the following Program reviews for each project awarded

- Review sample of applicant files for eligibility, payment, and proper documentation
- Review program policies and procedures, organizational structure/capacity, and internal controls assessment
- Review program risks
- Review subrecipient expenditures and compliance with Program requirements
- Review duplication of benefits
- Conduct a sampling of program characteristics using a sampling methodology that is consistent with the risk assessment

- Sampling methodology may be adjusted during the Engagement to take into account prior findings or indicia of fraud to minimize fraud, waste, or abuse
- Interview Using Agency personnel, as necessary
- Document retention policies and procedures
- Review sample program files to ensure compliance with NJDOT policies and federal regulations as applicable
- Conduct a sampling of program files using a sampling methodology that is consistent with the risk assessment
- Sampling methodology may be adjusted during the Engagement to take into account prior findings or indicia of fraud to minimize fraud, waste, or abuse
- Interview Using Agency personnel, as necessary
- Fraud prevention/detection and data analytics
- Review program or applicant data and/or contracts to identify potential fraud, using data analytics or other methods to identify anomalies, patterns, and discrepancies
- Conduct follow-up interviews as necessary
- Cross-check or validate information against other data sources
- Assist in the development of an anti-fraud monitoring, prevention, and detection program
- Fraud awareness instruction for NJDOT, contractors, and/or subcontractors
- Recommend steps to increase awareness of Program integrity and antifraud efforts to Program applicants and other stakeholders
- Recommend mechanisms for reporting and responding to fraud internally and externally, as applicable
- Construction project monitoring
- Ongoing monitoring, including a review of procurements, expenditures, change orders, invoices, punch list items, etc.
- Review of compliance with New Jersey Prevailing Wage Act, Davis-Bacon Act (as applicable), work with the Division of Civil Rights on compliance with:
  - Title VI. Nondiscrimination [Title VI Overview, Civil Rights/Affirmative Action, Doing Business \(state.nj.us\)](#) Disadvantaged Business Enterprise (DBD) [Disadvantaged and Small Business Programs Unit, Civil Rights/Affirmative Action, Doing Business \(state.nj.us\)](#) United States Department of Transportation [Department of Transportation](#)
- On-site reviews
- Procurement/expenditure reviews
- Review procurements to determine compliance with applicable procurement regulations
- Review expenditures to test for proper documentation, authorization, and approvals
- Payroll reviews
- Review contractor payroll expenditures, time sheets, job descriptions, and fringe benefits to ensure proper documentation, eligibility for reimbursement, etc.
- Within five (5) business days of the purchase order issued as a result of the Letter of Engagement, the IM and NJDOT shall 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.

- The IM shall conduct a Risk Assessment of the NJDOT's existing controls in place to prevent fraud, waste, or abuse in connection with the COVID-19 Recovery Program that includes, at minimum, a review or assessment of:
  - Program policies and procedures
  - NJDOT's organizational structure and capacity
  - NJDOT's internal controls
  - Level of risk associated with the Program
  - NJDOT's prior audits
- Based on the risk assessment, the IM shall develop and submit a Work Plan for monitoring the COVID-19 Recovery Program for fraud, waste, or abuse that includes a review of relevant risk factors specific to the Program being monitored.
- The Work Plan shall include a sampling methodology to achieve a monitoring objective related to both compliance and internal controls. Any sampling used shall follow a nationally recognized audit standard such as the AICPA or GAO Government Auditing Standards, 2018 Revision. Sampling methodologies may include: (1) simple random; (2) statistical; (3) judgmental; (4) or other methodology appropriate to the Program characteristics. The IM shall document the rationale for the sampling methodology selected.
- Depending on findings as a result of monitoring under the Work Plan, the IM should evaluate whether onsite monitoring is appropriate based upon any conclusions reached when conducting the risk assessment or as a result of ongoing monitoring. The IM shall document in writing its evaluation and conclusion, including an assessment of the following factors:
  - Significant findings reported in quarterly reports or interim reports.
  - Unresponsiveness to requests for information.
  - Non-compliance with federal reporting requirements; and
  - Allegations of misuse of funds.
- The IM shall implement the Work Plan to provide oversight of the Program until the expiration of this Engagement.

## **B. Reporting Requirements**

### **1. Quarterly Integrity Monitor Reports**

- a. Pursuant to E.O. 166, the Integrity Monitor shall submit a draft quarterly report to the NJDOT on the last day of every calendar quarter detailing the specific services rendered during the quarter and any findings of fraud, waste, or abuse

using the Quarterly Report template attached hereto. If the Integrity Monitor report contains findings of fraud, waste, or abuse, the NJDOT has an opportunity to respond within 10 business 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 NJDOT, 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.

## 2. Additional Reports

- a. 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 IM Guidelines, OSC may request that the Integrity Monitor issue additional reports or prepare memoranda that will assist OSC in evaluating whether there is fraud, waste, 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.
- b. The delivery of special reports (limited to six (6) reports) within any fiscal year of the contract as specified by the NJDOT and agreed upon by the IM at the time of assignment. The report requirements and delivery schedule will be confirmed in writing by the NJDOT before the start of any work. A list of sample reports follows:
  - A summary of payment invoice (for period of not less than a month and not more than a six (6) month period), the IM shall provide a written report including, at a minimum:
    - Labor hours billed for each specific work classification within the project contract.
    - Evaluation of effectiveness of fraud prevention activities including assessment of results, recommendations for corrective action, and prioritization of implementation of risk mitigation measures; and
    - Indications of fraud, waste, or abuse that should be immediately addressed by the NJDOT with recommendations for risk mitigation.
  - 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.

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

- a. The Integrity Monitor shall report issues of fraud, waste, 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.

C. Specific Performance Milestones/Timelines/Standards/Deliverables

All deliverables must be completed by the dates indicated below.

Deliverables	Date due
Kick-off meeting with NJDOT staff and successful IM	Five (5) business days after the issuance of the PO/Letter of engagement, the IM and NJDOT shall participate in a kick-off meeting to review the deliverables and due dates.
Risk Assessment	As agreed, upon in writing at the time the contract is awarded by DPP and this assignment is confirmed in writing by NJDOT
Work Plan	As agreed upon in writing at the time the contract is awarded by DPP and this assignment is confirmed in writing by NJDOT
Interim Reports/Periodic Meetings	As agreed, upon in writing at the time of assignment and confirmed in writing by NJDOT
Draft Quarterly Report(s)	Last day of each quarter
Final Quarterly Report(s)	15 business days after the end of each quarter
Quarterly Reports	Defined in Section B. Reporting Requirements Five (5) business days after the meeting or as agreed upon in writing by NJDOT
Project Completion Report	Thirty (30) business after the submission of the draft final report.

**III. Proposal Content**

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

- 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.

- 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.
- Identification of any potential conflicts of interest regarding the delivery of services for the scope of work under this Engagement Query.
- 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. **Thursday, January 5, 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 [REDACTED]

#### **V. Duration of the Engagement**

The Engagement will commence upon the issuance of a Letter of Engagement and expire on July 2030.

At the option of NJDOT, 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 IM 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 IOM RFQ.

#### **VII. Liquidated Damages**

At NJDOT's discretion, liquidated damages may be assessed each time any of the below events occur, due to an act or omission of the IM. NJDOT and the IM agree that it would be extremely difficult to determine actual damages that NJDOT will sustain as the result of the IM's failure to meet its contractual requirements. Any breach by the IM could prevent NJDOT 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 NJDOT's ability to ensure identification and mitigation of risks; and may lead to damages suffered by NJDOT and the State as a whole. If the IM fails to meet its contractual obligations, NJDOT may assess liquidated

damages against the IM as follow, and the IM agrees that these liquidated damages are reasonable and not a penalty:

Failure to make delivery of any written report identified within this RFP under section B. Reporting and or for any reports agreed upon in writing. The liquidated damage will not exceed one hundred dollars per day (\$100.00/day).

Failure to attend any pre-scheduled meetings agreed upon in writing between the IM and NJDOT. The liquidated damage will not exceed one hundred-fifty dollars per day (\$150.00/day).

### **VIII. Questions regarding this Engagement Query**

Any questions related to the Engagement Query, such as questions related to the Program or accessibility and format of data, must be submitted electronically by 3:00 p.m. on **Wednesday, December 7, 2022**. They must be submitted via email to the Agency Contract Manager, Jonathan Trauger, Program Supervising Internal Auditor, Office of the Inspector General, [REDACTED] with a copy to the State Contract Manager, Mona Cartwright at [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.

The Using Agency 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.

Attachment 1: Integrity Oversight Monitor Guidelines, updated as of June 2021

Attachment 2: Quarterly Report Template – Category 3

Attachment 3: EQ Price Sheet

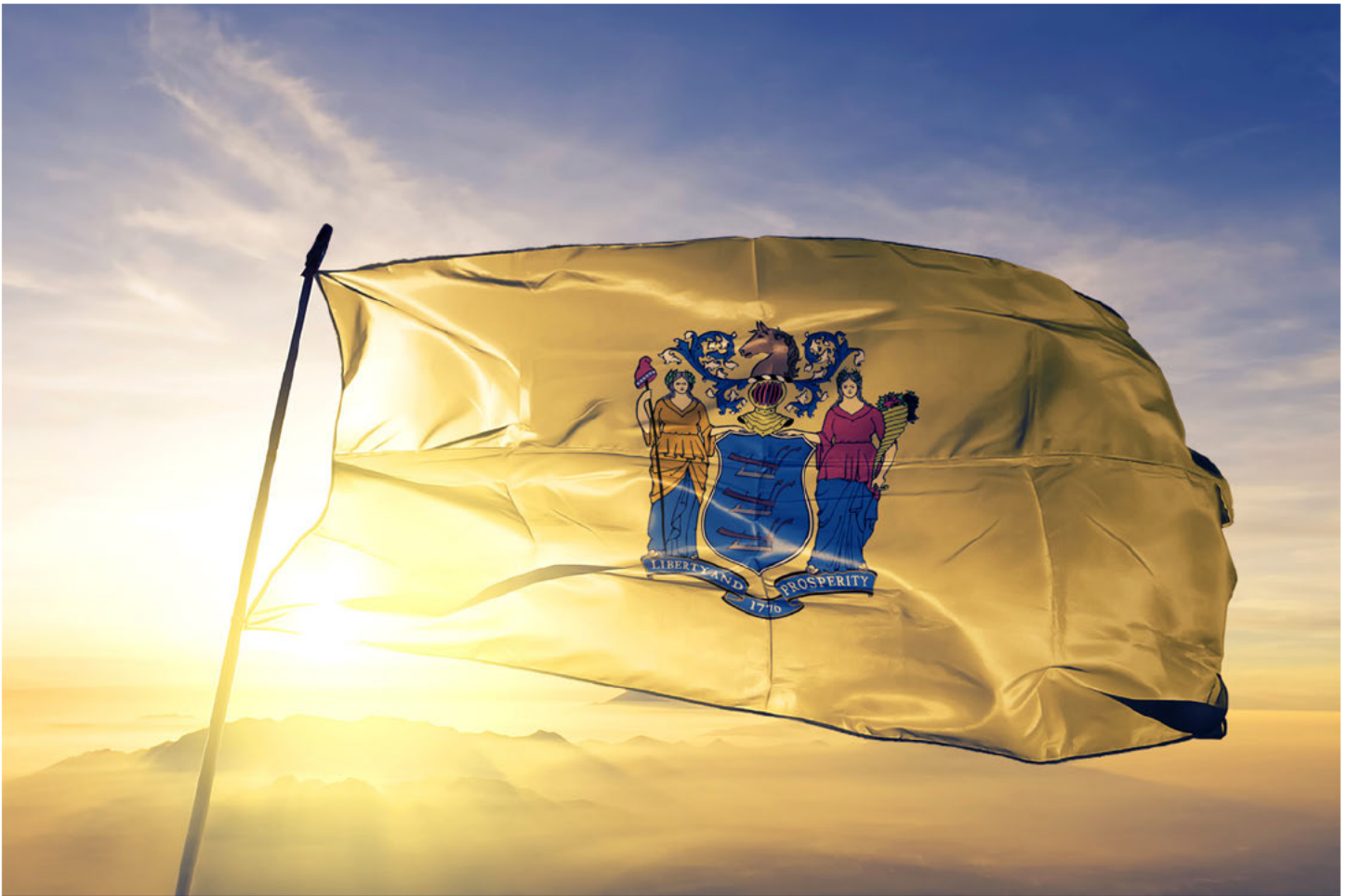
Attachment 4: Risk Matrix

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, 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, the Proposer shall be solely responsible for defending its designation.



# Integrity Oversight Monitor Guidelines

2021 Update

**STATE OF NEW JERSEY  
COVID-19 COMPLIANCE AND  
OVERSIGHT TASKFORCE**

# Table of Contents

<b>Introduction</b>	<b>3</b>
<b>Establishing a Pool of Integrity Monitors</b>	<b>4</b>
<b>Conditions for Integrity Monitors</b>	<b>6</b>
<b>Risk Assessment</b>	<b>7</b>
<b>Procedures for Requesting and Procuring an Integrity Monitor</b>	<b>9</b>
<b>Integrity Monitor Requirements</b>	<b>10</b>
A. Independence	
B. Communication	
C. General Tasks of Integrity Monitors	
D. Reporting Requirements	
1. Reports	
2. Additional Reports	
3. Reports of Waste, Fraud, Abuse or Potentially Criminal Conduct	
<b>Integrity Monitor Management and Oversight</b>	<b>13</b>

# INTRODUCTION

On July 17, 2020, Governor Murphy signed Executive Order 166 (“EO 166”), which, among other things, established the COVID-19 Compliance and Oversight Task Force (the “Taskforce”). The purpose of the Taskforce is to advise State departments, agencies, and independent authorities that receive or administer COVID-19 recovery funds (“Recovery Program Participants”) regarding compliance with federal and State law and how to mitigate the risks of waste, fraud, and abuse. As defined in EO 166, “COVID-19 Recovery Funds” are funds awarded to state and local governments, and non-government sources to support New Jersey’s residents, businesses, non-profit organizations, government agencies, and other entities responding to or recovering from the COVID-19 pandemic.

Pursuant to EO 166, the Taskforce is responsible for issuing guidelines regarding the appointment and responsibilities of COVID-19 Oversight Integrity Monitors (“Integrity Monitors”). Recovery Program Participants may retain and appoint Integrity Monitors to oversee the disbursement of COVID-19 Recovery Funds and the administration of a COVID-19 Recovery Program. They are intended to serve as an important part of the state’s accountability infrastructure while working with Recovery Program Participants in developing measures to prevent, detect, and remediate inefficiency and malfeasance in the expenditure of COVID-19 Recovery Funds. Integrity Monitors may also be used, either proactively or in response to findings by an Integrity Monitor, as subject matter experts or consultants to assist Recovery Program Participants with program administration, grants management, reporting, and compliance, as approved by the Governor’s Disaster Recovery Office (GDRO).

EO 166 requires Recovery Program Participants to identify a central point of contact (an “Accountabil-

ity Officer”) for tracking COVID-19 funds within each agency or authority. The Accountability Officer is responsible for working with and serving as a direct point of contact for the GDRO and the Taskforce. Accountability Officers should also ensure appropriate reviews are performed to assess risks and evaluate whether an Integrity Monitor can assist in reducing or eliminating risk to ensure the public that state and federal funds were used efficiently, fairly, and prudently.

Recovery Program Participants and Integrity Monitors should be focused on the common goal of maximizing the value of COVID-19 Recovery Funding by ensuring that every dollar is spent efficiently and properly. Integrity Monitors can add value to a program by assisting in implementing the fiscal controls necessary to maintain proper documentation, flagging potential issues in real time, maximizing reimbursements, sharing information with and responding to inquiries from the GDRO and Office of State Comptroller (OSC), and reporting to those offices, the Treasurer, the Attorney General, and legislative leadership.

Recovery Program Participants, Accountability Officers, and Integrity Monitors should work together to fulfill the goals of EO 166 and these guidelines. The retention of Integrity Monitors will support monitoring and oversight that will ensure that Recovery Program Participants administer COVID-19 recovery funds in compliance with program, financial, and administrative requirements set forth in the federal-state grant agreement, the State Recovery Program Participant sub-grant agreement, and applicable federal and state laws, regulations, and guidelines. Additionally, these guidelines will assist the State in fulfilling its monitoring responsibilities as set forth in 2 CFR 200 Subpart D. This may involve routine desk reviews and, when appropriate, on-site reviews by an Integrity Monitor. Recovery Program Participants that do not retain an Integrity Monitor will comply with these requirements, in coordination with the GDRO, as addressed in the Compliance Plan adopted by the Taskforce.

# ESTABLISHING THE POOL OF INTEGRITY MONITORS

As of the issuance of this version of the Integrity Oversight Monitor Guidelines, a pool of monitors has already been established. The following provisions in this section should be used in the event it is necessary to establish additional pools of Integrity Monitors.<sup>1</sup>

In the event it is necessary to establish another pool of Integrity Monitors, the New Jersey Department of the Treasury, Division of Administration (Treasury) will be responsible for designating a department employee to act as the State Contract Manager for purposes of administering the overarching state contract for Integrity Monitoring Services. The State Contract Manager will establish one pool of qualified integrity monitors for engagement by eligible Recovery Program Participants. Treasury will issue a bid solicitation for technical and price quotations from interested qualified firms that can provide the following services:

- Category 1: Program and Process Management Auditing;
- Category 2: Financial Auditing and Grant Management; and
- Category 3: Integrity Monitoring/Anti-Fraud.

The specific services Integrity Monitors provide vary and will depend on the nature of the programs administered by the Recovery Program Participant and the amount of COVID-19 Recovery Funding received. The pool of Integrity Monitors should include professionals available to perform services in one or more of the following categories:

<b>Category 1: Program and Process Management Auditing</b>	<b>Category 2: Financial Auditing and Grant Management</b>	<b>Category 3: Integrity Monitoring / Anti-Fraud</b>
Development of processes, controls and technologies to support the execution of programs funded with COVID-19 Recovery Funds	Plan, implement, administer, coordinate, monitor and evaluate the specific activities of all assigned financial and administrative functions. Develop and modify policies/procedures/systems in accordance with organizational needs and objectives, as well as applicable government regulations;	Forensic accounting and other specialty accounting services.

<sup>1</sup> Agencies and authorities that are not permitted to follow all state procurement requirements due to U.S. Department of Transportation procurement policies may procure an Integrity Monitor separately in coordination with GDRO.



Review and improvement of procedures addressing financial management.	Provide technical knowledge and expertise to review and make recommendations to streamline grant management and fiscal management processes to ensure accountability of funds and compliance with program regulations.	Continuing risk assessments and loss prevention strategies.
Workload analysis; skills gap analysis, organizational effectiveness and workforce recruiting strategies.	Monitoring all grant management, accounting, budget management, and other business office functions regularly.	Performance and program monitoring and promotion of best practices.
Consulting services to support account reconciliations.	Provide and/or identify training for staff in the area of detection and prevention of waste, fraud, and abuse.	Prevention, detection and investigation of fraud and misconduct
Quality assurance reviews and assessments associated with the payments process to ensure compliance with federal and state regulations.	Ensuring compliance with all applicable federal and state accounting and financial reporting requirements.	Implement and manage appropriate compliance systems and controls, as required by federal and state guidelines, regulations and law
Risk analysis and identification of options for risk management for the federal and state grant payment process	Provide tools to be used by the Recovery Program Participant for the assessment of the performance of the financial transaction process	Provide data management systems/programs for the purpose of collecting, conducting and reporting required compliance and anti-fraud analytics.
Consulting services to reduce the reconciliation backlog for the Request for Reimbursements process		Ability to provide integrity monitoring services for professional specialties such as engineering and structural integrity services, etc. either directly or through a sub-contractor relationship
Consulting services providing Subject Matter Expert (SME) knowledge of required standards for related monitoring and financial standards for federal funding		

# CONDITIONS FOR INTEGRITY MONITORS

A Recovery Program Participant should evaluate whether it should retain an Integrity Monitor using the following standards.

## ***Category 1 & 2 Integrity Monitors:***

Category 1 and 2 Integrity Monitors are available to assist Recovery Program Participants, if, in consultation with GDRO, it has been determined that an agency or authority needs assistance in the establishment, administration, or monitoring of a program or when a Category 3 Integrity Monitor has issued findings that require the agency or authority to take corrective actions. In making the determination whether to obtain a Category 1 or 2 Integrity Monitor, a Recovery Program Participant's Accountability Officer, in consultation with GDRO, should evaluate whether an Integrity Monitor from Category 1 or 2 is necessary based on operational needs or to reduce or eliminate risk in view of the agency's or authority's existing resources, staffing, expertise or capacity. Agencies and authorities should evaluate whether the retention of a Category 1 or 2 Integrity Monitor would assist in addressing findings made by Category 3 Integrity Monitors. The availability of federal funds should be considered in evaluating whether to retain an Integrity Monitor from Category 1 or 2. In an appropriate circumstance, a Recovery Program Participant may request or may be directed by the GDRO to retain a Category 1 or 2 Integrity Monitor using non-federal funds.

## ***Category 3 Integrity Monitors:***

**For Recovery Program Participants that have received or will administer a total of \$20 million or more in COVID-19 Recovery Funds:** A Recovery Program Participant that has received this amount

of funding should retain at least one Integrity Monitor from Category 3: Integrity Monitoring/Anti-Fraud, subject to federal funding being available. The retention of Category 1 and 2 Integrity Monitors does not eliminate the obligation to retain a Category 3 Integrity Monitor. In some circumstances, multiple Category 3 Integrity Monitors may be necessary if one monitor is not adequate to oversee multiple programs being implemented by Recovery Program Participant as determined in consultation with the GDRO. In an appropriate circumstance, a Recovery Program Participant may request or may be directed by the GDRO to retain an Integrity Monitor using non-federal funds.

**For Recovery Program Participants that have received or will administer a total of up to \$20 million in COVID-19 Recovery Funds:** A Recovery Program Participant that has received this amount of funding should evaluate in consultation with GDRO whether a Category 3 Integrity Monitor is needed based on the risks presented. The Recovery Program Participant's Accountability Officer should conduct a risk assessment taking into account both the likelihood and severity of risk in the participant's program(s) and consult with the GDRO regarding whether an Integrity Monitor from Category 3 is necessary to reduce or eliminate risk in view of the agency's or authority's existing resources, staffing, expertise or capacity. The availability of federal funds should be considered in evaluating whether to retain an Integrity Monitor. In an appropriate circumstance, a Recovery Program Participant may request or may be directed by the GDRO to retain an Integrity Monitor from Category 3 using non-federal funds.

# RISK ASSESSMENT

As noted above, in certain circumstances, Recovery Program Participants seeking to retain an Integrity Monitor will be advised to conduct a risk assessment to determine the need for such services. A Recovery Program Participant's Accountability Officer, in consultation with the GDRO, should assess the risk to public funds, the availability of federal funds to pay for the Integrity Monitor, the entity's current operations, and whether internal controls alone are adequate to mitigate or eliminate risk.

An Accountability Officer, or an Integrity Monitor retained by a Recovery Program Participant, should conduct an initial review of the Recovery Program Participant's programs, procedures and processes, and assess the organizational risk and the entity's risk tolerance. The risk assessment should include a review of the agency's ability to comply with federal statutory and regulatory requirements as well as applicable state laws and regulations, including with regard to reporting, monitoring, and oversight, and a review of the agency's susceptibility to waste, fraud, and abuse.

An Accountability Officer conducting a risk assessment should complete and memorialize the assessment using the [matrix template you can download from OSC's website](#). The risk assessment should be shared with the GDRO and OSC. Some of the specific factors an Accountability Officer should consider when assessing risk include:

- Organizational leadership, capacity, expertise, and experience managing and accounting for federal grant funds in general, and disaster recovery funds in particular;
- Input from the individuals/units that will be disbursing funds or administering the program;

- Review of existing internal controls and any identified weaknesses;
- Prior audits and audit findings from state or federal oversight entities;
- Lessons learned from prior disasters;
- Sub-recipient internal control weaknesses, if applicable;
- Adequacy of financial, acquisition, and grants management policies and procedures, including technological capacity and potentially outdated financial management systems;
- Ability to complete timely, accurate and complete reporting;
- Experience with state and federal procurement processes, value of anticipated procurements, and reliance on contractors to meet program goals and objectives;
- Potential conflicts of interests and ethics compliance;
- Amount of funds being disbursed to a particular category of sub-recipient and the complexity of its project(s); and
- Whether federal or state guidelines provide guidance regarding the uses of funds (*i.e.*, discretionary vs. restrictive).

The Accountability Officer should determine the organization's risk tolerance as to all recovery programs jointly and as to individual programs, recognizing that Integrity Monitors may be appropriate for some programs and not others within an agency or authority. If the risk exceeds an acceptable level of risk tolerance, the Accountability Officer should engage an Integrity Monitor.

An important element in the risk assessments is documentation of the process and results. This is critical to ensuring the extent of monitoring and oversight. The overall level of risk should dictate the frequency and depth of monitoring practices, including how to mitigate identified risks by, for example, providing training and technical assistance or increasing the frequency of on-site reviews. In some cases, monitoring efforts may lead an Accountability Officer or the GDRO to impose additional special conditions on the Recovery Program Participant. Depending on the kind of work the sub-recipient performs, it may be appropriate to reevaluate frequently, including quarterly, to account for changes in the organization or the nature of its activities. See 2 CFR Section 200.207 in the uniform guidance for examples; [GAO Report: A Framework for Managing Fraud Risk in Federal Programs \(2015\)](#).

# PROCEDURES FOR REQUESTING AND PROCURING AN INTEGRITY MONITOR

To retain an Integrity Monitor, a Recovery Program Participant should proceed as follows:

- A Recovery Program Participant shall designate an agency employee to act as the contract manager for an Integrity Monitor engagement (Agency Contract Manager), which may be the Accountability Officer. The Agency Contract Manager should notify the State Contract Manager, on a form prescribed by Treasury, along with any required supporting documentation, of its request for an Integrity Monitor. The Agency Contract Manager should indicate which Integrity Monitoring services are required.
- The Agency Contract Manager will develop an Engagement Query.
- The Engagement Query will include a detailed scope of work; it should include specific performance milestones, timelines, and standards and deliverables.
- The Agency Contract Manager, in consultation with the Office of the Attorney General, Division of Law, will structure a liquidated damages provision for the failure to meet any required milestones, timelines, or standards or deliverables, as appropriate.
- The Agency Contract Manager will submit its Engagement Query to the State Contract Manager. Upon approval by the State Contract Manager, but prior to the solicitation of any services, the Engagement Query shall be sent to OSC for approval pursuant to EO 166. After receiving approval from OSC, the State Contract Manager will send the Engagement Query to all eligible Integrity Monitors within the pool in order to provide a level playing field.
- Interested, eligible Integrity Monitors will respond to the Engagement Query within the timeframe designated by the State Contract Manager, with a detailed proposal that includes a detailed budget, timelines, and plan to perform the scope of work and other requirements of the Engagement Query. Integrity Monitors shall also identify any potential conflicts of interest.
- The State Contract Manager will forward to the Agency Contract Manager all proposals received in response to the Engagement Query. The Agency Contract Manager will review the proposals and select the Integrity Monitor whose proposal represents the best value, price and other factors considered. The Agency Contract Manager will memorialize in writing the justification for selecting an Integrity Monitor(s).
- Prior to finalizing any engagement under this contract, the Agency Contract Manager, in consultation with the Accountability Officer, will independently determine whether the intended Integrity Monitor has any potential conflicts with the engagement.
- The State Contract Manager, on behalf of the Recovery Program Participant, will then issue a Letter of Engagement with a “Not to Exceed” clause to the engaged Integrity Monitor and work with the Agency Contract Manager to begin the issuance of Task Orders.

# INTEGRITY MONITOR REQUIREMENTS

## A. Independence

The process by which Integrity Monitors are retained and the manner in which they perform their tasks in accordance with these guidelines are intended to provide independence as they monitor and report on the disbursement of COVID-19 Recovery Funds and the administration of a COVID-19 Recovery Program by a Recovery Program Participant. Although the Integrity Monitor and the Recovery Program Participant should share common goals, the Integrity Monitor should function as an independent party and should conduct its review as an outside auditor/reviewer would.

An Integrity Monitor for a particular Recovery Program Participant should have no individual or company affiliation with the agency or authority that would prevent it from performing its oversight as an independent third party. Integrity Monitors and Recovery Program Participants must be mindful of applicable conflicts of interest laws, including but not limited to, N.J.S.A. 52:13D-12 to -28, Executive Order 189 (Kean, 1988) and requirements set forth in the Uniform Grant Guidance, among others. To promote independence, an Integrity Monitor hired from Categories 1 or 2 may not also be engaged as a Category 3 Integrity Monitor to review the same programs for the same Recovery Program Participant. Likewise, a Category 3 Integrity may not be hired as a Category 1 or 2 Monitor to remediate any issues it identified as a Category 3 Integrity Monitor.

## B. Communication

Integrity Monitors should maintain open and frequent communication with the Recovery Program Participant that has retained its services. The purpose of communicating in this manner is to make the Recovery Program Participant aware of issues that can be addressed during the administration of a program and prior to future disbursement of funds by the Parti-

part. Therefore, Integrity Monitors should not wait until reports are issued to notify an Accountability Officer of deficiencies. This will enable the Recovery Program Participant to take action to correct any deficiencies before additional funds are expended. Substantial deficiencies should also be reported in real time to the GDRO, the State Comptroller, and the State Treasurer.

Prior to the posting of an Integrity Monitor report that contains findings of waste, fraud, or abuse, the Recovery Program Participant should be permitted to respond to the findings and have that response included in the publicly posted report. This will allow the Recovery Program Participant to highlight any course corrections as a result of the finding or to contest any finding that it feels is inappropriate. A Recovery Program Participant's response is due within 15 business days after receipt of an Integrity Monitor report.

Integrity Monitors must respond promptly to any inquiries posed by the GDRO, State Comptroller, State Treasurer, and Agency Contract Manager pursuant to EO 166.

## C. General Tasks of Integrity Monitors

The tasks of an Integrity Monitor may vary based on the agency/program the Monitor is overseeing and the category of Integrity Monitor engaged. Generally, the role of a Category 1 Integrity Monitor is focused on program and process management auditing. These Integrity Monitors may assist a Recovery Program Participant in developing processes or controls to support the execution of programs, conduct risk analyses, or provide consulting or subject matter expertise to Recovery Program Participants. In general, a Category 2 Integrity Monitor's role is to provide financial auditing or grants management functions for a Recovery Program Participant. A Category 3 Integrity Monitor's primary roles are to monitor for fraud or misuse of funding, and ensure that Recovery Program Participants are performing according to the sub-award agreement and applicable federal and State regulations and guidelines. Tasks to be performed by Integrity

Monitors may include the following:

- Perform initial and ongoing risk assessments;
- Evaluate project performance;
- Evaluate internal controls associated with the Recovery Program Participant's financial management, cash management, acquisition management, property management, and records management capabilities;
- Validate compliance with sub-grant award and general term and special conditions;
- Review written documents, such as quarterly financial and performance reports, recent audit results, documented communications with the State, prior monitoring reports, pertinent performance data, and other documents or reports, as appropriate;
- Conduct interviews of Recovery Program Participant staff, as well as the constituents they serve, to determine whether program objectives are being met in an efficient, effective, and economical manner;
- Sample eligibility determinations and denials of applications for funding;
- Review specific files to become familiar with the progression of the disbursement of funds in a particular program, i.e., are actual expenditures consistent with planned expenditure and is the full scope of services listed in the project work plan being accomplished at the same rate of actual and planned expenditures;
- Ensure that the agency is retaining appropriate documentation, based on federal and state regulations and guidance, to support fund disbursement;
- Follow up with questions regarding specific funding decisions, and review decisions related to emergency situations;
- Facilitate the exchange of ideas and promote operational efficiency;
- Identify present and future needs; and
- Promote cooperation and communication among Integrity Monitors engaged by other Recovery Program Participants (e.g., to guard against duplication of benefits).

Integrity Monitors should generally perform desk reviews to evaluate the need for on-site visits or monitoring. Depending on the results of the desk review, coupled with the conclusions reached during any risk assessments that may have been conducted of the sub-recipient's capabilities, the Monitor should evaluate whether an on-site monitoring visit is appropriate. If the Monitor is satisfied that essential project goals, objectives, timelines, budgets, and other related program and financial criteria are being met, then the Monitor should document the steps taken to reach this conclusion and dispense with an on-site monitoring visit. However, the Integrity Monitor may choose to perform on-site monitoring visits as a result of any of the following:

- Non-compliance with reporting requirements;
- Problems identified in quarterly progress or financial reports;
- History of unsatisfactory performance;
- Unresponsiveness to requests for information;
- High-risk designation;
- Follow-up on prior audits or monitoring find-

ings; and

- Allegations of misuse of funds or receipt of complaints.

## D. Reporting Requirements

### 1. Reports

Pursuant to EO 166, Integrity Monitors shall submit draft quarterly reports to the Recovery Program Participant on the last day of the quarter detailing the specific services rendered during that quarter and any findings of waste, fraud, or abuse **in accordance with the report templates [found on OSC's website](#)**.

Prior to the posting of a quarterly report that contains findings of waste, fraud, or abuse, the Recovery Program Participant should be permitted to respond to the findings and have that response included in the publicly posted report. This will allow the Recovery Program Participant to highlight any course corrections as a result of the finding or to contest any finding that it contends is inappropriate. A Recovery Program Participant's response is due within 15 business days after receipt of a quarterly report.

Fifteen business days after quarter-end, Integrity Monitors will deliver their final quarterly reports, inclusive of any comments from the Recovery Program Participant, 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 GDRO transparency website pursuant to the Executive Order.

The specific areas covered by a quarterly report will vary based on the type of Integrity Monitor engaged, the program being reviewed, the manner

and use of the funds, procurement of goods and services, type of disbursements to be issued, and specific COVID-19 Recovery Fund requirements. The topics covered by the quarterly report should include the information included in [templates which you can download from OSC's website](#).

### 2. Additional Reports

EO 166 directs OSC to oversee the work of Integrity Monitors and to submit inquiries to them to which Integrity Monitors must reply promptly. OSC may request Integrity Monitors to issue reports or prepare memoranda that will assist OSC in evaluating whether there is waste, fraud, or abuse in recovery programs administered by Recovery Plan Participants.

The State Comptroller may also request Integrity Monitors or Recovery Program Participants to share corrective action plans prepared by Recovery Plan Participants to address reported deficiencies and to evaluate whether those corrective plans have been successfully implemented.

GDRO and the State Treasurer may also request reports from Integrity Monitors to which Integrity Monitors must reply promptly.

### 3. Reports of Waste, Fraud, Abuse or Potential Criminal Conduct

Integrity Monitors must immediately report substantial issues of waste, fraud, abuse, and misuse of COVID-19 Recovery Funds to the GDRO, OSC, State Treasurer, and the Agency Contract Manager and Accountability Officer of a Recovery Program Participant.

Potential criminal conduct is to be reported immediately to the Office of the Attorney General.



# INTEGRITY MONITOR MANAGEMENT AND OVERSIGHT

Agency Contract Managers have a duty to ensure that Integrity Monitors perform the necessary work, and do so while remaining on task, and on budget. Agency Contract Managers shall adhere to the requirements of Treasury Circular 14-08-DPP in their management and administration of the contract. The Agency Contract Manager will be responsible for monitoring contract deliverables and performing the contract management tasks identified in the circular, which include but are not limited to:

- Developing a budget and a plan to manage the contract. In developing a budget, the Agency Contract Manager should consider any caps on the amount of federal funding that can be used for oversight and administrative expenses and ensure that the total costs for Integrity Monitoring services are reasonable in relation to the total amount of program funds being administered by the Recovery Program Participant;
- Daily management of the contract, including monitoring and administering the contract for the Recovery Program Participant;
- Communicating with the Integrity Monitor and responding to requests for meetings, information or documents on a timely basis;
- Resolving issues with the Integrity Monitor in accordance with contract terms;
- Ensuring that all tasks, services, products, quality of deliverables and timeliness of services and deliverables are satisfied within contract requirements;

- Reviewing Integrity Monitor billing and ensuring that Integrity Monitors are paid only for services rendered;
- Attempting to recover any and all over-billings from the Integrity Monitor; and
- Coordinating with the State Contract Manager regarding any scope changes, compensation changes, the imposition of liquidated damages, or use of formal dispute processes.

In addition to these oversight and administration functions, the Agency Contract Manager must ensure open communication with the Accountability Officer, the Recovery Program Participant leadership, the GDRO, and OSC. The Agency Contract Manager should respond to inquiries and requests for documents from the GDRO and OSC as requested.



State of New Jersey, COVID-19  
Compliance and Oversight Taskforce

**Integrity Monitor Report  
Category 3**

Integrity Monitor Firm Name: [Type Here]  
Quarter Ending: [MM/DD/YYYY]  
Expected Engagement End Date: [MM/DD/YYYY]

**A. General Info**

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:

[Type Here]

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

[Type Here]

10. Amount Provided to Other State or Local Entities:

**Integrity Monitor Report  
Category 3**

[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. If FEMA funded, brief description of the status of the project worksheet and its support:

- a) IM Response

[Type Here]

- b) Recovery Program Participant Comments

[Type Here]

14. 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]

15. Description to confirm appropriate data/information has been provided by the Recovery Program Participant and description of activities taken to review the project/program:

- a) IM Response

[Type Here]

**Integrity Monitor Report  
Category 3**

b) Recovery Program Participant Comments

[Type Here]

16. Description of quarterly auditing activities conducted to ensure procurement compliance with terms and conditions of contracts and agreements:

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

17. If payment documentation in connection with the contract/program has been reviewed, provide description.

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

18. Description of quarterly activity to prevent and detect waste, fraud, and/or abuse:

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

19. Details of any integrity issues/findings, including findings of waste, fraud, and/or abuse:

a) IM Response

[Type Here]

**Integrity Monitor Report  
Category 3**

b) Recovery Program Participant Comments

[Type Here]

20. Details of any other items of note that have occurred in the past quarter:

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

21. Details of any actions taken to remediate waste, fraud, and/or abuse noted in past quarters:

a) IM Response

[Type Here]

b) Recovery Program Participant Comments

[Type Here]

**C. Miscellaneous**

22. 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]

23. Add any item, issue, or comment not covered in previous sections but deemed pertinent to monitoring program:

a) IM Response

[Type Here]

**Integrity Monitor Report  
Category 3**

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]

## Integrity Monitoring - Price Sheet

Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)	Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
<b>Risk Assessment</b>	Partner/Principal/Director			\$0.00	\$0.00		\$0.00	\$0.00
	Program Manager			\$0.00			\$0.00	
	Project Manager			\$0.00			\$0.00	
	Supervisory/Sr. Consultant			\$0.00			\$0.00	
	Consultant			\$0.00			\$0.00	
	Associate/Staff			\$0.00			\$0.00	
	Subject Matter Expert			\$0.00			\$0.00	
	Administrative Support			\$0.00			\$0.00	
			0					
<b>Work Plan Development</b>	Partner/Principal/Director			\$0.00	\$0.00		\$0.00	\$0.00
	Program Manager			\$0.00			\$0.00	
	Project Manager			\$0.00			\$0.00	
	Supervisory/Sr. Consultant			\$0.00			\$0.00	
	Consultant			\$0.00			\$0.00	
	Associate/Staff			\$0.00			\$0.00	
	Subject Matter Expert			\$0.00			\$0.00	
	Administrative Support			\$0.00			\$0.00	
			0					
<b>On-going Monitoring</b>	Partner/Principal/Director			\$0.00	\$0.00		\$0.00	\$0.00
	Program Manager			\$0.00			\$0.00	
	Project Manager			\$0.00			\$0.00	
	Supervisory/Sr. Consultant			\$0.00			\$0.00	
	Consultant			\$0.00			\$0.00	
	Associate/Staff			\$0.00			\$0.00	
	Subject Matter Expert			\$0.00			\$0.00	
	Administrative Support			\$0.00			\$0.00	
			0					
<b>Reports</b>	Partner/Principal/Director			\$0.00	\$0.00		\$0.00	\$0.00
	Program Manager			\$0.00			\$0.00	
	Project Manager			\$0.00			\$0.00	
	Supervisory/Sr. Consultant			\$0.00			\$0.00	
	Consultant			\$0.00			\$0.00	
	Associate/Staff			\$0.00			\$0.00	
	Subject Matter Expert			\$0.00			\$0.00	
	Administrative Support			\$0.00			\$0.00	
			0					
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>				<b>\$10,000.00</b>				
<b>Total Cost (non-discounted)</b>					<b>\$10,000.00</b>			
<b>Total Cost (if discounted)</b>								<b>\$10,000.00</b>



Agency / Authority:	Department of Transportation	Completed By:
Program:	Coronavirus Response & Relief Supplemental Appropriations Act, 2021, Public Law 116-260 (CRRSAA)	
Funding Source:	Federal	Date:
Recipient or Subrecipient:	New Jersey Department of Transportation & MPOs	

Office of the CFO

3/31/2021

Risk Inquiry Areas	Rating Element	Summary Assessment/Description of Risks Identified	Risk Level (Low, Medium, High)
<b>Inquiry 1:</b>			
Organizational leadership, capacity, expertise, and experience managing and accounting for federal grant funds in general, and disaster recovery funds in particular.	Assess your agency's experience and staffing capacity to manage and account for federal grant funds and/or disaster recovery funds. Considerations include: your agency's organizational structure, supervisory roles, delegation of authority, line level staffing capacities, experience at all levels, and responsibilities and relations within and between different divisions or offices within your agency. Does your agency have a monitoring and oversight plan to assess your continued performance and compliance with the CRRSAA fund requirements, federal and state laws and regulations? Does that plan include an assessment of internal controls, review of risks, threats and prevention and detection of fraud, waste, and abuse? How will your agency address risk areas and the need for corrective action?	Objectives of the NJ Department of Transportation as found in the Governor's Budget Message include: <b>1.</b> To reconstruct and construct State roads, bridges and railroad grade crossings, and to maintain them in a state of good repair to ensure the safe and efficient movement of people and goods. <b>2.</b> To provide oversight of regional planning by the three metropolitan planning organizations to ensure consistency with State policy and conformance with federal requirements. <b>3.</b> To plan, design, construct, maintain and operate new and redesigned transportation facilities to enable safe access and mobility of pedestrians, bicyclists and transit users of all ages and abilities. In addition, the Department benefits from strong policies and procedures developed over time. <b>See list of specific policies and procedures at end.</b> These policy & procedures are established and all NJDOT employees are required to comply. The Department has a workforce of 3,174 employees. Of these employees 1,374 provide direct support to the above objectives. An additional 19 employees prepare the Statewide Transportation Improvement Program (STIP) and the annual capital program, and provide federal and state funds in a manner that ensures projects remain on schedule and maximizes reimbursement of eligible federal funds, 59 employees pay bills and perform external audit functions, and 26 employees manage the procurement of construction and consultant services. The rules that govern how NJDOT will use the CRRSAA funds are the same rules that apply to all FHWA funding. Current approved business practices will be used.	Low
<b>Inquiry 2:</b>			
Input from the individuals/units that will be disbursing funds or administering the program.	How will your agency plan for the use of the CRRSAA funds? Does your plan include considerations for federal and state requirements and eligible uses of the funds? Does your plan establish adequate funding and staffing requirements for administering the funds? Is your plan consistent with your statutory mission and the CRRSAA fund objectives? Does your plan include or contemplate the inclusion of input from line staff that are administering the program?	Some of these items have been addressed above. The plans for the use of the funds have been developed in coordination and collaboration with many offices of the Department and is consistent with the STIP which is consistent with eligible use of the funds. The Department has adequate funding and staffing requirements. Contractors/consultants are used to supplement staff as needed. There is no disbursement of funds or program to administer. CRRSAA funds will be authorized, advertised, put under agreement, and managed like all other FHWA fund sources and projects. Enclosed is a U.S. Department of Transportation, Federal Highway Administration Notice about the apportionment of Highway Infrastructure Program Funds pursuant to CRRSAA. The Notice contains the rules related to using the funds.	Low
<b>Inquiry 3:</b>			
Review of existing internal controls and any identified weaknesses.	Has your agency reviewed its internal controls to ensure that policies and procedures are in place to satisfy the CRRSAA fund requirements, federal and state laws and regulations? Are your agency policies and procedures adequate? Are they updated for all relevant processes required for the administration of the CRRSAA funds? Does your agency have a monitoring and oversight plan to assess your continued performance and compliance with the CRRSAA fund requirements, federal and state laws and regulations? Does that plan include an assessment of internal controls, review of risks, threats and prevention and detection of fraud, waste, and abuse? How will your agency address risk areas and the need for corrective action?	The Department complies with Treasury Circular Letter 19-02-OMB-Annual Internal Control Reporting. The Department regular reviews and updates its policies and procedures and has a dedicated office, Division of Legislative, Administrative, and Regulatory Actions, tasked with review of said policies. CRRSAA funds will be authorized, advertised, put under agreement, and managed like all our other FHWA fund sources and projects. Current policies, procedures, systems and reporting capabilities will enable the necessary monitoring. The receipt of CRRSAA funds does not present an additional risk to the Department.	Low
<b>Inquiry 4:</b>			
Prior audits and audit findings.	Has your agency been audited in the past? Have you considered and addressed any prior audit findings and recommendations that may be applicable to your success in overseeing COVID stimulus funding?	The Department is subject to federal, state, and internal audits. Corrective actions are taken to address deficiencies. More specifically, the NJDOT is audited routinely for the Federal Single Audit and by the Office of Legislative Services, Office of the State Auditor. The most recent Federal Single Audit did not identify any findings. Additionally, all prior year findings have been addressed by the Department, and there are no open findings/recommendations with any of the external monitoring agencies.	Low
<b>Inquiry 5:</b>			

Lessons learned from prior disasters.	Has your agency been audited after a previous disaster? Have you considered and addressed any findings and recommendations from such audit(s)?	The Department does not consider CRRSAA Act funds disaster funds since these funds will be administered through the FHWA process. A similar program to CRRSAA is when the Department received transportation funding under the American Recovery and Reinvestment Act (ARRA) of 2009. There were no problems with the administration of the ARRA funding, and like CRRSAA funding, ARRA funding had to be strictly monitored. NJDOT is working with Treasury to set up the CRRASS funds in a manner that will facilitate monitoring. Under ARRA the Department received \$619 M in funding. The Department has an office that works with applying for disaster funding since in a typical year there are wind, flooding and snow events that become declared disasters. The Department has been audited in recent years and there have been no findings.	Low
<b>Inquiry 6:</b> Sub-recipient internal control weaknesses, if applicable.	If your agency is overseeing sub-recipients, have the sub-recipients been the subject of prior negative audit findings and recommendations that could impact oversight? How will your agency ensure that sub-recipients adhere to all requirements relating to their receipt of funds, including their use of funds and the reports they will be required to submit documenting their use of such funds?	The Division of Local Aid and Economic Development oversees sub-recipients as delegated by FHWA. All sub-recipients are required to complete an Eligibility Assessment which assesses each recipient's potential risks. This assessment includes identifying at least one Responsible Charge and staff needed by the Local Public Agency to deliver a federal project. Training related to all aspects of delivery is available for free through the Local Technical Assistance Program. If any Local Public Agency is considered a higher risk, the NJDOT Local Aid Resource Center works directly with the Local Public Agency to ensure compliance.	Low
<b>Inquiry 7:</b> Adequacy of financial, acquisition, and grants management policies and procedures, including technological capacity and potentially outdated financial management systems.	When is the last time there was an assessment of financial, acquisition, and grants management policies and procedures? Is technological capacity an issue? Are the financial management systems adequate or outdated? Have the systems been updated or can they be updated to function adequately for the administration of the CRRSAA funds?	The Department's Financial Management Information System (FMIS) properly identifies, segregates and accumulates all costs by funding source and is functioning properly in order to provide for the monitoring of these funds. Information about FMIS is enclosed.	Low
<b>Inquiry 8:</b> Barriers to reporting.	Does your agency have, or intend to develop, templates/forms or other documentation to report the results of the funding awards, including how your agency will respond to oversight bodies seeking to ascertain who received funds, the amount of funds, and the date funds were distributed?	The Department intends to fund 7 projects with the \$192 M being provided under CRRSAA. These projects will each have unique job numbers that will identify them as a project being funded with CRRSAA funds. These projects and the funding will be part of the Department's FMIS system. The Department will monitor spending, as it does for all federal projects, through FMIS. A variety of Business Objects reports are available; new reports can be developed for reporting purposes.	Low
<b>Inquiry 9:</b> Experience with state and federal procurement processes, value of anticipated procurements, and reliance on contractors to meet program goals and objectives.	Assess and evaluate your agency's procurement processes and experience with state and federal procurement requirements. Do you have a trained and qualified contract manager assigned to the contract? Do your contracts contain provisions to ensure that contracted vendors provide all necessary reports in the form/manner proscribed by contract? Have your contract templates been reviewed and checked for necessary state and federal contract language? If emergency contracts have been entered into, how do you plan to transition after the urgent need has ended? Do you have plans to conduct a cost analysis?	NJ State Statutes provides the Department with certain procurement authority for transportation. The Department has a Division of Procurement that is responsible for the bidding of federal and state funded transportation projects. Contracts are reviewed by Department Deputy Attorneys General. The contracts contain the necessary federal and state contract language. Emergency contracts are not anticipated. There are no plans to conduct a cost analysis. The Department has a value engineering office which reviews the most cost effective ways to build and maintain the State's transportation infrastructure. The Department has contract managers, typically engineers in Capital Program Management, that manage projects.	Low
<b>Inquiry 10:</b> Potential conflicts of interests and ethics compliance.	Evaluate the means used to ensure that there is adequate separation of duties surrounding program funding requests and determinations. Does your agency have a code of conduct or policy describing measures to guard against potential conflicts of interest?	The Division of Capital Investment Strategy interfaces with FHWA for allocating the federal funds. The Division of Procurement bids the contracts. Capital Program Management employees (typically engineers) manage the contracts, and review and approve all invoices. The Division of Accounting and External Audit pays the invoice upon proper documentation. Enclosed is the Department's Code of Ethics for Vendors.	Low
<b>Inquiry 11:</b> Amount of funds being disbursed to a particular category of sub-recipient and the complexity of its project(s).	Evaluate the guidance, policies and procedures, or other documents that are being used to ensure that your agency properly oversees the sub-recipients' use of funds, including those relating to internal recordkeeping, monitoring, and sub-recipient reporting. Does your agency have a plan to monitor sub-recipients' compliance with program requirements and those outlined in Uniform Grant Guidance 2 C.F.R. 200.331 (Requirements for pass through entities)? Does that plan assess risk of sub-recipients? Does that plan include training and training documents? Have you prepared templates or other reporting forms that you will be providing to sub-recipients? Has your agency developed a plan to address sub-recipient noncompliance?	The Division of Local Aid and Economic Development oversees sub-recipients as delegated by FHWA. All sub-recipients are required to complete an Eligibility Assessment which assesses each recipient's potential risks. This assessment includes identifying at least one Responsible Charge and staff needed by the Local Public Agency to deliver a federal project. Training related to all aspects of delivery is available for free through the Local Technical Assistance Program. If any Local Public Agency is considered a higher risk, the NJDOT Local Aid Resource Center works directly with the Local Public Agency to ensure compliance. Additionally, the Division of Local Aid is going through an internal DOT audit to assess policies and procedures. The FHWA also conducts an annual assessment of Local Aid's projects and suggests improvements for better compliance.	Low
<b>Inquiry 12:</b>			

Whether federal or state guidelines provide guidance regarding the uses of funds (i.e., discretionary vs. restrictive).	Evaluate how eligibility determinations will be made? Does your agency have written guidance or policies and procedures that provide direction in making and documenting eligibility determinations? Is the completeness and accuracy of information used in eligibility determinations verified? If so, how? By whom? Is there supervisory review and approval in this process?	FHWA notice N4510.851 issued 01/15/2021 provides guidance on the use of funds issued pursuant to the Coronavirus Response and Relief Supplemental Appropriations Act, 2021 (CRRSAA), Title IV of Division M, Public Law (Pub .L.) 116-260. The notice provides eligibility criteria and references all other applicable sections of Title 23, U.S.C. Enclosed. Copy	Low
<b>Continued from Inquiry 1</b>		<b>Continued from Inquiry 1</b>	
		Specifically, the Department adheres to Policy & Procedure (P&P) 200 Request for Investigative Services; P&P 202 NJDOT Property – Securing Property and Reporting Losses, and Thefts and Vandalism. Contracting for Construction Services: P&P 310 Bid Contracts - Awarding or Rejecting, Preparing, Executing and Distributing, P&P 315 Advertising for Bids, P&P 317 Classification of Contractors, P&P 318 Receipt of Bids. Contracting for Professional Services: P&P 312 Consultant Selection Process, P&P 328 Agreement Development, Execution, Management, and Closure of Consultant Contracts, P&P 354 Use of Term Agreements, AD-47 Consultant Selection Committee. Other related Policies and Procedures are P&P 348 Routing, Approval and Processing Consultant Service related payment vouchers, P&P 337 Federal agreement closing, P&P 707 Federal Funds Management, P&P 401 Department Actions, and P&P 400 Job Number Initiation.	

Note: This risk assessment tool may not include all relevant risk factors for your particular agency. Each agency should undertake a review to determine whether any additional risk areas should be reviewed, should identify those areas here, and should analyze them in accordance with the format of this tool.

**State of New Jersey Department of the Treasury  
Contract G4018 Integrity Oversight Monitoring  
Engagement Query – NJ Department of Transportation (NJDOT)  
Category 3 services per Section 3.1.1 of the IOM RFQ  
Proposal**

January 5, 2023

State Contract Manager  
Ms. Mona Cartwright, Fiscal Manager  
Department of the Treasury



Rumph & Associates, P.C.  
2520 Northwinds Pkwy Suite 150  
Alpharetta, GA, 30009



**RE: Engagement Query – Integrity Monitoring - NJ Department of Transportation  
Category 3: Integrity Monitoring/Anti-Fraud**

Dear Ms. Cartwright:

We are pleased to submit our proposal to provide the New Jersey Department of Transportation (NJDOT) with Category 3 integrity monitoring services in connection with three major construction programs. As we recently completed the IM engagement to review NJDOT's construction policies and procedures, we are familiar with the agency's construction guidelines and will leverage that knowledge to complete the work under the current Engagement Query.

Rumph & Associates, P.C. (Rumph) is bidding as a Small Disadvantaged Business (SDB). I am authorized to negotiate on Rumph's behalf. I can be reached at [trumph@rumphandassociates.com](mailto:trumph@rumphandassociates.com), Phone: (770) 569-1239, ext. 101.

Respectfully submitted,



Thomas Rumph, Jr.  
Managing Partner

*This proposal includes data that shall not be disclosed outside the New Jersey Government and shall not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this Offeror as a result of, or in connection with, the submission of this data, the New Jersey Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the New Jersey Government's rights to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in all sheets.*

**TABLE OF CONTENTS**

Executive Summary .....	4
1 Detailed Proposal .....	6
1.1 Risk Assessments .....	6
1.2 Fraud Detection/Prevention in Expenditures .....	9
1.3 Development of Anti-Fraud Program / Instruction .....	10
1.4 Ongoing Monitoring .....	12
1.5 Timeline for Submission of Deliverables .....	12
2 Detailed Budget .....	14
3 Identification of Potential Conflicts of Interest.....	14
4 Existing Engagements under G4018.....	15
5 Qualifications and Experience of the Personnel Assigned to this Engagement.....	17
6 Resumes .....	19
Thomas Rumph, Jr., CPA .....	19
Marisa Doras, MBA, CPA, CITP, CGMA .....	20
Kenneth Edwards, CPA .....	22
April Gloston .....	23
Bill Young, Jr.....	24
Brenda Matthews .....	26
Daniel Benbow, CFE, CPA .....	27
David Luker, CPA .....	28
Matthew Blondell, CPA.....	29
Laura Manlove, CPA .....	30
Jill Reyes, CPA .....	31
Jennifer Murtha, CPA .....	32
Rita Chevalier .....	33
Stephanie Tantillo, CCA.....	34
Ryan Daly, CPA.....	35
Sean McCarter, M.Sc.....	36

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***LIST OF TABLES***

Table 1: Common Fraud Areas and Procedures to Mitigate Risk of Occurrence..... 11

Table 2: Timeline for Submission of Deliverables ..... 13

Table 3: Discounted Cost 2023-2030..... 14

## EXECUTIVE SUMMARY

**Rumph & Associates, P.C. (Rumph)** is pleased to submit a proposal to conduct financial monitoring, grant management and anti-fraud monitoring at the New Jersey Department of Transportation (NJDOT), and build upon the integrity monitoring work we recently completed for NJDOT, conducting risk assessments of the agency's construction policies and procedures.

Rumph is a CPA firm providing services since 2007. We have built an outstanding reputation for planning, execution, and service delivery over that time. Rumph is committed to excellence and creating innovative and flexible solutions for our clients. We have the expertise, experience, skills, knowledge, and resources to handle the most challenging requirements and conditions in a wide range of business disciplines.

Rumph has teamed with two strong subcontractors to provide the Department of Transportation with the very best in service, expertise, and partnership. Together we are **Team Rumph**.



With over 100 years of collective executive experience, **Indelible Business Solutions, Inc. (Indelible)** has established its presence as a hallmark participant in the professional services industry. Blending performance with excellence, Indelible delivers internal audit, regulatory compliance review, performance audit, and disaster recovery solutions to its partners. Indelible's talent profile has been the cornerstone of success since inception and forms the basis of our value proposition; we customize engagement teams based on a market-effective approach that integrates relevant experience, diversity of thought and synergistic collaboration.

Founded in 1926, **RSM US LLP (RSM)** is the leading provider of audit, tax and consulting services focused on the middle market, with over 13,000 professionals in 83 cities nationwide. We are a licensed CPA firm and the U.S. member of RSM International, a global network of independent audit, tax, and consulting firms with more than 43,000 people in 120 countries. These professionals have a myriad of professional certifications such as certified public accountant, certified internal auditor, certified fraud examiner, and certified information systems auditors. RSM uses its deep understanding of the specific needs and aspiration of clients to help them succeed.

We believe the teaming arrangements provide you the ability to benefit from the best aspects of our firms, in providing a known leading public sector compliance resource in Indelible Business Solutions, as well as the integrity of a national public accounting firm in RSM, providing deep bench strength and expertise to our team. The combination allows us to have a wide reach of qualified professionals available to meet the needs of NJDOT through 2030.

## Why the Rumph Team?

**Past performance conducting Integrity Monitoring with NJDOT.** We recently completed Integrity Monitoring for the NJDOT's Highway Infrastructure Capital Program which is part of a \$2.9 billion budget to address New Jersey's transportation needs for state and local bridges, road assets, and safety improvements. Through the performance of risk assessments and loss prevention strategies we assist in mitigating risks associated with the issuance of significant contracts,

### RUMPH TEAM SPECIALIZED SERVICES PROVIDE A BEST VALUE WITH LOW RISK

- ✓ Approved New Jersey Integrity Monitor
- ✓ IM Experience and Past Performance with NJDOT
- ✓ Experience with COVID-19 Recovery Funds
- ✓ Exceptional feedback on NJ past performance
- ✓ Team of CPAs, Fraud Specialists, and SMEs
- ✓ World-Class Finance and Internal Control SMEs
- ✓ US Government Program Support Experience in 45+ Countries

specifically during the procurement and payment phase. We examined key procedures executed during award management, procurement, and invoicing to assist NJDOT in the prevention, detection and investigation of fraud and misconduct. The current work is an extension of the work we have previously completed for the NJDOT, and this experience will enable us to work with greater efficiency and insight to assist the agency.

***Benefit to NJDOT:*** With our prior experience conducting risk assessments of the NJDOT's Capital Program, the NJDOT will have access to team members who are deeply familiar with the NJDOT's construction policies and procedures, and the risks involved. Our proposed team will leverage their existing knowledge of NJDOT and provide the agency with greater efficiency and effectiveness under this current engagement query.

***Access to an experienced, qualified team of internal audit professionals with a significant New Jersey footprint.*** The Department deserves a service provider that understands the NJDOT and the environment in which you operate. Your proposed engagement team consists of public sector industry professionals who continually partake in specialized industry training, to provide pragmatic solutions to you. Our professionals sit on regulatory and industry affiliated boards, allowing us to have first-hand knowledge of proposed developments affecting the public sector. Therefore, we understand your industry, your unique considerations and can provide fresh perspective for your questions and needs. We have a qualified team of professionals uniquely equipped to perform the monitoring and oversight planning, tasks, and reporting. ***Benefit to NJDOT:*** High-quality talent available quickly to ensure timely delivery of results.

***A wide range of experienced local talent at cost-efficient rates.*** We have access to a wide array of expertise in the disciplines required. We demonstrate our multi-disciplinary expertise and the caliber of staff and the breadth and depth of available resources with the talent that we have identified and presented in this response, including many situated in the tri-state area. Our team is a leading provider of services to the public sector, and our experience serving state and local agencies across the country is significant. We have been successful over the years in assisting our public sector clients with internal controls. This experience and talent are provided within Rumph's small business pricing structure. ***Benefit to NJDOT:*** Immediate availability of a deep bench of team members with relevant expertise across all required experience levels at lower costs.



## 1 DETAILED PROPOSAL

We understand that the NJDOT is seeking a firm to conduct Category 3 Integrity Monitoring over seven years to detect fraud, waste, corruption and or abuse related to the following three construction projects:

- Route 130, Bridge over Big Timber Creek, Bridge Replacement – approximate cost \$80,000,000
- Route 47, Bridge over Big Timber Creek – approximate cost \$31,000,000
- Route 76/676 Bridges and Pavement – approximate cost \$76,000,000

The scope of work identifies various tasks which we categorize into four main areas and discuss our detailed approach for each in the technical section. We will work closely with the NJDOT to modify our approach and workplan, if needed to meet to accomplish the following four main requirements of this engagement:

- Risk Assessments (Section 1.1).
- Review of Expenditures for Fraud Detection, Waste, or Abuse (Section 1.2).
- Development of an Anti-Fraud Program / Instruction (Section 1.3).
- Ongoing Monitoring (Section 1.4).
- Timeline for submission of Deliverables (Section 1.5).

Rumph and our partners have the experience, knowledge, and capacity to provide integrity monitoring services for all phases of this engagement. Further, our previous IM work with the NJDOT, conducting risk assessments of the capital programs policies and procedures, uniquely positions us with the experience and insight to complete the work with greater efficiency and at the highest quality.

### 1.1 Category 3 – Integrity Monitoring/Anti-Fraud – Technical Approach

Following we provide our technical approach to performing the following main tasks required in the Scope of Work.

#### 1.1 RISK ASSESSMENTS

The Rumph Team’s approach to assessing risks in large construction projects stems from our experience providing integrity monitoring and other audit services within the public sector. Our approach to completing risk assessments for each of the three construction programs will include identifying the areas of high risk reviewing the related policies and procedures to verify that guidelines to mitigate these risks are present. Also, we will review other relevant documents including agreements and organizational structure and capacity, internal controls, prior reports and applicable laws and regulations. We will leverage our previous experience, reviewing NJDOT’s construction policies and procedures, to efficiently complete this section. We will also assess any unique requirements for the construction programs and evaluate any inherent risks as needed.

Below, we list common high-risk areas in construction projects which will guide our assessment of risks in policies and procedures, contracts, invoices, and other related documents.

- Grant Management
  - Falsified application documents / falsified reporting - falsified grant applications include inaccurate information or intentional misrepresentation of intended use of funds
  - Intentionally inflated preliminary budget estimates to increase funding
  - Errors in internal accounting / coding of grant funds and expense tracking
  - Untimely submission of required grant reporting
- Procurement
  - Manipulation, favoritism, suppression, or breaching the cone of silence during the bidding processes
  - Non-disclosure of related party subcontractors
  - Bidding contractors / vendors offer bribes to project management to gain competitive advantage in the bidding process.
  - Tailored specifications, scope, or prequalification requirements of an RFP/Intent To Bid (ITB) to favor a particular bidder.
  - Alteration of terms of proposed construction contracts in a way that could prevent or deter competition.
  - Acceptance of bids submitted after the due date – risk of bribery or kickback schemes
  - Alteration of bid documents to disqualify competing contractors - risk of bribery or kickback schemes
  - Overriding controls or circumvention purchasing policy thresholds - risk of bribery or kickback schemes
  - Manipulation, favoritism, suppression, or breaching the cone of silence during the bidding processes
  - Non-disclosure of related party subcontractors
  - Bidding contractors / vendors offer bribes to project management to gain competitive advantage in the bidding process.
  - Tailored specifications, scope, or prequalification requirements of an RFP/Intent To Bid (ITB) to favor a particular bidder.
  - Alteration of terms of proposed construction contracts in a way that could prevent or deter competition.
  - Acceptance of bids submitted after the due date – risk of bribery or kickback schemes

- Alteration of bid documents to disqualify competing contractors - risk of bribery or kickback schemes
- Overriding controls or circumvention purchasing policy thresholds - risk of bribery or kickback schemes.
- Invoicing
  - Advanced or unsupported contractor/subcontractor billings
  - Schedule of values line item shifting/manipulation
  - Invoiced unit prices or firm fixed price (FFP) line items in excess of those allowed by contract/bid
  - Pay rates or OT or benefit rates exceeding what is agreed in Contracts
  - Subcontractor buyout and contingency usage not appropriately tracked to allow for recalculation of savings or shared savings
  - Delayed or nonpayment of subcontractors, missing waivers of lien (payment affidavits)
  - Billing for contractually disallowable costs
  - Noncompliance with Davis-Bacon Act (DBA), Buy America, prevailing wage
  - MBE/WBE/SDVOB underutilization and commercially useful function—manipulation of documentation to convey compliance
  - Materials and equipment stored onsite not appropriately secured to prevent theft/manipulation
  - Assets/materials delivered not reported or turned over to owner
- Subcontractors
  - Nonenrolment or noncompliance with safety plan
  - Usage of subcontractors not approved by DOT
  - Usage of subcontractors on suspension and department lists
  - Utilization of inappropriate subcontracting vehicles
- Change Orders
- Claims Management
  - Contractors may overstate the actual costs associated with settlement amounts or manipulate the basis for said settlements.
- Construction Fieldwork
  - Nonconforming, or substandard materials are used on the project
  - Project assets are not subject to appropriate physical security controls, and/or are not tracked and turned over to DOT, as applicable

- Demo/waste disposal/abatement is done without following external source's specifications
- Employees are not wearing proper safety gear or safety precautions on the worksite are not being followed
- Noncompliance with Davis-Bacon Act, Buy America, DBE, and/or local prevailing wage requirements

For this engagement, Rumph has proposed a team of professionals to serve the NJDOT that has extensive experience assessing internal control environments, including identification of risks and design of controls, and assisting with implementation of changes. We believe that our previous work conducting risk assessments at NJDOT, combined with extensive construction industry experience from key personnel, puts us at an advantageous position to help NJDOT achieve its objectives.

## ***1.2 FRAUD DETECTION/PREVENTION IN EXPENDITURES***

Our approach to completing fraud detection / prevention in expenditures will primarily focus on records review and compliance. Together with the NJDOT, we will develop workplans to address the specific needs of various types of procurements. Key tasks that will be completed in our review of expenditures are discussed below.

### **Procurements**

- Review of solicitation, advertisement, scope, contracts, and other relevant documentation
- Review of scoring and evaluation documentation
- Review of correspondence files, invoices, change orders, etc.
- Reasonableness assessment of design fees
- Assess vendor contract requirements and qualifications
- Related-party searches on all relevant parties
- Detailed testing of invoices, project status reports, and payment information for completeness, approval, reasonableness and indicators of fraud, waste, abuse and/or other potential criminal activity

### **Subcontractor Agreements**

- Review the agreements to identify required flow-through provisions
- Verify that subcontractor is not on the suspension and debarment lists
- Validate application of approved subcontracting vehicles
- Obtain and review all final executed subcontract agreements and validate incorporation of required provisions.

- Review and verify that any MBE/WBE/SDVOB supplier, and review scope details to identify risks

### **Invoice and Payment Applications**

- Conduct onsite review with construction stakeholders, including engineers to validate percentage of completion and assess and compare billings to actual progress seen onsite
- Validate all approvals obtained and documented according to identified procedures
- Verify that invoices contain appropriate backup support based on the terms of the agreement, which may include timesheets, certified payroll, subcontractor/vendor invoices, lien releases, buyout logs, contingency logs, change order logs, schedule reports
- Review invoices related to MBE/WBE/SDVOB reporting, and agree reporting to executed source document from subcontractors
- Review certified payroll documentation and agree to established prevailing wage requirements
- Conduct and document onsite interviews with workers as component or assessing compliance with prevailing wage requirements
- Review supporting documents to validate appropriate waivers/releases of lien have been executed for the prime contractor and all subcontractors.
- Payment requisitions and support
- Change order requisitions and supporting documentation
- Payments to vendors

### **On-site Reviews**

Based on the results of our risk assessment, we will evaluate whether onsite monitoring is required and will discuss with the NJDOT. As part of onsite reviews, we will conduct and document interviews with workers as component of assessing compliance with prevailing wage requirements. Also onsite, we will be able to validate conditions cited for cause of change, and other areas of concern.

In addition to the general reviews mentioned above, the Rumph Team will perform integrity due diligence to gain a deeper understanding of potential partner business that may indicate corruption risk and implement ways to mitigate those risks.

### ***1.3 DEVELOPMENT OF ANTI-FRAUD PROGRAM/ INSTRUCTION***

We will assist in developing an anti-fraud monitoring, prevention, and detection program, including instruction for NJDOT, contractors, and/or subcontractors by identifying areas of high-risk in construction and the related mitigating actions to prevent fraud, waste and abuse. Together with NJDOT, we will structure an approach that includes real world examples of fraud in similar construction projects and offer a written commonly asked Questions and Answers section. Also,

the frequency of delivery of the training to NJDOT stakeholders will be established. The following topics and subtopics may be included in the Anti-Fraud Program/Instruction:

- Fraud Detection
  - Fraud Diamond
    - Incentive/Capability/Opportunity/Rationale
- Controlling / Monitoring Costs
  - Procurement
  - Reporting
  - Payment
- Ways to Promote Cost Transparency
  - Cost Components
  - Contract Provisions
  - Assessing the Cost of a Project
- Auditing Approach for Construction Projects
  - Key documents to review
  - Sampling and Testing
  - Detecting red flags quickly

Our proposed team is experienced in conducting fraud investigations, including corruption and asset misappropriation schemes relevant to the construction industry. Key personnel are subject matter experts in construction audits and have developed and presented numerous trainings to industry stakeholders on construction fraud. In addition, we have access to technology specialized for digital forensics, fraud discovery and accounting data extraction including NetSuite, eAudit, and EnCase Forensics. These resources will add value to the Fraud Prevention program and instruction program the Rumph Team will assist in developing for the NJDOT. In **Table 1** below, we identify common fraud areas and procedures to mitigate risk of occurrence, which will be presented in greater detail in the Fraud Prevention Program.

**Table 1: Common Fraud Areas and Procedures to Mitigate Risk of Occurrence**

Common Fraud Areas in Construction	Rumph’s Mitigating Procedures to Uncover Fraud
Construction Asset Misappropriation	Analysis of electronic surveillance and onsite Monitoring
Billing Fraud	Analysis of physical and electronic evidence
Bid/contract Rigging	Conducting interviews of knowledgeable persons

Fictitious Vendors / Subcontractors	Reviewing source documents and background of vendors / subcontractors
Theft of Material	Accessing confidential sources
Change Order Manipulation	Document reviews and analyzing the approval process for possible circumvention

#### ***1.4 ONGOING MONITORING***

In collaboration with NJDOT, the Rumph Team will approach ongoing monitoring of the three identified construction projects by completing various review tasks on a recurring basis. Some of these tasks overlap in key areas aforementioned, including on-site reviews and disbursements.

- **Disbursements** – Depending on the population of disbursements, we will review each invoice for each project, or review select invoices on a sample basis.
  - Review expenditures to test for proper documentation, authorization, and approvals
  - Review of compliance with New Jersey Prevailing Wage Act, Davis-Bacon Act (as applicable), work with the Division of Civil Rights
  - Review contractor payroll expenditures, time sheets, job descriptions, and fringe benefits to ensure proper documentation, eligibility for reimbursement, etc.
- **Change Orders** – Review any change orders generated for Route 130, Route 147, and Route 76/676 projects and validate against construction project status reports, approvals, and related documents.
- **On-site Reviews** – Conducting in-field investigations and onsite monitoring of construction work and conducting investigations into any illegal conduct.

Our proposed engagement team includes professionals who have served as managers of a construction program for large public transportation agencies, providing integrity monitoring services through the review of subcontractor contracts, and claims and disbursements. In addition, all team members have experience in assessing fiscal operation, potential fraud, waste and mismanagement of resources.

#### ***1.5 TIMELINE FOR SUBMISSION OF DELIVERABLES***

**Table 2** shows a timeline for submission of the deliverables required by this Engagement Query not to exceed July 2030.

**Table 2: Timeline for Submission of Deliverables**

#	Deliverable	Date Due
1	Kick-off Meeting with NJDOT staff and successful IM	Five (5) business days after the issuance of the PO/Letter of Engagement, the IM and NJDOT shall participate in a kick-off meeting to review the deliverables and due dates.
2	Risk Assessment	As agreed upon in writing at the time the contract is awarded by DPP and this assignment is confirmed in writing by NJDOT.
3	Work Plan	As agreed upon in writing at the time the contract is awarded by DPP, and this assignment is confirmed in writing by NJDOT.
4	Interim Reports/Periodic Meetings	As agreed upon in writing at the time the contract is awarded by DPP, and this assignment is confirmed in writing by NJDOT.
5	Draft Quarterly Report(s)	Last day of each quarter.
6	Final Quarterly Report(s)	15 business days after the end of each quarter.
7	Quarterly Reports	Defined in Section B. Reporting Requirements.  Five (5) business days after the meeting or as agreed upon in writing by NJDOT.
8	Project Completion Report	Thirty (30) business days after the submission of the draft final report.



## 2 DETAILED BUDGET

The detailed budget is submitted in the provided Price Sheet per year for each of the (3) projects. The budget identifies staff classifications and hourly rates. The hourly rates do not exceed the rates in the Integrity Monitor’s Best and Final Offer (BAFO) Price Schedule.

We offer a **5% discount** on the BAFO Price Schedule rates. Annual escalation is set at 3%.

**Table 3** shows the total discounted cost for all 7 years for each project and in total. Details for each of the (3) projects are provided in the submitted (3) Price Sheets.

*Note: The number of hours per project may vary depending on findings and actual scope of each project, which may impact the total costs shown below.*

**Table 3: Discounted Cost 2023-2030**

Discounted Cost 2023-2030				
	Project 1 (Rte. 130)	Project 2 (Rte. 47)	Project 3 (Rte. 76/676)	Total
Year 1	\$221,673.51	\$115,836.75	\$221,673.51	\$559,183.77
Year 2	\$180,472.52	\$90,236.26	\$180,472.52	\$451,181.31
Year 3	\$181,128.84	\$90,564.42	\$181,128.84	\$452,822.10
Year 4	\$186,562.70	\$93,281.35	\$186,562.70	\$466,406.76
Year 5	\$192,159.58	\$96,079.79	\$192,159.58	\$480,398.96
Year 6	\$197,924.37	\$98,962.19	\$197,924.37	\$494,810.93
Year 7	\$203,394.27	\$101,697.14	\$203,394.27	\$508,485.69
<b>Total</b>	<b>\$1,363,315.81</b>	<b>\$686,657.90</b>	<b>\$1,363,315.81</b>	<b>\$3,413,289.52</b>

## 3 IDENTIFICATION OF POTENTIAL CONFLICTS OF INTEREST

Our firms utilize a conflict-of-interest identification process, which assists engagement teams in performing consistent and comprehensive evaluations of engagement risk, integrates our independence and business conflict checks process, helps assure that the engagement team has the requisite competency and experience, and provides our audit leadership with deeper insight into the risk profile of our client portfolio.

We will evaluate potential conflicts of interest upon receipt of NJDOT auditable programs and/or entities. In the event a conflict exists between a NJDOT entity and one of the parties involved under this Engagement Query (“Team Rumph”), an unrelated party will conduct the appropriate audit procedures for the affected entity; thus, there will be no impact to our ability to serve NJDOT and deliver our services to you. This demonstrates our ability to leverage the team structure we have developed and address any potential conflicts that are raised without compromising our ability to deliver exceptional client service within the scope of work under this Engagement Query.

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## 4 EXISTING ENGAGEMENTS UNDER G4018

Rumph has the resources that meet your need. We have a qualified team of multi-disciplinary professionals uniquely equipped to execute and assess an effective internal audit strategy that helps address your specific risk challenges and enhance business performance. In 2022, we successfully completed a task order under the Integrity Monitoring Contract for the New Jersey Department of Transportation, described below.

### **Previous IM Work with NJDOT**

Rumph successfully completed work under the IM contract G4018 for the NJDOT's Highway Infrastructure Capital Program, part of a \$2.9 billion budget to address New Jersey's transportation needs for state and local bridges, road assets, and safety improvements. The commencement date was April 12, 2022, and the expiration date was September 1, 2022.

Through the performance of risk assessments and loss prevention strategies we assist in mitigating risks associated with the issuance of significant contracts, specifically during the procurement and payment phase. We examine key procedures executed during award management, procurement, and invoicing to assist NJDOT in the prevention, detection and investigation of fraud and misconduct.

During this engagement, we performed in-depth reviews on key NJDOT policy and procedure documents to identify opportunities for potential fraud, corruption and cost abuse issues by construction contractors directly related to the policies. Further, we assess risks related to falsified documents, bidding, bribery, kickback schemes, change orders, claims management, and inflation or inaccurate estimates.

We then summarize our findings and develop recommendations to implement and manage appropriate compliance systems and controls, as required by federal and state guidelines, laws, and program regulations. The objective of which is to improve financial management, performance and effectiveness of program monitoring, and to promote best practices that mitigate fraud and other abuse of the billions of dollars awarded to the NJDOT.

### **Summary of Similar Work**

Knowing that high-quality service comes from understanding the challenges our clients face, we have assembled a team of internal audit professionals experienced in serving the public sector industry who will access our proven industry materials, to provide you with a customized service approach. Given our commitment to public sector industry companies and our specific experience serving other organizations like the New Jersey Department of Transportation, we are positioned to customize our internal audit approach to reflect the unique nuances of your environment—supporting efficiency while minimizing disruption, sharing insights, and providing deeper value by understanding your unique challenges and opportunities.

We are a leading provider of services to the public sector, and our experience serving state and local agencies across the country is significant. We have been successful over the years in assisting our public sector clients with internal controls, information technology, grant applications, budget

analysis, findings resolution, new financial reporting standards, sale-leaseback financings and other issues. A sample of our state agency clients have included but are not limited to:

<ul style="list-style-type: none"> <li>• New Jersey Dept. of Transportation</li> <li>• New Jersey Transit Corporation</li> <li>• Hawaii Dept. of Health</li> <li>• Florida Dept. of Health</li> <li>• Virginia Dept. of Transportation</li> <li>• Illinois Dept. of Transportation</li> <li>• Illinois Dept. of Human Services</li> <li>• Florida Division of Emergency Management</li> </ul>	<ul style="list-style-type: none"> <li>• Florida Dept. of Children and Families</li> <li>• Florida Dept. of Law Enforcement</li> <li>• Florida Dept. of Management Services</li> <li>• Washington State Dept. of Transportation</li> <li>• North Carolina State Ports Authority</li> <li>• North Carolina Office of Recovery and Resiliency</li> <li>• Indiana Economic Development Corp.</li> <li>• Florida Dept. of Economic Opportunity</li> </ul>
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**Attuned to industry developments.** We leverage a variety of means to keep our public sector personnel well versed on issues affecting you. Among these, we maintain relationships with many federal and state departments and agencies, as well as working relationships with officials within the U.S. Government Accountability Office and the Office of Management and Budget. We have also participated as an advisor to the President’s Council on Integrity and Efficiency through the Quality of Audit Roundtable. Our firm also serves on the AICPA’s State and Local Government Expert Panel.

Your proposed engagement team consists of public sector industry professionals who continually partake in specialized industry training, in order to provide pragmatic solutions to you. Many of our partners and principals sit on regulatory and industry affiliated boards, allowing us to have first-hand knowledge of proposed developments affecting the public sector. Therefore, we understand your industry, your unique considerations and can provide fresh perspective for your questions and needs.

**An experienced team dedicated to your needs.** We are committed to serving your organization and its needs fully. With a mix of senior-level multi-disciplinary professionals, our proposed engagement team will address your unique risk and audit challenges through effective, transparent communication with your team. Our partners and directors have an average of 15+ years of multi-disciplinary expertise and maintain ongoing training standards to enhance their qualifications to deliver an efficient and comprehensive internal audit services.

A methodology and client service that revolves around you. We do not subscribe to a ‘one size fits all’ approach. After evaluating specific needs and objectives, we will custom design a responsive solution that leverages lessons learned when performing operational audits and developing audit plans for similar entities like the New Jersey Department of Transportation.

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## 5 QUALIFICATIONS AND EXPERIENCE OF THE PERSONNEL ASSIGNED TO THIS ENGAGEMENT

**Partner, Thomas Rumph, Jr., CPA, MBA** – Tom has a demonstrated track record of leading the preparation and analysis of financial reports to summarize and forecast financial position. Proven success in driving through an efficient and productive evaluation and implementation of financial management system improvements. An effective leader in directing financial management teams to support achievement of overall corporate goals and objectives both internationally and domestically. Core competencies include: accounting management, financial analysis, forecasting, cash management, budgeting, cost reductions, technology integration, regulatory compliance, and efficiency improvements.

**Partner, Jill Reyes, CPA** - Jill is responsible for leading client engagements, which includes planning, executing, quality review assurance, completion, and proactively interacting with engagement leadership, senior level management and external auditors. Jill also meets with Board and Audit Committee members regularly and monitors ongoing activities in order to effectively manage the project workplan and frequently communicate relevant information. In her current role, Jill delivers advice and consultation regarding the adequacy and operating effectiveness of the control environment and specific internal controls, business process improvement, compliance matters, and financial reporting matters. Jill provides consulting, financial and compliance audit services to a variety of public sector entities, with a focus on grants management and compliance. Her hands-on experience working with state and local government and other auditors has given her the skills necessary to consult, assess and implement practical business solutions in an ever-changing environment. She has been in public accounting since 2001, and is dedicated to the public sector industry, focusing primarily on state agencies, cities, counties, and school districts. She has also performed external audit services in accordance with Government Accounting Standards, Uniform Guidance, and various OMB Circulars.

**Project Manager – Marisa Doras, MBA, CPA, CITP** – Marisa is a senior level executive and certified public accountant, experienced in providing financial, operational, and strategic oversight, leadership within multi-disciplinary teams, and contributing to the growth and business development of an organization. Demonstrated knowledge of GAGAS and OMB Cost Principles, financial and IT risk assessments, internal controls, compliance audits, oversight. Significant experience in the public sector providing services to Federal and State agencies in the areas of compliance, program management, and financial oversight. Led the engagement team that successfully completed an integrity monitoring engagement for the New Jersey Department of Transportation.

**Supervisor/Sr. Consultant – Matthew Blondell, CPA** - Matt is a construction specialist in RSM's construction risk consulting practice where he is responsible for the execution of projects and supervision of staff, risks and controls, contract compliance services, risk management, business process analysis and forensic investigations. He has been in public accounting for over eleven years. His experience includes planning, supervising and executing closeout audits, contract

compliance engagements, facilities and construction internal audits, and other consulting services for school districts, local and tribal governments, publicly traded entities, construction contractors and private equity clients throughout the country. Prior to joining RSM, Matt worked as an external auditor at a regional accounting firm in North Florida. Matt's expertise is providing risk consulting services within the construction industry and serves as a subject matter expert in the Southeast region.

**Associate/Staff – Rita Chevalier** - Rita has robust experience supporting clients with ongoing SOX compliance. Rita is currently working with clients in evaluating their internal controls and identifying operating effectiveness in key business process areas as well as providing process enhancement recommendations. In her role, Rita has worked with engagement teams on assessing fiscal operation, potential fraud, waste, and mismanagement of resources. Rita is also currently providing integrity monitoring services of a construction program for one of the largest public transportation agencies. Rita has facilitated various risk assessments and provided Enterprise Risk Management (ERM) services to help organizations identify and assess top enterprise risks and implement ERM frameworks.

**Subject Matter Expert - David Luker, CPA** - David serves as RSM's national facilities and construction subject matter expert. He has more 15 years of experience in public accounting including, GAAP financial statement audit of construction contractors, construction contract compliance/cost recovery for large construction manager at risk and design build contracts, construction change order and claim analysis, construction litigation support, design and construction process reengineering, and various other risk consulting services. David is 100% dedicated to serving the construction industry and has conducted more than 20 audit cost recovery engagements on major cost-plus construction projects ranging from \$10 million to \$1 billion in contract value.

For reference, resumes of assigned personnel and possible alternates follow in Section 6.

## 6 RESUMES

### *THOMAS RUMPH, JR., CPA*

A demonstrated track record of leading the preparation and analysis of financial reports to summarize and forecast financial position. Proven success in driving through an efficient and productive evaluation and implementation of financial management system improvements. An effective leader in directing financial management teams to support achievement of overall corporate goals and objectives both internationally and domestically. Core competencies include: accounting management, financial analysis, forecasting, cash management, budgeting, cost reductions, technology integration, regulatory compliance, and efficiency improvements.

### **CAREER EXPERIENCE**

#### **RUMPH AND ASSOCIATES, P.C.,** Managing Partner, Atlanta, GA (Apr 2007 – Present)

##### Responsibilities:

- Manage the operations of Rumph & Associates, P.C.
- Provide client service for Rumph & Associates, P.C. customer base
- Generate revenue by developing winning Business Plans
- Perform accounting and finance functions via performance tracking, business valuation, tax planning and payroll management
- Secure financing by developing a business plan, managing debt, and securing investors
- Understand and keep clients abreast on new federal regulations that impact your line of business, so you remain competitive and compliant
- Use technology to meet regulatory requirements, establish internal controls and obtain important information to make critical business decisions

##### Key Accomplishments

- Successfully led three CDC grant (cooperative agreement) audits: KEMRI, Uganda NMS, and Rwanda
- Assisted university with maintaining value on Balance Sheet and implementation of major new ERP system
- Assisted major foodservice manufacturer with implementation of new customer metrics and tracking system

### **EDUCATION/QUALIFICATIONS**

- MBA, Finance, University of Houston (1987)
- BBA, MIS and Operations Management, University of Georgia (1983)
- Certified QuickBooks Pro Advisor (2008 and 2009)
- CPA – State of Georgia (1993), State of Alabama (2011), State of Florida (2020)
- Certified Information Systems Auditor (CISA) (1989)

**MARISA DORAS, MBA, CPA, CITP, CGMA**

Senior level executive and certified public accountant, experienced in providing financial, operational, and strategic oversight, leadership within multi-disciplinary teams, and contributing to the growth and business development of an organization. Demonstrated knowledge of GAGAS and OMB Cost Principles, financial and IT risk assessments, internal controls, compliance audits, oversight. Significant experience in the public sector providing services to Federal and State agencies in the areas of compliance, program management, and financial oversight. Led the engagement team that successfully completed an integrity monitoring engagement for the New Jersey Department of Transportation.

**RUMPH AND ASSOCIATES, P.C., Director of Auditing and Accounting, Atlanta, GA**

(Mar 2022 – Present)

- Manage the Auditing and Accounting operations of Rumph & Associates, P.C.
- Oversees audit and review engagements, risk assessments, and reporting
- Manage client relationships for Rumph & Associates, P.C. customer base
- Perform accounting and finance functions via performance tracking, business valuation, and tax planning and payroll management
- Understand and keep clients abreast on new federal regulations that impact your line of business, so you remain competitive and compliant
- Use technology to meet regulatory requirements, establish internal controls and obtain important information to make critical business decisions

**TUBA GROUP, Senior Manager Consultant to Various Federal Recipients**

(Mar 2017 – Mar 2022)

- Collaborates with Leadership in aligning business activities to the organization's strategic goals and objectives
- Actively engages in business development and responds to new business opportunities
- Key Leader in client management and retention
- Provides leadership, coaching, and mentoring to engagement teams
- Identifies opportunities for improvements, implements operational processes and recommends solutions
- Serves as a resource for client Federal Agencies
- Demonstrates effective project management skills.
- Performs complex analyses, compliance audits, internal control reviews, and IT risk assessments
- Ensures compliance with Generally Accepted Accounting Principles (GAAP), Generally Accepted Government Auditing Standards (GAGAS), Federal Regulations, and OMB Cost Principles
- Assess the financial systems including the information technology processes used in executing the accounting transactions within the organization
- Assists with financial statement audits, peer reviews, and organizations quality program
- Conducts GAP Analyses, Readiness Reviews, Root Cause Analysis, and Decision Analysis and Resolution

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## Professional Affiliations and Credentials

- Recipient of the Standing Ovation for Exemplary Professional Achievement In Management and Technology Assurance Services (AICPA)
- Certified Public Accountant (CPA), Licensed in Georgia and Virginia
- Certified Information Technology Professional (CITP)
- Graduate of the AICPA Leadership Academy

## Education

- Master of Business Administration (MBA), Albertus Magnus College, New Haven, CT
- Master of Science in Management, Albertus Magnus College, New Haven, CT
- Bachelor of Science in Accounting, Monroe College, New Rochelle, NY



### ***KENNETH EDWARDS, CPA***

Seasoned professional with solid managerial and accounting experience in various financial capacities. Experience includes 30 years of public accounting experience and 10 years of industry experience. Skilled at leading diverse groups to goal attainment. Effective problem solver known for managing situations and people to maximize productivity with limited resources.

### **EXPERIENCE**

**EDWARDS & COMPANY, LLC** Denville, NJ 2018 to Present  
Partner

Responsible for directing and developing the firms marketing and service efforts in outsourced CFO and controller services servicing small to mid-market companies as well as expanding the firm's governmental A-123 Compliance services.

**CFO STRATEGIES LLC**, Roseland, NJ 2016 to 2018  
Managing Director

Responsible for directing and developing the firms marketing and service efforts in establishing CFO Strategies, LLC as the preeminent outsourced CFO and controller services servicing small to mid-market companies.

**COHNREZNICK LLP**, Roseland, NJ 2007 to 2016  
Retired Partner (2007-2016)  
Manufacturing & Distribution Office Team Leader (2011-2016)

**EDWARDS & COMPANY CPA'S PC**, Denville, NJ 2002 to 2007  
Owner

**BDO SEIDMAN**, New York, NY 1986 to 2002  
Principal (2000-2002)  
Director of Financial Institution Audits (1993)  
Senior Manager (1988-1993)

**MENUDIRECT CORPORATION**, Piscataway, NJ 1997 to 2000  
Chief Financial Officer

**HOME STATE HOLDINGS, INC**, Shrewsbury, NJ 1993 to 1997  
Senior Vice President, Finance (1994-1997)  
Vice President and Controller (1993-1994)

**COOPERS & LYBRAND**, South Bend, IN 1981 to 1986  
Audit Manager

### **EDUCATION, MEMBERSHIPS, AND TRAINING**

- B.A. Finance and Accounting – Goshen College
- Member, American Institute of Certified Public Accountants

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## *APRIL GLOSTON*

An emergency management professional with experience in environmental appraisals, right of way, and government program administrative services. Serving as a Subject Matter Expert (SME) for writing system specifications for information systems, understanding operational systems and translating requirements into technical specifications, and designing and implementing system modifications. Extensive experience in leading CDB-G DR projects, monitoring production rates and identifying roadblocks. Proficiently works side-by-side with clients to ensure compliance, deliverables, invoicing, finances, administration, and documentation are in check.

### Career Experience

#### **Florida Department of Economic Opportunity, Government Consultant (2018-Present)**

- Plan, facilitate, and assist in the negotiation of agreement changes and amendments.
- Coordinate the development of cost and price analysis, conduct agreement and file post-audits and closeout, complete the agreement checklists, facilitate findings of fact, and resolve agreement disputes.
- Develop contract and grant administration goals and objectives, identifying resources, interpreting statutes and rules, and providing technical and administrative assistance.
- Facilitate the administration of division agreements.

#### **Vinformatix LLC, Project Manager (2017-2018)**

- Subject Matter Expert responsible for providing expert support, analysis and research into exceptionally complex problems, and processes relating to the FEMA Public Assistance Program, audit disaster recovery policies, plans, and procedures' by performing a gap analysis of mission and business critical disaster recovery plans to identify improvements based upon industry best practices.

#### **Horne LLP, Public Assistance, Flood Recovery Sr. Associate- Grants Manager (2017-2018)**

- Submitted financial requests for reimbursements, detailed scope changes, quarterly reports, environmental and closeout paperwork.
- Worked closely with numerous government entities including FEMA, Texas Department of Emergency Management (TDEM), Texas General Land Office (GLO), Division of Homeland Security and Emergency Management (DHSEM), Department of Local Affairs (DOLA), US Department of Housing and Urban Development (HUD), etc.
- Worked with state and local officials to create The Local Government Guide to Recovery, a planning tool for communities trying to bolster an effective emergency management program.
- Managed millions in allocated Federal and State Disaster Recovery grants including the FEMA PA program and delivery model.

### EDUCATION/QUALIFICATIONS

- BA, Sociology, Southern University A&M College

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**BILL YOUNG, JR.**

Over 25 years of service and managerial Emergency Response & Recovery experience beginning in 1989. He is the past Director of Emergency Services and Government Liaison for American Red Cross Disaster Services with extensive experience in federal and state programs to include grant development, management, and implementation. Skilled in the utilization of software tools such as: GRANTS MANAGER, EMMIE, PA – MB3, CEF – Xactimate / RS-Means / Costworks, ARC GIS, Benefit-Cost-Analysis, and all Microsoft Office applications. Bill also, possess current FEMA Badge and TWIC (Transportation Worker Identification Credentials) allowing him to work assignments within Secure, Domestic and International Port and Off-shore locations.

### Career Experience

#### Function and Specialization

- Specializations are as follows: HMGP Management 404 Hazard Mitigation 406 Hazard Mitigation Benefit-Cost-Analysis Project Management Staff Management FEMA Public Assistance PW Formulation PW Writing COOP/COG Planning Grant Writing & Management CDBG Management Disaster/Emergency Planning Business Continuity Customer Service Damage Assessment & Adjusting EOC Design & Liaison Private Non-Profits Public Sector Experience.

#### Professional and Industry Experience

- Has been a Public Assistance Project Specialist / Manager assisting the Federal Emergency Management Agency (FEMA) to coordinate with the Puerto Rico Electrical Power Authority (PREPA) to review, build and identify Project Worksheets for work completed and being completed for power restoration throughout the main island of Puerto Rico, Vieques and Culebra.

#### Disaster Recovery Specialist

- Has been a Public Assistance Project Specialist / Manager assisting the applicant “Puerto Rico Electrical Power Authority (PREPA)” to complete the Project Worksheets for power restoration throughout the main island of Puerto Rico, Vieques and Culebra. Personally, responsible for PW creation and review process for 17 PWs totaling over \$2.9 Billion dollars.

#### Business Continuity Planning

- Project Manager at Union County Business Continuity of Operations (COOP)/Continuity of Government (COG) planning project. His primary role was maintaining continuous quality information through direct contact with the client and support the project team. As Project Manager he managed frequent interactions with county and municipal Emergency Management personnel to interview and gather pertinent data for plan completion. This

project was contracted by the county Office of Domestic Preparedness to develop federally mandated Continuity of Operations and Continuity of Government plans including participation by all municipal departments and jurisdictions. The work included detailed classifications of the primary and secondary functions required to continue county and individual municipal government activities during response to catastrophic events that disrupt normal governmental and societal functions

## **Financial Auditing and Grant Management**

**Puerto Rico: DR-4339 Hurricane Maria**, Public Assistance Project Manager  
(2017-2020)

- Public Assistance Project Manager assisting the Federal Emergency Management Agency (FEMA) to coordinate with the Puerto Rico Electrical Power Authority (PREPA) to review, build and identify Project Worksheets for work completed and being completed for power restoration throughout the main island of Puerto Rico, Vieques and Culebra.

**N. Y. State: 4085-DR-NY, Hurricane Sandy, Albany, NY, 406 & 404 Hazard Mitigation Grant Program**, Project Manager (2013 – 2014)

- Responsible for the verification of the Hazard Mitigation Grant Program (HMGP) opportunities within FEMA approved projects. He also offered applicant assistance in the development of stand-alone Mitigation projects. As the HMGP Project Manager working to identify and resolve project issues, he worked with applicants and assisted other factions within NY State and FEMA to appropriately address applicant(s) requests. Bill performed Benefit-Cost-Analysis on project elements. He conducted applicant briefings and site visits throughout the State to explain the program requirements to potential applicants and facilitate their ability to correctly submit their applications.

### **REPRESENTATIVE CLIENTS**

- US Virgin Islands
- New York State
- Puerto Rico

### **EDUCATION/QUALIFICATIONS**

- BA, Emergency Management
- Graphic Design, Philadelphia University of the Arts
- Electronics Engineering, Community College of the Air Force

### **REFERENCES**

■ [REDACTED]

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## **BRENDA MATTHEWS**

An emergency management professional with 15 years' experience in disaster recovery programs, grant management and grant's application processes. Served as a prime contractor for the State of Louisiana following Hurricane Katrina. Worked on FEMA Public Assistance grant programs, Community Development Block Grant Recovery projects, and Hazard Mitigation Grant Programs following Hurricane Rita and Hurricane Maria. Worked in Puerto Rico on Hurricane Maria recovery with the iParametrics / Fluor team under the FEMA PA contract to conduct site inspections, formulate DDDs and SOWs, formulate project descriptions using Grant Manager and manage applicants requesting funding.

### **Career Experience**

**FEMA Public Assistance Technical Assistance Contract, Hurricane Maria** (2018-2019)

- Managed seven private, non-profit critical and non-critical applicants in the Health and Social Services sector.
- Analyzed eligibility of expenses based on applicant and facility usage.

**FEMA Public Assistance Technical Assistance Contract, Hurricanes Katrina and Rita** (2005-2015)

- Analyzed costs by developing spreadsheet reports and verification of information.
- Researched procurement issues to ensure FEMA requirements were satisfied.

**Hunt, Guillot and Associates, Hazard Mitigation Grant Program, Grants Manager** (2014-2018)

- Monitored all aspects of the program from application to closeout.
- Coordinated with homeowners, contractors, and local, state, and federal staff to effectively and efficiently secure and carryout individual mitigation projects.

**Hunt, Guillot and Associates** (2011-2014)

- Reviewed and prepared projects for state monitoring and state/federal audits under the Community Development Block Grants and Hazard Mitigation Grant Program. Maintained, audited, and ensured projects complied with current federal and state requirements.

**Shaw Group, State of Louisiana, Hurricanes Katrina and Rita Emergency Response, Prime Contractor** (2010-2011)

- Audited and ensured all contractor files were accurate and in accordance with federal regulations.
- Monitored purchasing and procurement records. Gathered, maintained, and reported small business statistics to various government agencies.

### **CERTIFICATIONS**

- Certified Paralegal
- Project Specialist, FEMA Emergency Management Institute

### **EDUCATION/QUALIFICATIONS**

- University of Louisiana-Lafayette

### **REFERENCES**

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**DANIEL BENBOW, CFE, CPA**

An experienced CFE and CPA professional with extensive auditing, auditing management and forensic accounting experience. Conducted audits for the DHS/FEMA - Office of the Inspector General, USDA- OIG, DCAA, SBA and other government entities. Extensive knowledge in performing integrity monitoring of contracts and processes including reviews for fraud indicators. Proficient in developing auditing programs with risk assessment processes. Over 18 years' experience performing audits and managing auditing teams for disaster grant recipients. While with the DHS/FEMA, audited Project Worksheets for numerous disasters. Audits included the sub-grantees, the states and their respective Emergency Management departments and the FEMA regional offices. Reviewed and followed FEMA and Department of Defense related contracts to ensure proper procurement procedures and laws were adhered to.

**Career Experience**

**DR-4332, Hurricane Harvey, Texas, Project Delivery Manager** (2019-Present)

- Works to guide applicants through the FEMA Public Assistance Process.

**DR-4085, Hurricane Sandy, New York** (2012-2014)

- Developed work force requirements, operating budgets, and technical methodologies for fraud deterrence to oversee the use of FEMA disaster funds relating to Hurricane Sandy damages.

**Department of Homeland Security**

- Managed a team responsible for auditing DHS activities, including grant audits of FEMA grant recipients (state agencies, counties, cities, universities, schools, hospitals, airports, electric cooperatives, and other not-for-profit entities).

**Federal Emergency Management Agency**

- Participated in applicant briefings during the initial recovery period of Hurricanes Ivan, Katrina, and Rita to assist applicants with developing policies and procedures targeted toward maximizing claim reimbursement.
- Consulted with several major applicants eligible for Tropical Storm Allison disaster grants to developing monitoring and documentation procedures to maximize their most unique and complicated claims.
- Managed auditors performing accounting record reconstruction, transaction verification, documentation, and asset review for Hurricane Katrina damages applicable to FEMA Public Assistance grants.

**BP Oil Spill, Guidepost Solutions**

- Examined damage claims filed by victims of the Gulf Coast oil spill for BP reimbursement including loss of business profit calculations and record reviews for indicators of fraud.

**Independent Contractor**

- Examined defaulted SBA Recovery Act business loans to determine culpability for default and indicators of fraud that resulted in SBA recovery of tax dollars.

**CERTIFICATIONS**

- Certified Fraud Examiner
- Certified Public Accountant
- DHS Public Trust Security Clearance
- Active FEMA Badge

**EDUCATION/QUALIFICATIONS**

- MBA, Finance, Louisiana Tech
- BS, Accounting, East Texas Baptist University

**REFERENC**

[Redacted]

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**DAVID LUKER, CPA**

David serves as RSM's national facilities and construction subject matter expert. He has 15 years of experience in public accounting including, GAAP financial statement audit of construction contractors, construction contract compliance/cost recovery for large construction manager at risk and design build contracts, construction change order and claim analysis, construction litigation support, design and construction process reengineering, and various other risk consulting services. David is 100% dedicated to serving the construction industry.

Examples of David's relevant experience includes:

- Currently serves NJ TRANSIT as the lead construction auditor for four IOM projects
- Served as the construction audit director/lead on a four-year, \$1.2 billion mixed use construction project in Miami, Florida
- Served as the construction audit director/lead on a three-year engagement auditing \$160 million of construction manager at risk contracts for a Florida university system
- Currently serves as the construction audit director/lead on a five-year, \$1.2 billion construction program audit and assessment engagement
- Currently leads internal audit and contract compliance/administration teams on a three-year, phased governmental audit initiative, including extensive audit and compliance work pursuant to a watershed consent decree
- Has led construction-focused forensic investigations and provided construction litigation and mediation support to clients including tribal governments, school districts, construction contractors and private equity
- Has led a three-year internal audit and contract compliance/evaluation engagement on a \$1.2 billion Mid-Atlantic region construction program

Has conducted more than 20 construction audit cost recovery engagements on major cost-plus construction projects ranging from \$10 million to \$1 billion in contract value

**Professional affiliations and credentials**

- Certified public accountant, Alabama
- American Institute of Certified Public Accountants
- Alabama Society of CPAs
- Orlando Business Journal Top 40 Professionals Under 40 Years Old

**Education**

- Master of Accountancy, Auburn University

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**MATTHEW BLONDELL, CPA**

Matt is a construction specialist in RSM's construction risk consulting practice where he is responsible for the execution of projects and supervision of staff, risks and controls, contract compliance services, risk management, business process analysis and forensic investigations. He has been in public accounting for over eleven years. His experience includes planning, supervising and executing closeout audits, contract compliance engagements, facilities and construction internal audits, and other consulting services for school districts, local and tribal governments, publicly traded entities, construction contractors and private equity clients throughout the country. Prior to joining RSM, Matt worked as an external auditor at a regional accounting firm in North Florida.

At RSM, Matt is focused on providing risk consulting services within the construction industry and serves as a subject matter expert in the Southeast region. Matt's experience includes:

- Currently serving NJ TRANSIT as a construction auditor for four IOM projects
- Currently managing internal audit and contract administration reviews as part of a three-year, phased governmental audit initiative, including extensive audit and compliance work pursuant to a federal consent decree
- Currently serving as the manager on a five-year, \$900 million construction program audit and assessment engagement
- Managed a team responsible for ongoing interim construction audits of the \$1 billion mixed-use development, located in the heart of downtown Miami
- Led a team conducting audits of CMAR contracts totaling over \$160 million for a university, including both a major stadium renovation and a new residential housing unit
- Supervised or performed multiple construction audits for both minor and major projects at a large university, and assisted negotiations of multiple contractor proposals, helped to develop and/or revise numerous contracts, and participated in the negotiation process helping to facilitate cost savings, cost avoidance and cost recovery
- Performed an assessment of the design of internal controls over construction planning, procurement, pay application and change order reviews and closeout procedures for numerous private and governmental entities
- Assisted/managed construction focused forensic investigations for tribal governments, school districts, construction contractors and private equity

**Professional affiliations and credentials**

- Certified public accountant, Florida
- American Institute of Certified Public Accountants
- Florida Institute of CPAs
- The Institute of Internal Auditors

**Education**

- Master of Accounting, Florida State University
- Bachelor of Science, accounting, Florida State University



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**LAURA MANLOVE, CPA**

Laura has over 12 years of experience in public accounting and 7 years of Assurance and Advisory services provided within the public sector practice. This experience includes external audit services, internal audit services, and contract compliance reviews. She is 100% dedicated to serving clients in the public sector, specializing in the areas of internal audit, including risk assessment, policies and procedures, process improvement, performance, operational and compliance audits, and other areas of consulting.

Laura is the project director for the current State of Florida DEO Comprehensive Performance Audits of Small Business Development Incentives project and has been a part of the Core Team for state compliance services for more than 4 years.

In addition, Laura has extensive consulting experience providing internal accounts reviews and internal audit services for government clients.

**Professional affiliations and credentials**

- Certified Public Accountant, licensed in Florida
- American Institute of Certified Public Accountants
- Institute of Internal Auditors
- Frequent speaker at multiple state and local government conferences such as GFOA, FGFOA, FSFOA, FASBO, IIA and more.

**Education**

- Master of Science, accounting, University of Central Florida
- Bachelor of Science, accounting, University of Central Florida

### **JILL REYES, CPA**

As a Partner with RSM, Jill is responsible for leading client engagements, which includes planning, executing, quality review assurance, completion, and proactively interacting with engagement leadership, senior level management and external auditors. Jill also meets with Board and Audit Committee members regularly and monitors ongoing activities in order to effectively manage the project workplan and frequently communicate relevant information. In her current role, Jill delivers advice and consultation regarding the adequacy and operating effectiveness of the control environment and specific internal controls, business process improvement, compliance matters, and financial reporting matters. Jill provides consulting, financial and compliance audit services to a variety of public sector entities, with a focus on grants management and compliance. Her hands-on experience working with state and local government and other auditors has given her the skills necessary to consult, assess and implement practical business solutions in an ever-changing environment. She has been in public accounting since 2001, and is dedicated to the public sector industry, focusing primarily on state agencies, cities, counties, and school districts. She has also performed external audit services in accordance with Government Accounting Standards, Uniform Guidance, and various OMB Circulars. Jill participates on RSM's national public sector leadership team as a trainer, strategic thinker and thought content developer.

Jill has served on the DEO Core Team since the project's inception in 2013, is currently the Engagement Leader on the DEO Comprehensive Performance Audit of SBD Incentives project. Additionally, Jill's recent government / public sector clients served include:

- Brevard County Government
- Prince William County Government
- California Energy Commission
- City of Homestead, FL
- DC Water and Sewer Authority
- Florida Division of Emergency
- Florida Dept of Education
- Brevard County School District
- Broward County School
- Enterprise Florida
- City of Charlotte, NC
- Martin County Clerk of Courts
- Florida Dept of Economic
- State of Iowa

### **Professional Affiliations and Credentials**

- Certified Public Accountant licensed in State of Georgia
- Certified Internal Auditor
- Certified Fraud Examiner
- Member of the American Institute of Certified Public Accountants
- Member of the Florida Institute of Certified Public Accountants
- Member Institute of Internal Auditors
- Member Association of Certified Fraud Examiners
- Frequent speaker at conferences and events on federal procurement regulations, compliance, risk assessment, fraud awareness, and hot topics in Internal Audit

### **Education**

- B.S. in Accounting, Florida International University;
- Master of Business Administration, Florida Institute of Technology

### **JENNIFER MURTHA, CPA**

Jennifer is a Partner and the National Leader in RSM's Public Sector risk consulting practice, with over 20 years of experience focusing on both external and internal audit services. She provides a full range of consulting and audit services for FL State and Local governments. Jennifer has assisted many clients in establishing internal audit functions from top to bottom, including creating charters and audit committees and organizational governance. She has led teams in financial, operational, and performance as well as compliance audits in many different areas of government. She has led fraud investigations and has represented her clients as an expert witness.

Jennifer is the client service leader for the DEO Comprehensive Performance Audit of SBD Incentives and has been on the Core Team for 6 years.

In addition, a partial listing of her public sector clients include:

- Prince William County – Jennifer is a part of the Core Team for the internal audit function at Prince William County, since inception in 2012.
- Arlington County – Jennifer has been a public sector technical resource and has performed the risk assessment and internal audit plan and quality assurance on the co-sourced internal audit activities since inception in 2014
- DC Water - Jennifer is a part of the Core Team for the internal audit function at DC Water. Since inception in 2014, the team has delivered a 3-year audit plan and numerous internal audits from the approved plan.
- School Board of Brevard County – Jennifer has been working with this client since she was a supervisor in 1999. She has been the manager on the engagement and now is the Director over the internal audit function reporting directly to the audit committee. RSM has performed numerous internal audits including cash management, grant compliance, PCard and numerous fraud investigations.
- Brevard County – since the inception (2000) of the audit function Jennifer has been Manager and Director in-charge of this engagement. Some of the high-risk functions RSM has audited include information technology, contract compliance, property control, purchasing, CDBG, parks and recreation, public works, cash, maintenance, facilities, and money collected.

### **Professional affiliations and credentials**

- Certified public accountant, licensed in New York
- American Institute of Certified Public Accountants
- Florida Institute of Certified Public Accountants
- Institute of Internal Auditors

### **Education**

- Bachelor of Arts, finance, Catholic University of America

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**RITA CHEVALIER**

Rita has provided operational and compliance audits as well as Sarbanes-Oxley (SOX) services to clients across various industries including Government Agencies (Education and Transportation), Technology, Life Sciences, Consumer Products and Media. She has over nine years of professional services experience and comes from a Big Four where she served Fortune 100 and mid-cap clients.

Rita has robust experience supporting clients with ongoing SOX compliance. Rita is currently working with clients in evaluating their internal controls and identifying operating effectiveness in key business process areas as well as providing process enhancement recommendations. In her role, Rita has worked with engagement teams on assessing fiscal operation, potential fraud, waste and mismanagement of resources as well as conducting contract compliance reviews through evaluating nonconformities, risks and opportunities. Rita has facilitated various risk assessments and provided Enterprise Risk Management (ERM) services to help organizations identify and assess top enterprise risks and implement ERM frameworks.

Additionally, Rita has managed teams through evaluating J-SOX and Internal Controls over Financial Reporting (ICFR) leveraging COSO. She also has experience performing business process design reviews; control design validation as well as governance function design. Rita has effectively supervised teams while ensuring service quality and client satisfaction.

**Professional affiliations and credentials**

- Project Management Professional
- Project Management Institute, New York City Chapter, education volunteer
- Institute of Internal Auditors

**Education**

- Bachelor of Business Administration, management, Adelphi University

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### ***STEPHANIE TANTILLO, CCA***

Stephanie is a manager in RSM's business risk consulting practice with expertise in construction risk consulting and serves clients in all industries, including government and public sector, health care, higher education, and entertainment and commercial entities.

Stephanie has over ten years of audit and consulting experience, including construction contract compliance engagements, construction change order analysis, facilities and construction process improvements and internal audits for government agencies and municipalities, business process analysis, construction forensic investigations and litigation support, and other risk advisory services. Prior to joining RSM, Stephanie worked for a national general contractor and an international gaming institution overseeing construction finance activities.

Her recent project experience includes:

- Currently serving a team providing Integrity Oversight Monitoring for FTA Grant funded, transit-oriented construction projects with a total value of approximately \$1 billion, executing the fraud risk assessment over scopes including procurement, change orders and claims management, disbursements, disadvantaged business entities, subcontractors, and grant management.
- Manages a team responsible for performing multi-year reviews of construction and consultant billings totaling more than \$1 billion of hospital construction, identifying opportunities for process improvements, leading industry practice recommendations, and contract compliance.
- Supervised and performed forensic cost recovery analysis for large scale construction projects and facilities management programs.
- Supervised and performed an assessment of the design of internal controls over construction planning, procurement, pay application and change order reviews, and closeout procedures for numerous private and governmental entities.

### **Publications and presentations**

- Palm Beach County Chapter of the Institute of Internal Auditors—selected to present on construction risk management and audit topics at the chapter's annual construction conference
- Atlanta Chapter of the Institute of Internal Auditors—selected to present on construction risk management and audit topics
- Georgia Government Finance Officers Association—selected to present on construction contract and administration risk management and audit topics at the association's annual construction conference

### **Professional affiliations and credentials**

- Certified Construction Auditor (CCA)
- Association of Certified Fraud Examiners
- The Institute of Internal Auditors

### **Education**

- Bachelor of Science, construction management, Central Washington University

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**RYAN DALY, CPA**

Ryan is a Manager in the New York Risk Consulting practice and has 3+ years of experience providing Internal Audit and Sarbanes-Oxley advisory services and multiple years prior providing external audit and assurance services in RSM's audit practice. He has worked on teams that have identified key operating risks, implemented internal controls, and performed internal audits. He is skilled in implementing COSO 2013 framework, project management, and coordination between client management and external auditors. His client experience has included asset management firms, commercial and retail clients, and branches within the public sector of the Tri-state area.

Ryan's experience across the public sector clients, such as serving on New Jersey Transit's Integrity Oversight Monitoring team, includes reviews over multiple aspects of fraud risk assessment categories. Those categories include quarterly financial reports covering grants, disbursements (Davis Bacon, Buy America, etc.), procurement, task order contractors, Form E and E2 review for Disadvantage Business Enterprise (DBE) compliance, review of project Notice of Proposed Changes (NPCs), review of any claims involved in the project, and assisting in conducting site visits across the four projects with New Jersey Transit. Ryan is also responsible for various elements of project management across the four projects, including monthly Form E and E2 reporting and quarterly reporting to the State Treasurer's office.

**Professional affiliations and credentials**

- Certified public accountant, Florida
- American Institute of Certified Public Accountants

**Education**

- Master of Science, accounting, Florida State University
- Bachelor of Science, accounting, Florida State University

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**SEAN McCARTER, M.Sc.**

Sean McCarter is a Supervisor in RSM's business risk consulting practice with expertise in construction risk consulting, internal audit, and process controls. Sean has over five years of experience in consulting services and is currently serving a team providing Integrity Oversight Monitoring for FTA Grant funded, transit-oriented construction projects with a total value of approximately \$1 billion. The scope of Sean's work includes construction contract compliance agreements, fraud risk assessments over scopes including procurement controls and testing, change orders and claim management testing, disbursements and invoice testing, disadvantaged business entities, subcontractors, grant management testing, and construction fieldwork observations.

**Professional affiliations and credentials**

- The Institute of Internal Auditors

**Education**

- Master of Science, accountancy, University of North Carolina at Charlotte
- Bachelor in business administration, accounting, East Carolina University

### Integrity Monitoring - Price Sheet

Rumph Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)	Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
Risk Assessment	Partner/Principal/Director	\$197.32	9	\$1,775.88	\$16,807.83	\$187.45	\$1,687.09	\$15,967.44
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	30	\$3,947.10		\$124.99	\$3,749.75	
	Supervisory/Sr. Consultant	\$121.61	30	\$3,648.30		\$115.53	\$3,465.89	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49	35	\$2,572.15		\$69.82	\$2,443.54	
	Subject Matter Expert	\$121.61	40	\$4,864.40		\$115.53	\$4,621.18	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			144					
Work Plan Development	Partner/Principal/Director	\$197.32	5	\$986.60	\$11,592.37	\$187.45	\$937.27	\$11,012.75
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	27	\$3,552.39		\$124.99	\$3,374.77	
	Supervisory/Sr. Consultant	\$121.61	16	\$1,945.76		\$115.53	\$1,848.47	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49		\$0.00		\$69.82	\$0.00	
	Subject Matter Expert	\$121.61	42	\$5,107.62		\$115.53	\$4,852.24	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			90					
On-going Monitoring	Partner/Principal/Director	\$197.32	8	\$1,578.56	\$75,259.57	\$187.45	\$1,499.63	\$71,496.59
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	120	\$15,788.40		\$124.99	\$14,998.98	
	Supervisory/Sr. Consultant	\$121.61		\$0.00		\$115.53	\$0.00	
	Consultant	\$104.99	120	\$12,598.80		\$99.74	\$11,968.86	
	Associate/Staff	\$73.49	244	\$17,931.56		\$69.82	\$17,034.98	
	Subject Matter Expert	\$121.61	225	\$27,362.25		\$115.53	\$25,994.14	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			717					
Reports	Partner/Principal/Director	\$197.32	8	\$1,578.56	\$7,747.34	\$187.45	\$1,499.63	\$7,359.97
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	18	\$2,368.26		\$124.99	\$2,249.85	
	Supervisory/Sr. Consultant	\$121.61		\$0.00		\$115.53	\$0.00	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49	12	\$881.88		\$69.82	\$837.79	
	Subject Matter Expert	\$121.61	24	\$2,918.64		\$115.53	\$2,772.71	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			62					
	Allowance for Travel Expenses and Reimbursement if on-site monitoring required			\$10,000.00				\$10,000.00
	<b>Total Cost (non-discounted)</b>							\$121,407.11
	<b>Total Cost (if discounted)</b>							\$115,836.75

Annual Escalation 3%



**Integrity Monitoring - Price Sheet**

Rumph Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)	Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
Risk Assessment	Partner/Principal/Director	\$197.32	18	\$3,551.76	\$33,615.66	\$187.45	\$3,374.17	\$31,934.88
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	60	\$7,894.20		\$124.99	\$7,499.49	
	Supervisory/Sr. Consultant	\$121.61	60	\$7,296.60		\$115.53	\$6,931.77	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49	70	\$5,144.30		\$69.82	\$4,887.09	
	Subject Matter Expert	\$121.61	80	\$9,728.80		\$115.53	\$9,242.36	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			288					
Work Plan Development	Partner/Principal/Director	\$197.32	10	\$1,973.20	\$23,184.74	\$187.45	\$1,874.54	\$22,025.50
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	54	\$7,104.78		\$124.99	\$6,749.54	
	Supervisory/Sr. Consultant	\$121.61	32	\$3,891.52		\$115.53	\$3,696.94	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49		\$0.00		\$69.82	\$0.00	
	Subject Matter Expert	\$121.61	84	\$10,215.24		\$115.53	\$9,704.48	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			180					
On-going Monitoring	Partner/Principal/Director	\$197.32	16	\$3,157.12	\$150,519.14	\$187.45	\$2,999.26	\$142,993.18
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	240	\$31,576.80		\$124.99	\$29,997.96	
	Supervisory/Sr. Consultant	\$121.61		\$0.00		\$115.53	\$0.00	
	Consultant	\$104.99	240	\$25,197.60		\$99.74	\$23,937.72	
	Associate/Staff	\$73.49	488	\$35,863.12		\$69.82	\$34,069.96	
	Subject Matter Expert	\$121.61	450	\$54,724.50		\$115.53	\$51,988.28	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			1434					
Reports	Partner/Principal/Director	\$197.32	16	\$3,157.12	\$15,494.68	\$187.45	\$2,999.26	\$14,719.95
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	36	\$4,736.52		\$124.99	\$4,499.69	
	Supervisory/Sr. Consultant	\$121.61		\$0.00		\$115.53	\$0.00	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49	24	\$1,763.76		\$69.82	\$1,675.57	
	Subject Matter Expert	\$121.61	48	\$5,837.28		\$115.53	\$5,545.42	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			124					
	Allowance for Travel Expenses and Reimbursement if on-site monitoring required			\$10,000.00				\$10,000.00
	<b>Total Cost (non-discounted)</b>							\$232,814.22
	<b>Total Cost (if discounted)</b>							\$221,673.51

Annual Escalation 3%

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$203.24		\$0.00	\$0.00
	Program Manager	\$150.19		\$0.00	
	Project Manager	\$135.52		\$0.00	
	Supervisory/Sr. Consultant	\$125.26		\$0.00	
	Consultant	\$108.14		\$0.00	
	Associate/Staff	\$75.69		\$0.00	
	Subject Matter Expert	\$125.26		\$0.00	
	Administrative Support	\$68.95		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$203.24	10	\$2,032.40	\$18,976.84
	Program Manager	\$150.19	0	\$0.00	
	Project Manager	\$135.52	40	\$5,420.68	
	Supervisory/Sr. Consultant	\$125.26	32	\$4,008.27	
	Consultant	\$108.14	0	\$0.00	
	Associate/Staff	\$75.69	0	\$0.00	
	Subject Matter Expert	\$125.26	60	\$7,515.50	
	Administrative Support	\$68.95		\$0.00	
			142		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$203.24	16	\$3,251.83	\$155,034.71
	Program Manager	\$150.19		\$0.00	
	Project Manager	\$135.52	240	\$32,524.10	
	Supervisory/Sr. Consultant	\$125.26		\$0.00	
	Consultant	\$108.14	240	\$25,953.53	
	Associate/Staff	\$75.69	488	\$36,939.01	
	Subject Matter Expert	\$125.26	450	\$56,366.24	
	Administrative Support	\$68.95		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$203.24	16	\$3,251.83	\$15,959.52
	Program Manager	\$150.19		\$0.00	
	Project Manager	\$135.52	36	\$4,878.62	
	Supervisory/Sr. Consultant	\$125.26		\$0.00	
	Consultant	\$108.14		\$0.00	
	Associate/Staff	\$75.69	24	\$1,816.67	
	Subject Matter Expert	\$125.26	48	\$6,012.40	
	Administrative Support	\$68.95		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$193.08	\$0.00	\$0.00
\$142.68	\$0.00	
\$128.74	\$0.00	
\$119.00	\$0.00	
\$102.73	\$0.00	
\$71.91	\$0.00	
\$119.00	\$0.00	
\$65.50	\$0.00	
\$193.08	\$1,930.78	\$18,028.00
\$142.68	\$0.00	
\$128.74	\$5,149.65	
\$119.00	\$3,807.85	
\$102.73	\$0.00	
\$71.91	\$0.00	
\$119.00	\$7,139.72	
\$65.50	\$0.00	
\$193.08	\$3,089.24	\$147,282.98
\$142.68	\$0.00	
\$128.74	\$30,897.90	
\$119.00	\$0.00	
\$102.73	\$24,655.85	
\$71.91	\$35,092.06	
\$119.00	\$53,547.92	
\$65.50	\$0.00	
\$193.08	\$3,089.24	\$15,161.54
\$142.68	\$0.00	
\$128.74	\$4,634.68	
\$119.00	\$0.00	
\$102.73	\$0.00	
\$71.91	\$1,725.84	
\$119.00	\$5,711.78	
\$65.50	\$0.00	
		\$0.00
		\$189,971.08
		<b>\$180,472.52</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$209.34		\$0.00	\$0.00
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58		\$0.00	
	Supervisory/Sr. Consultant	\$129.02		\$0.00	
	Consultant	\$111.38		\$0.00	
	Associate/Staff	\$77.97		\$0.00	
	Subject Matter Expert	\$129.02		\$0.00	
	Administrative Support	\$71.02		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$209.34	10	\$2,093.37	\$14,537.87
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58	30	\$4,187.48	
	Supervisory/Sr. Consultant	\$129.02	32	\$4,128.51	
	Consultant	\$111.38		\$0.00	
	Associate/Staff	\$77.97		\$0.00	
	Subject Matter Expert	\$129.02	32	\$4,128.51	
	Administrative Support	\$71.02		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$209.34	16	\$3,349.39	\$159,685.76
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58	240	\$33,499.83	
	Supervisory/Sr. Consultant	\$129.02		\$0.00	
	Consultant	\$111.38	240	\$26,732.13	
	Associate/Staff	\$77.97	488	\$38,047.18	
	Subject Matter Expert	\$129.02	450	\$58,057.22	
	Administrative Support	\$71.02		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$209.34	16	\$3,349.39	\$16,438.31
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58	36	\$5,024.97	
	Supervisory/Sr. Consultant	\$129.02		\$0.00	
	Consultant	\$111.38		\$0.00	
	Associate/Staff	\$77.97	24	\$1,871.17	
	Subject Matter Expert	\$129.02	48	\$6,192.77	
	Administrative Support	\$71.02		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$198.87	\$0.00	\$0.00
\$146.97	\$0.00	
\$132.60	\$0.00	
\$122.57	\$0.00	
\$105.81	\$0.00	
\$74.07	\$0.00	
\$122.57	\$0.00	
\$67.47	\$0.00	
\$198.87	\$1,988.70	\$13,810.98
\$146.97	\$0.00	
\$132.60	\$3,978.10	
\$122.57	\$3,922.09	
\$105.81	\$0.00	
\$74.07	\$0.00	
\$122.57	\$3,922.09	
\$67.47	\$0.00	
\$198.87	\$3,181.92	\$151,701.47
\$146.97	\$0.00	
\$132.60	\$31,824.84	
\$122.57	\$0.00	
\$105.81	\$25,395.53	
\$74.07	\$36,144.82	
\$122.57	\$55,154.36	
\$67.47	\$0.00	
\$198.87	\$3,181.92	\$15,616.39
\$146.97	\$0.00	
\$132.60	\$4,773.73	
\$122.57	\$0.00	
\$105.81	\$0.00	
\$74.07	\$1,777.61	
\$122.57	\$5,883.13	
\$67.47	\$0.00	
		\$0.00
		\$190,661.94
		<b>\$181,128.84</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$215.62		\$0.00	\$0.00
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77		\$0.00	
	Supervisory/Sr. Consultant	\$132.89		\$0.00	
	Consultant	\$114.73		\$0.00	
	Associate/Staff	\$80.30		\$0.00	
	Subject Matter Expert	\$132.89		\$0.00	
	Administrative Support	\$73.15		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$215.62	10	\$2,156.17	\$14,974.01
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77	30	\$4,313.10	
	Supervisory/Sr. Consultant	\$132.89	32	\$4,252.37	
	Consultant	\$114.73		\$0.00	
	Associate/Staff	\$80.30		\$0.00	
	Subject Matter Expert	\$132.89	32	\$4,252.37	
	Administrative Support	\$73.15		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$215.62	16	\$3,449.87	\$164,476.33
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77	240	\$34,504.82	
	Supervisory/Sr. Consultant	\$132.89		\$0.00	
	Consultant	\$114.73	240	\$27,534.10	
	Associate/Staff	\$80.30	488	\$39,188.60	
	Subject Matter Expert	\$132.89	450	\$59,798.94	
	Administrative Support	\$73.15		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$215.62	16	\$3,449.87	\$16,931.46
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77	36	\$5,175.72	
	Supervisory/Sr. Consultant	\$132.89		\$0.00	
	Consultant	\$114.73		\$0.00	
	Associate/Staff	\$80.30	24	\$1,927.31	
	Subject Matter Expert	\$132.89	48	\$6,378.55	
	Administrative Support	\$73.15		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$204.84	\$0.00	\$0.00
\$151.37	\$0.00	
\$136.58	\$0.00	
\$126.24	\$0.00	
\$108.99	\$0.00	
\$76.29	\$0.00	
\$126.24	\$0.00	
\$69.49	\$0.00	
\$204.84	\$2,048.36	\$14,225.31
\$151.37	\$0.00	
\$136.58	\$4,097.45	
\$126.24	\$4,039.75	
\$108.99	\$0.00	
\$76.29	\$0.00	
\$126.24	\$4,039.75	
\$69.49	\$0.00	
\$204.84	\$3,277.38	\$156,252.51
\$151.37	\$0.00	
\$136.58	\$32,779.58	
\$126.24	\$0.00	
\$108.99	\$26,157.39	
\$76.29	\$37,229.17	
\$126.24	\$56,808.99	
\$69.49	\$0.00	
\$204.84	\$3,277.38	\$16,084.88
\$151.37	\$0.00	
\$136.58	\$4,916.94	
\$126.24	\$0.00	
\$108.99	\$0.00	
\$76.29	\$1,830.94	
\$126.24	\$6,059.63	
\$69.49	\$0.00	
		\$0.00
		\$196,381.79
		<b>\$186,562.70</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$222.09		\$0.00	\$0.00
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08		\$0.00	
	Supervisory/Sr. Consultant	\$136.87		\$0.00	
	Consultant	\$118.17		\$0.00	
	Associate/Staff	\$82.71		\$0.00	
	Subject Matter Expert	\$136.87		\$0.00	
	Administrative Support	\$75.34		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$222.09	10	\$2,220.85	\$15,423.23
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08	30	\$4,442.50	
	Supervisory/Sr. Consultant	\$136.87	32	\$4,379.94	
	Consultant	\$118.17		\$0.00	
	Associate/Staff	\$82.71		\$0.00	
	Subject Matter Expert	\$136.87	32	\$4,379.94	
	Administrative Support	\$75.34		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$222.09	16	\$3,553.37	\$169,410.62
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08	240	\$35,539.97	
	Supervisory/Sr. Consultant	\$136.87		\$0.00	
	Consultant	\$118.17	240	\$28,360.12	
	Associate/Staff	\$82.71	488	\$40,364.26	
	Subject Matter Expert	\$136.87	450	\$61,592.91	
	Administrative Support	\$75.34		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$222.09	16	\$3,553.37	\$17,439.40
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08	36	\$5,330.99	
	Supervisory/Sr. Consultant	\$136.87		\$0.00	
	Consultant	\$118.17		\$0.00	
	Associate/Staff	\$82.71	24	\$1,985.13	
	Subject Matter Expert	\$136.87	48	\$6,569.91	
	Administrative Support	\$75.34		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					



Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$210.98	\$0.00	\$0.00
\$155.92	\$0.00	
\$140.68	\$0.00	
\$130.03	\$0.00	
\$112.26	\$0.00	
\$78.58	\$0.00	
\$130.03	\$0.00	
\$71.57	\$0.00	
\$210.98	\$2,109.81	\$14,652.07
\$155.92	\$0.00	
\$140.68	\$4,220.37	
\$130.03	\$4,160.94	
\$112.26	\$0.00	
\$78.58	\$0.00	
\$130.03	\$4,160.94	
\$71.57	\$0.00	
\$210.98	\$3,375.70	\$160,940.09
\$155.92	\$0.00	
\$140.68	\$33,762.97	
\$130.03	\$0.00	
\$112.26	\$26,942.11	
\$78.58	\$38,346.04	
\$130.03	\$58,513.26	
\$71.57	\$0.00	
\$210.98	\$3,375.70	\$16,567.43
\$155.92	\$0.00	
\$140.68	\$5,064.45	
\$130.03	\$0.00	
\$112.26	\$0.00	
\$78.58	\$1,885.87	
\$130.03	\$6,241.41	
\$71.57	\$0.00	
		\$0.00
		\$202,273.25
		<b>\$192,159.58</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$228.75		\$0.00	\$0.00
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53		\$0.00	
	Supervisory/Sr. Consultant	\$140.98		\$0.00	
	Consultant	\$121.71		\$0.00	
	Associate/Staff	\$85.20		\$0.00	
	Subject Matter Expert	\$140.98		\$0.00	
	Administrative Support	\$77.60		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$228.75	10	\$2,287.48	\$15,885.93
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53	30	\$4,575.77	
	Supervisory/Sr. Consultant	\$140.98	32	\$4,511.34	
	Consultant	\$121.71		\$0.00	
	Associate/Staff	\$85.20		\$0.00	
	Subject Matter Expert	\$140.98	32	\$4,511.34	
	Administrative Support	\$77.60		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$228.75	16	\$3,659.97	\$174,492.94
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53	240	\$36,606.17	
	Supervisory/Sr. Consultant	\$140.98		\$0.00	
	Consultant	\$121.71	240	\$29,210.92	
	Associate/Staff	\$85.20	488	\$41,575.19	
	Subject Matter Expert	\$140.98	450	\$63,440.69	
	Administrative Support	\$77.60		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$228.75	16	\$3,659.97	\$17,962.58
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53	36	\$5,490.92	
	Supervisory/Sr. Consultant	\$140.98		\$0.00	
	Consultant	\$121.71		\$0.00	
	Associate/Staff	\$85.20	24	\$2,044.68	
	Subject Matter Expert	\$140.98	48	\$6,767.01	
	Administrative Support	\$77.60		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$217.31	\$0.00	\$0.00
\$160.59	\$0.00	
\$144.90	\$0.00	
\$133.93	\$0.00	
\$115.63	\$0.00	
\$80.94	\$0.00	
\$133.93	\$0.00	
\$73.72	\$0.00	
\$217.31	\$2,173.11	\$15,091.63
\$160.59	\$0.00	
\$144.90	\$4,346.98	
\$133.93	\$4,285.77	
\$115.63	\$0.00	
\$80.94	\$0.00	
\$133.93	\$4,285.77	
\$73.72	\$0.00	
\$217.31	\$3,476.97	\$165,768.29
\$160.59	\$0.00	
\$144.90	\$34,775.86	
\$133.93	\$0.00	
\$115.63	\$27,750.38	
\$80.94	\$39,496.43	
\$133.93	\$60,268.66	
\$73.72	\$0.00	
\$217.31	\$3,476.97	\$17,064.45
\$160.59	\$0.00	
\$144.90	\$5,216.38	
\$133.93	\$0.00	
\$115.63	\$0.00	
\$80.94	\$1,942.45	
\$133.93	\$6,428.66	
\$73.72	\$0.00	
		\$0.00
		\$208,341.44
		<b>\$197,924.37</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$235.61		\$0.00	\$0.00
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10		\$0.00	
	Supervisory/Sr. Consultant	\$145.21		\$0.00	
	Consultant	\$125.36		\$0.00	
	Associate/Staff	\$87.75		\$0.00	
	Subject Matter Expert	\$145.21		\$0.00	
	Administrative Support	\$79.93		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$235.61	10	\$2,356.10	\$11,715.83
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10	30	\$4,713.04	
	Supervisory/Sr. Consultant	\$145.21	32	\$4,646.68	
	Consultant	\$125.36		\$0.00	
	Associate/Staff	\$87.75		\$0.00	
	Subject Matter Expert	\$145.21		\$0.00	
	Administrative Support	\$79.93		\$0.00	
			72		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$235.61	16	\$3,769.77	\$179,727.72
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10	240	\$37,704.35	
	Supervisory/Sr. Consultant	\$145.21		\$0.00	
	Consultant	\$125.36	240	\$30,087.25	
	Associate/Staff	\$87.75	488	\$42,822.44	
	Subject Matter Expert	\$145.21	450	\$65,343.91	
	Administrative Support	\$79.93		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$235.61	16	\$3,769.77	\$22,655.69
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10	48	\$7,540.87	
	Supervisory/Sr. Consultant	\$145.21		\$0.00	
	Consultant	\$125.36		\$0.00	
	Associate/Staff	\$87.75	30	\$2,632.53	
	Subject Matter Expert	\$145.21	60	\$8,712.52	
	Administrative Support	\$79.93		\$0.00	
			154		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$223.83	\$0.00	\$0.00
\$165.41	\$0.00	
\$149.25	\$0.00	
\$137.95	\$0.00	
\$119.10	\$0.00	
\$83.36	\$0.00	
\$137.95	\$0.00	
\$75.93	\$0.00	
\$223.83	\$2,238.30	\$11,130.03
\$165.41	\$0.00	
\$149.25	\$4,477.39	
\$137.95	\$4,414.34	
\$119.10	\$0.00	
\$83.36	\$0.00	
\$137.95	\$0.00	
\$75.93	\$0.00	
\$223.83	\$3,581.28	\$170,741.34
\$165.41	\$0.00	
\$149.25	\$35,819.13	
\$137.95	\$0.00	
\$119.10	\$28,582.89	
\$83.36	\$40,681.32	
\$137.95	\$62,076.72	
\$75.93	\$0.00	
\$223.83	\$3,581.28	\$21,522.90
\$165.41	\$0.00	
\$149.25	\$7,163.83	
\$137.95	\$0.00	
\$119.10	\$0.00	
\$83.36	\$2,500.90	
\$137.95	\$8,276.90	
\$75.93	\$0.00	
		\$0.00
		\$214,099.24
		<b>\$203,394.27</b>

Discounted Cost 2023-2030	
Year 1	\$221,673.51
Year 2	\$180,472.52
Year 3	\$181,128.84
Year 4	\$186,562.70
Year 5	\$192,159.58
Year 6	\$197,924.37
Year 7	\$203,394.27
<b>Total</b>	<b>\$1,363,315.81</b>

Rumph's BAFO rates for IM contract G4018

Partner/Principal/Director	\$197.32
Program Manager	\$145.82
Project Manager	\$131.57
Supervisory/Sr. Consultant	\$121.61
Consultant	\$104.99
Associate/Staff	\$73.49
Subject Matter Expert	\$121.61
Administrative Support	\$66.94

**Integrity Monitoring - Price Sheet**

Rumph Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)	Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
Risk Assessment	Partner/Principal/Director	\$197.32	18	\$3,551.76	\$33,615.66	\$187.45	\$3,374.17	\$31,934.88
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	60	\$7,894.20		\$124.99	\$7,499.49	
	Supervisory/Sr. Consultant	\$121.61	60	\$7,296.60		\$115.53	\$6,931.77	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49	70	\$5,144.30		\$69.82	\$4,887.09	
	Subject Matter Expert	\$121.61	80	\$9,728.80		\$115.53	\$9,242.36	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			288					
Work Plan Development	Partner/Principal/Director	\$197.32	10	\$1,973.20	\$23,184.74	\$187.45	\$1,874.54	\$22,025.50
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	54	\$7,104.78		\$124.99	\$6,749.54	
	Supervisory/Sr. Consultant	\$121.61	32	\$3,891.52		\$115.53	\$3,696.94	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49		\$0.00		\$69.82	\$0.00	
	Subject Matter Expert	\$121.61	84	\$10,215.24		\$115.53	\$9,704.48	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			180					
On-going Monitoring	Partner/Principal/Director	\$197.32	16	\$3,157.12	\$150,519.14	\$187.45	\$2,999.26	\$142,993.18
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	240	\$31,576.80		\$124.99	\$29,997.96	
	Supervisory/Sr. Consultant	\$121.61		\$0.00		\$115.53	\$0.00	
	Consultant	\$104.99	240	\$25,197.60		\$99.74	\$23,937.72	
	Associate/Staff	\$73.49	488	\$35,863.12		\$69.82	\$34,069.96	
	Subject Matter Expert	\$121.61	450	\$54,724.50		\$115.53	\$51,988.28	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			1434					
Reports	Partner/Principal/Director	\$197.32	16	\$3,157.12	\$15,494.68	\$187.45	\$2,999.26	\$14,719.95
	Program Manager	\$145.82		\$0.00		\$138.53	\$0.00	
	Project Manager	\$131.57	36	\$4,736.52		\$124.99	\$4,499.69	
	Supervisory/Sr. Consultant	\$121.61		\$0.00		\$115.53	\$0.00	
	Consultant	\$104.99		\$0.00		\$99.74	\$0.00	
	Associate/Staff	\$73.49	24	\$1,763.76		\$69.82	\$1,675.57	
	Subject Matter Expert	\$121.61	48	\$5,837.28		\$115.53	\$5,545.42	
	Administrative Support	\$66.94		\$0.00		\$63.59	\$0.00	
			124					
	Allowance for Travel Expenses and Reimbursement if on-site monitoring required			\$10,000.00				\$10,000.00
	<b>Total Cost (non-discounted)</b>							\$232,814.22
	<b>Total Cost (if discounted)</b>							\$221,673.51

Annual Escalation 3%



## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$203.24		\$0.00	\$0.00
	Program Manager	\$150.19		\$0.00	
	Project Manager	\$135.52		\$0.00	
	Supervisory/Sr. Consultant	\$125.26		\$0.00	
	Consultant	\$108.14		\$0.00	
	Associate/Staff	\$75.69		\$0.00	
	Subject Matter Expert	\$125.26		\$0.00	
	Administrative Support	\$68.95		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$203.24	10	\$2,032.40	\$18,976.84
	Program Manager	\$150.19	0	\$0.00	
	Project Manager	\$135.52	40	\$5,420.68	
	Supervisory/Sr. Consultant	\$125.26	32	\$4,008.27	
	Consultant	\$108.14	0	\$0.00	
	Associate/Staff	\$75.69	0	\$0.00	
	Subject Matter Expert	\$125.26	60	\$7,515.50	
	Administrative Support	\$68.95		\$0.00	
			142		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$203.24	16	\$3,251.83	\$155,034.71
	Program Manager	\$150.19		\$0.00	
	Project Manager	\$135.52	240	\$32,524.10	
	Supervisory/Sr. Consultant	\$125.26		\$0.00	
	Consultant	\$108.14	240	\$25,953.53	
	Associate/Staff	\$75.69	488	\$36,939.01	
	Subject Matter Expert	\$125.26	450	\$56,366.24	
	Administrative Support	\$68.95		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$203.24	16	\$3,251.83	\$15,959.52
	Program Manager	\$150.19		\$0.00	
	Project Manager	\$135.52	36	\$4,878.62	
	Supervisory/Sr. Consultant	\$125.26		\$0.00	
	Consultant	\$108.14		\$0.00	
	Associate/Staff	\$75.69	24	\$1,816.67	
	Subject Matter Expert	\$125.26	48	\$6,012.40	
	Administrative Support	\$68.95		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$193.08	\$0.00	\$0.00
\$142.68	\$0.00	
\$128.74	\$0.00	
\$119.00	\$0.00	
\$102.73	\$0.00	
\$71.91	\$0.00	
\$119.00	\$0.00	
\$65.50	\$0.00	
\$193.08	\$1,930.78	\$18,028.00
\$142.68	\$0.00	
\$128.74	\$5,149.65	
\$119.00	\$3,807.85	
\$102.73	\$0.00	
\$71.91	\$0.00	
\$119.00	\$7,139.72	
\$65.50	\$0.00	
\$193.08	\$3,089.24	\$147,282.98
\$142.68	\$0.00	
\$128.74	\$30,897.90	
\$119.00	\$0.00	
\$102.73	\$24,655.85	
\$71.91	\$35,092.06	
\$119.00	\$53,547.92	
\$65.50	\$0.00	
\$193.08	\$3,089.24	\$15,161.54
\$142.68	\$0.00	
\$128.74	\$4,634.68	
\$119.00	\$0.00	
\$102.73	\$0.00	
\$71.91	\$1,725.84	
\$119.00	\$5,711.78	
\$65.50	\$0.00	
		\$0.00
		\$189,971.08
		<b>\$180,472.52</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$209.34		\$0.00	\$0.00
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58		\$0.00	
	Supervisory/Sr. Consultant	\$129.02		\$0.00	
	Consultant	\$111.38		\$0.00	
	Associate/Staff	\$77.97		\$0.00	
	Subject Matter Expert	\$129.02		\$0.00	
	Administrative Support	\$71.02		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$209.34	10	\$2,093.37	\$14,537.87
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58	30	\$4,187.48	
	Supervisory/Sr. Consultant	\$129.02	32	\$4,128.51	
	Consultant	\$111.38		\$0.00	
	Associate/Staff	\$77.97		\$0.00	
	Subject Matter Expert	\$129.02	32	\$4,128.51	
	Administrative Support	\$71.02		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$209.34	16	\$3,349.39	\$159,685.76
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58	240	\$33,499.83	
	Supervisory/Sr. Consultant	\$129.02		\$0.00	
	Consultant	\$111.38	240	\$26,732.13	
	Associate/Staff	\$77.97	488	\$38,047.18	
	Subject Matter Expert	\$129.02	450	\$58,057.22	
	Administrative Support	\$71.02		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$209.34	16	\$3,349.39	\$16,438.31
	Program Manager	\$154.70		\$0.00	
	Project Manager	\$139.58	36	\$5,024.97	
	Supervisory/Sr. Consultant	\$129.02		\$0.00	
	Consultant	\$111.38		\$0.00	
	Associate/Staff	\$77.97	24	\$1,871.17	
	Subject Matter Expert	\$129.02	48	\$6,192.77	
	Administrative Support	\$71.02		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$198.87	\$0.00	\$0.00
\$146.97	\$0.00	
\$132.60	\$0.00	
\$122.57	\$0.00	
\$105.81	\$0.00	
\$74.07	\$0.00	
\$122.57	\$0.00	
\$67.47	\$0.00	
\$198.87	\$1,988.70	\$13,810.98
\$146.97	\$0.00	
\$132.60	\$3,978.10	
\$122.57	\$3,922.09	
\$105.81	\$0.00	
\$74.07	\$0.00	
\$122.57	\$3,922.09	
\$67.47	\$0.00	
\$198.87	\$3,181.92	\$151,701.47
\$146.97	\$0.00	
\$132.60	\$31,824.84	
\$122.57	\$0.00	
\$105.81	\$25,395.53	
\$74.07	\$36,144.82	
\$122.57	\$55,154.36	
\$67.47	\$0.00	
\$198.87	\$3,181.92	\$15,616.39
\$146.97	\$0.00	
\$132.60	\$4,773.73	
\$122.57	\$0.00	
\$105.81	\$0.00	
\$74.07	\$1,777.61	
\$122.57	\$5,883.13	
\$67.47	\$0.00	
		\$0.00
		\$190,661.94
		<b>\$181,128.84</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$215.62		\$0.00	\$0.00
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77		\$0.00	
	Supervisory/Sr. Consultant	\$132.89		\$0.00	
	Consultant	\$114.73		\$0.00	
	Associate/Staff	\$80.30		\$0.00	
	Subject Matter Expert	\$132.89		\$0.00	
	Administrative Support	\$73.15		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$215.62	10	\$2,156.17	\$14,974.01
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77	30	\$4,313.10	
	Supervisory/Sr. Consultant	\$132.89	32	\$4,252.37	
	Consultant	\$114.73		\$0.00	
	Associate/Staff	\$80.30		\$0.00	
	Subject Matter Expert	\$132.89	32	\$4,252.37	
	Administrative Support	\$73.15		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$215.62	16	\$3,449.87	\$164,476.33
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77	240	\$34,504.82	
	Supervisory/Sr. Consultant	\$132.89		\$0.00	
	Consultant	\$114.73	240	\$27,534.10	
	Associate/Staff	\$80.30	488	\$39,188.60	
	Subject Matter Expert	\$132.89	450	\$59,798.94	
	Administrative Support	\$73.15		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$215.62	16	\$3,449.87	\$16,931.46
	Program Manager	\$159.34		\$0.00	
	Project Manager	\$143.77	36	\$5,175.72	
	Supervisory/Sr. Consultant	\$132.89		\$0.00	
	Consultant	\$114.73		\$0.00	
	Associate/Staff	\$80.30	24	\$1,927.31	
	Subject Matter Expert	\$132.89	48	\$6,378.55	
	Administrative Support	\$73.15		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$204.84	\$0.00	\$0.00
\$151.37	\$0.00	
\$136.58	\$0.00	
\$126.24	\$0.00	
\$108.99	\$0.00	
\$76.29	\$0.00	
\$126.24	\$0.00	
\$69.49	\$0.00	
\$204.84	\$2,048.36	\$14,225.31
\$151.37	\$0.00	
\$136.58	\$4,097.45	
\$126.24	\$4,039.75	
\$108.99	\$0.00	
\$76.29	\$0.00	
\$126.24	\$4,039.75	
\$69.49	\$0.00	
\$204.84	\$3,277.38	\$156,252.51
\$151.37	\$0.00	
\$136.58	\$32,779.58	
\$126.24	\$0.00	
\$108.99	\$26,157.39	
\$76.29	\$37,229.17	
\$126.24	\$56,808.99	
\$69.49	\$0.00	
\$204.84	\$3,277.38	\$16,084.88
\$151.37	\$0.00	
\$136.58	\$4,916.94	
\$126.24	\$0.00	
\$108.99	\$0.00	
\$76.29	\$1,830.94	
\$126.24	\$6,059.63	
\$69.49	\$0.00	
		\$0.00
		\$196,381.79
		<b>\$186,562.70</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$222.09		\$0.00	\$0.00
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08		\$0.00	
	Supervisory/Sr. Consultant	\$136.87		\$0.00	
	Consultant	\$118.17		\$0.00	
	Associate/Staff	\$82.71		\$0.00	
	Subject Matter Expert	\$136.87		\$0.00	
	Administrative Support	\$75.34		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$222.09	10	\$2,220.85	\$15,423.23
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08	30	\$4,442.50	
	Supervisory/Sr. Consultant	\$136.87	32	\$4,379.94	
	Consultant	\$118.17		\$0.00	
	Associate/Staff	\$82.71		\$0.00	
	Subject Matter Expert	\$136.87	32	\$4,379.94	
	Administrative Support	\$75.34		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$222.09	16	\$3,553.37	\$169,410.62
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08	240	\$35,539.97	
	Supervisory/Sr. Consultant	\$136.87		\$0.00	
	Consultant	\$118.17	240	\$28,360.12	
	Associate/Staff	\$82.71	488	\$40,364.26	
	Subject Matter Expert	\$136.87	450	\$61,592.91	
	Administrative Support	\$75.34		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$222.09	16	\$3,553.37	\$17,439.40
	Program Manager	\$164.12		\$0.00	
	Project Manager	\$148.08	36	\$5,330.99	
	Supervisory/Sr. Consultant	\$136.87		\$0.00	
	Consultant	\$118.17		\$0.00	
	Associate/Staff	\$82.71	24	\$1,985.13	
	Subject Matter Expert	\$136.87	48	\$6,569.91	
	Administrative Support	\$75.34		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$210.98	\$0.00	\$0.00
\$155.92	\$0.00	
\$140.68	\$0.00	
\$130.03	\$0.00	
\$112.26	\$0.00	
\$78.58	\$0.00	
\$130.03	\$0.00	
\$71.57	\$0.00	
\$210.98	\$2,109.81	\$14,652.07
\$155.92	\$0.00	
\$140.68	\$4,220.37	
\$130.03	\$4,160.94	
\$112.26	\$0.00	
\$78.58	\$0.00	
\$130.03	\$4,160.94	
\$71.57	\$0.00	
\$210.98	\$3,375.70	\$160,940.09
\$155.92	\$0.00	
\$140.68	\$33,762.97	
\$130.03	\$0.00	
\$112.26	\$26,942.11	
\$78.58	\$38,346.04	
\$130.03	\$58,513.26	
\$71.57	\$0.00	
\$210.98	\$3,375.70	\$16,567.43
\$155.92	\$0.00	
\$140.68	\$5,064.45	
\$130.03	\$0.00	
\$112.26	\$0.00	
\$78.58	\$1,885.87	
\$130.03	\$6,241.41	
\$71.57	\$0.00	
		\$0.00
		\$202,273.25
		<b>\$192,159.58</b>



## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$228.75		\$0.00	\$0.00
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53		\$0.00	
	Supervisory/Sr. Consultant	\$140.98		\$0.00	
	Consultant	\$121.71		\$0.00	
	Associate/Staff	\$85.20		\$0.00	
	Subject Matter Expert	\$140.98		\$0.00	
	Administrative Support	\$77.60		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$228.75	10	\$2,287.48	\$15,885.93
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53	30	\$4,575.77	
	Supervisory/Sr. Consultant	\$140.98	32	\$4,511.34	
	Consultant	\$121.71		\$0.00	
	Associate/Staff	\$85.20		\$0.00	
	Subject Matter Expert	\$140.98	32	\$4,511.34	
	Administrative Support	\$77.60		\$0.00	
			104		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$228.75	16	\$3,659.97	\$174,492.94
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53	240	\$36,606.17	
	Supervisory/Sr. Consultant	\$140.98		\$0.00	
	Consultant	\$121.71	240	\$29,210.92	
	Associate/Staff	\$85.20	488	\$41,575.19	
	Subject Matter Expert	\$140.98	450	\$63,440.69	
	Administrative Support	\$77.60		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$228.75	16	\$3,659.97	\$17,962.58
	Program Manager	\$169.05		\$0.00	
	Project Manager	\$152.53	36	\$5,490.92	
	Supervisory/Sr. Consultant	\$140.98		\$0.00	
	Consultant	\$121.71		\$0.00	
	Associate/Staff	\$85.20	24	\$2,044.68	
	Subject Matter Expert	\$140.98	48	\$6,767.01	
	Administrative Support	\$77.60		\$0.00	
			124		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$217.31	\$0.00	\$0.00
\$160.59	\$0.00	
\$144.90	\$0.00	
\$133.93	\$0.00	
\$115.63	\$0.00	
\$80.94	\$0.00	
\$133.93	\$0.00	
\$73.72	\$0.00	
\$217.31	\$2,173.11	\$15,091.63
\$160.59	\$0.00	
\$144.90	\$4,346.98	
\$133.93	\$4,285.77	
\$115.63	\$0.00	
\$80.94	\$0.00	
\$133.93	\$4,285.77	
\$73.72	\$0.00	
\$217.31	\$3,476.97	\$165,768.29
\$160.59	\$0.00	
\$144.90	\$34,775.86	
\$133.93	\$0.00	
\$115.63	\$27,750.38	
\$80.94	\$39,496.43	
\$133.93	\$60,268.66	
\$73.72	\$0.00	
\$217.31	\$3,476.97	\$17,064.45
\$160.59	\$0.00	
\$144.90	\$5,216.38	
\$133.93	\$0.00	
\$115.63	\$0.00	
\$80.94	\$1,942.45	
\$133.93	\$6,428.66	
\$73.72	\$0.00	
		\$0.00
		\$208,341.44
		<b>\$197,924.37</b>

## Integrity Monitoring - Price Sheet

**Rumph** Cell to be completed by Bidder

	Staffing Category	Hourly Billing Rate (\$)	Hours	Amount (\$)	Total Cost (\$)
<b>Risk Assessment</b>	Partner/Principal/Director	\$235.61		\$0.00	\$0.00
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10		\$0.00	
	Supervisory/Sr. Consultant	\$145.21		\$0.00	
	Consultant	\$125.36		\$0.00	
	Associate/Staff	\$87.75		\$0.00	
	Subject Matter Expert	\$145.21		\$0.00	
	Administrative Support	\$79.93		\$0.00	
			0		
<b>Work Plan Development</b>	Partner/Principal/Director	\$235.61	10	\$2,356.10	\$11,715.83
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10	30	\$4,713.04	
	Supervisory/Sr. Consultant	\$145.21	32	\$4,646.68	
	Consultant	\$125.36		\$0.00	
	Associate/Staff	\$87.75		\$0.00	
	Subject Matter Expert	\$145.21		\$0.00	
	Administrative Support	\$79.93		\$0.00	
			72		
<b>On-going Monitoring</b>	Partner/Principal/Director	\$235.61	16	\$3,769.77	\$179,727.72
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10	240	\$37,704.35	
	Supervisory/Sr. Consultant	\$145.21		\$0.00	
	Consultant	\$125.36	240	\$30,087.25	
	Associate/Staff	\$87.75	488	\$42,822.44	
	Subject Matter Expert	\$145.21	450	\$65,343.91	
	Administrative Support	\$79.93		\$0.00	
			1434		
<b>Reports</b>	Partner/Principal/Director	\$235.61	16	\$3,769.77	\$22,655.69
	Program Manager	\$174.12		\$0.00	
	Project Manager	\$157.10	48	\$7,540.87	
	Supervisory/Sr. Consultant	\$145.21		\$0.00	
	Consultant	\$125.36		\$0.00	
	Associate/Staff	\$87.75	30	\$2,632.53	
	Subject Matter Expert	\$145.21	60	\$8,712.52	
	Administrative Support	\$79.93		\$0.00	
			154		
<b>Allowance for Travel Expenses and Reimbursement if on-site monitoring required</b>					
<b>Total Cost (non-discounted)</b>					
<b>Total Cost (if discounted)</b>					

Hourly Discounted Billing Rate (\$)	Amount (\$)	Total Cost (discounted) (\$)
\$223.83	\$0.00	\$0.00
\$165.41	\$0.00	
\$149.25	\$0.00	
\$137.95	\$0.00	
\$119.10	\$0.00	
\$83.36	\$0.00	
\$137.95	\$0.00	
\$75.93	\$0.00	
\$223.83	\$2,238.30	\$11,130.03
\$165.41	\$0.00	
\$149.25	\$4,477.39	
\$137.95	\$4,414.34	
\$119.10	\$0.00	
\$83.36	\$0.00	
\$137.95	\$0.00	
\$75.93	\$0.00	
\$223.83	\$3,581.28	\$170,741.34
\$165.41	\$0.00	
\$149.25	\$35,819.13	
\$137.95	\$0.00	
\$119.10	\$28,582.89	
\$83.36	\$40,681.32	
\$137.95	\$62,076.72	
\$75.93	\$0.00	
\$223.83	\$3,581.28	\$21,522.90
\$165.41	\$0.00	
\$149.25	\$7,163.83	
\$137.95	\$0.00	
\$119.10	\$0.00	
\$83.36	\$2,500.90	
\$137.95	\$8,276.90	
\$75.93	\$0.00	
		\$0.00
		\$214,099.24
		<b>\$203,394.27</b>

Discounted Cost 2023-2030	
Year 1	\$221,673.51
Year 2	\$180,472.52
Year 3	\$181,128.84
Year 4	\$186,562.70
Year 5	\$192,159.58
Year 6	\$197,924.37
Year 7	\$203,394.27
<b>Total</b>	<b>\$1,363,315.81</b>

Rumph's BAFO rates for IM contract G4018

Partner/Principal/Director	\$197.32
Program Manager	\$145.82
Project Manager	\$131.57
Supervisory/Sr. Consultant	\$121.61
Consultant	\$104.99
Associate/Staff	\$73.49
Subject Matter Expert	\$121.61
Administrative Support	\$66.94