

Response to Request for Proposal



RFP-20201-CDBG-MIT Grant Administration Services

ORIGINAL PROPOSAL

Submit to:

San Leon MUD
Attn: Stephen DonCarlos
2514 E. Cedar Bayou Lynchburg Road
Baytown, TX 77521

Deadline:

July 1, 2020 5:00 pm

Offeror:

Plexos Group, L.L.C.
1800 City Farm Drive, Building Four, Suite B
Baton Rouge, LA 70806

Contact:

David F. Odom
David.Odom@plexosgroup.com
225-757-5344



July 1, 2020



San Leon Municipal Utility District
Attn: Stephen DonCarlos
2514 E. Cedar Bayou Lynchburg Road
Baytown, TX 77521

Re: Response to Request for Proposal RFP-20201-CDBG-MIT for Grant Administration Services

Dear Mr. DonCarlos and Members of the Selection Committee:

Plexos Group, L.L.C. ("Plexos") is pleased to submit this proposal expressing our interest and commitment to assist the San Leon Municipal Utility District (MUD or "District") with fulfilling state and federal statutory responsibilities related to mitigation in connection with eligible federal disaster declarations, in identifying CDBG-MIT qualified projects, and performing grant administrative services in compliance with the U.S. Department of Housing and Urban Development regulations and guidelines issued by the Texas General Land Office.

Plexos is a full-service business consulting firm that has provided disaster response and recovery services for programs and projects exceeding \$31 billion in federal funding. Plexos' FEMA and HUD experts have extensive experience managing disaster programs and proven expertise streamlining recovery processes and accelerating funding to subrecipients and applicants. Over the last five years, Plexos has been an integral part of successful disaster recovery teams focused on rebuilding and mitigation initiatives in Louisiana, Texas, South Carolina, New York, New Jersey, USVI, Puerto Rico, Florida and North Carolina. Plexos efforts have supported over **\$11 billion in CDBG-DR funded programs** and resulted in the assistance of over **40,000 households**.

Our experience is further exemplified by the qualified team that we have assembled to work with the District on CDBG-MIT initiatives:

- **Lara Robertson, AICP**, Project Manager and SME, has more than **23 years** of CDBG experience and has been responsible for the management of the largest CDBG-DR and FEMA funded housing and elevation programs. During her career, Lara has provided management and SME support for over \$22 billion in CDBG-DR and FEMA funds, covering 13 disasters, for 8 grantees.
- **Richard Gray**, Infrastructure and Compliance SME, has more than **38 years** of CDBG and CDBG-DR compliance and monitoring experience. In his role as Director of Compliance for the State of Louisiana, he was responsible for the compliance and monitoring of over 1,400 CDBG-DR infrastructure and community facility projects exceeding \$15 billion in funding.
- **Anil Desa, PE**, Project Development and Management, has more than **27 years** of engineering, project development, and grant management experience successfully directing multi-disciplinary teams for FEMA, and CDBG-DR funded infrastructure projects in Louisiana, Mississippi, and South Carolina.
- **Tina Hauk**, Environmental Services, has **17 years** of environmental review experience and specializes in HUD Environmental Reviews (Part 50 and 58). Mrs. Hauk spent 12 years completing environmental reviews and monitoring compliance on CDBG-DR projects funded as a result of Hurricanes Katrina, Rita, Gustav, Ike, Isaac and the Great Flood of 2016 in Louisiana.

- **Kim Flowers**, Grant Administration/Mitigation SME, has more than **22 years** of emergency management and recovery experience. This experience includes 13 years of managing CDBG-DR and FEMA HMGP funded programs in the states of Louisiana, New York, New Jersey, Georgia, and Florida as well as the territory of Puerto Rico.
- **Parker Cole**, Construction Manager, has more than **15 years** of construction management experience with a focus on overall operations, quality control, and optimizing program processes for CDBG-DR and FEMA funded programs. He has provided his expertise to the states of Texas, Louisiana, New York, New Jersey and the Territory of the U.S. Virgin Islands.
- **George Duffee-Braun** has more than **40 years** of CEO experience and **15 years** of CDBG-DR financial management experience. He was personally responsible for the disbursement and reconciliation of over \$9 billion in CDBG-DR funding without HUD concerns or findings during the state of Louisiana's recovery from Hurricanes Katrina and Rita.
- **David Welker**, Anti-Fraud, Waste, and Abuse SME has extensive anti-fraud experience including more than **30 years** in law enforcement and more than **6 years** resulting from the establishment and operation of the anti-fraud group for the \$12 billion *Deepwater Horizon Economic and Property Settlement Program* and management of the fraud team for the \$230 million *U.S. Virgin Islands Emergency Home Repairs STEP program*.

Each of the recovery professionals assigned to this project are dedicated to the communities in which they serve. Our combined knowledge of best practices can immediately be leveraged by the District to provide the most efficient and compliant CDBG-MIT processes and programs.

As President and CEO, I am the designated contact person for any information regarding this proposal and fully authorized to commit Plexos' resources to assist the District in this important effort. I am also authorized to legally bind Plexos Group, L.L.C. in all transactions that may arise as a result of this submission.

Contact Information

David F. Odom, President and CEO
1800 City Farm Drive, Building Four, Suite B
Baton Rouge, LA 70806
Email: David.odom@plexosgroup.com
Phone: (225) 757-5344

Plexos accepts the terms and conditions of the requirements of this Request for Proposal as stated in RFP-20201-CDBG-MIT. We further state that neither the proposing entity, Plexos Group, L.L.C., nor any of its key employees, has a conflict of interest with the services to be performed under the requirements of this Request for Proposal.

We look forward to working with you on this exciting endeavor.

Sincerely,

Plexos Group, L.L.C.



David F. Odom
President and CEO

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EXECUTIVE SUMMARY

Summary of Qualifications

Formed in 2012, Plexos Group, L.L.C. (“Plexos”) is a privately held limited liability company which is centered on people, processes, and technology. Plexos is uniquely positioned to assist and provide executive level consulting regarding long-term recovery based on large disaster recovery operations such as Hurricane Katrina, Super Storm Sandy, and as recently as Hurricanes Irma and Maria in the United States Virgin Islands and Puerto Rico.

Our staff has led disaster recovery efforts, to include executive management positions and have regularly testified before state legislatures and Congress in support of disaster response initiatives and streamlining recovery processes. Our collective expertise in senior leadership positions for the administration and completion of complex multi-billion-dollar programs makes Plexos an unmatched competitor in this industry.

Our experience is further exemplified by the highly qualified team, with over 200 years of collective experience, that we have assembled to work with the San Leon Municipal Utility District on the CDBG-MIT initiative:

- **Lara Robertson, AICP**, Project Manager and Subject Matter Expert (SME), has more than **23 years** of CDBG experience and has been responsible for the management of the largest CDBG-DR and FEMA funded housing, infrastructure, and buyout programs. During her career, Lara has provided management and SME support for over \$22 billion in CDBG-DR and FEMA funds, covering 13 disasters, for 8 grantees.
- **Richard Gray**, Infrastructure and Compliance SME, has more than **38 years** of CDBG and CDBG-DR compliance and monitoring experience. In his role as Director of Compliance for the State of Louisiana, he was responsible for the compliance and monitoring of over 1,400 CDBG-DR infrastructure and community facility projects exceeding \$15 billion in funding.
- **Anil Desa, PE**, Project Development and Management, has more than **27 years** of engineering, project development, including **12 years** of grant management experience successfully directing multi-disciplinary teams for FEMA, and CDBG-DR funded infrastructure projects in Louisiana, Mississippi, and South Carolina.
- **Tina Hauk**, Environmental Services, has **17 years** of environmental review experience and specializes in HUD Environmental Reviews (Part 50 and 58). Mrs. Hauk spent **12 years** completing environmental reviews and monitoring compliance on CDBG-DR projects funded as a result of Hurricanes Katrina, Rita, Gustav, Ike, Isaac and the Great Flood of 2016 in Louisiana.

- **Kim Flowers**, Grant Administration/Mitigation SME, has more than **22 years** of emergency management and recovery experience. This experience includes **13 years** of managing CDBG-DR and FEMA HMGP funded programs in the states of Louisiana, New York, New Jersey, Georgia, and Florida as well as the territory of Puerto Rico.
- **Parker Cole**, Construction Manager, has more than **15 years** of construction management experience with a focus on overall operations, quality control, and optimizing program processes for CDBG-DR and FEMA funded programs. He has provided his expertise to the states of Texas, Louisiana, New York, New Jersey and the U.S. Virgin Islands.
- **George Duffee-Braun** has more than **40 years** of CFO experience and **15 years** of CDBG-DR financial management experience. He was personally responsible for the disbursement and reconciliation of over \$9 billion in CDBG-DR funding without HUD concerns or findings during the state of Louisiana's recovery from Hurricanes Katrina and Rita.
- **David Welker**, Anti-Fraud, Waste, and Abuse SME has extensive anti-fraud experience including more than **30 years** in law enforcement and more than **6 years** resulting from the establishment and operation of the anti-fraud group for the \$12 billion *Deepwater Horizon Economic and Property Settlement Program* and management of the fraud team for the \$230 million *U.S. Virgin Islands Emergency Home Repairs STEP Program*.



Project Understanding

In order to receive HUD CDBG-MIT funding, the Texas General Land Office submitted and received approval of the State of Texas CDBG Mitigation (CDBG-MIT) *Action Plan Building Stronger for a Resilient Future* on March 31, 2020. The approved Action Plan outlines program allocations, the use of funds, eligible applicants, and eligibility criteria. Due to the fact that San Leon Municipal Utility District is located in Galveston County, designated as one of HUD's Most Impacted and Distressed areas (HUD-MID) for Hurricane Harvey, the purpose of planning and administrative services is to identify eligible projects for funding from TX GLO CDBG-MIT allocations and submit competitive applications for eligible projects which maximize the amount of mitigation funding to the District. Once funded by TX GLO, post-award activities include the submittal of all project start-up documentation and management of project activities from inception to close-out in a compliant manner.

Based upon our previous CDBG experience, Plexos understands that the most important element of project start-up is planning with closeout in mind. We also understand that a well-planned and scheduled approach results in successful implementation for all stakeholders. Integral to the launch of our projects are the development of a Project Management Plan, Detailed Schedule, and Staffing Utilization Plan which outline the management strategy for all major elements within our approved scope of work. As part of this project planning process, critical activities, project milestones, and staffing needs are based upon data-driven forecasts and leading practices formed from our work on the largest disasters in this nation's history. Our proven methods of expediting project start-up activities include:

- Rapid deployment of Subject Matter Experts to complete project start-up;
- Use of our existing library of policies, processes, and Standard Operating Procedures to accelerate project design and implementation;
- Implementation of robust Quality Assurance/Quality Control (QA/QC) Plans and Checklists based upon HUD monitoring and closeout checklists to ensure compliance, quality, and process improvements from project launch to closeout.

Confirmation of RFP requirements

The Plexos Team is positively committed to performing the services described in the San Leon MUD CDBG-MIT RFP with the personnel specified in this submission. We are excited about this prospect and look forward to advancing the mitigation goals of the District. As such, Plexos affirms that all information included herein is a truthful and accurate representation of our firm.

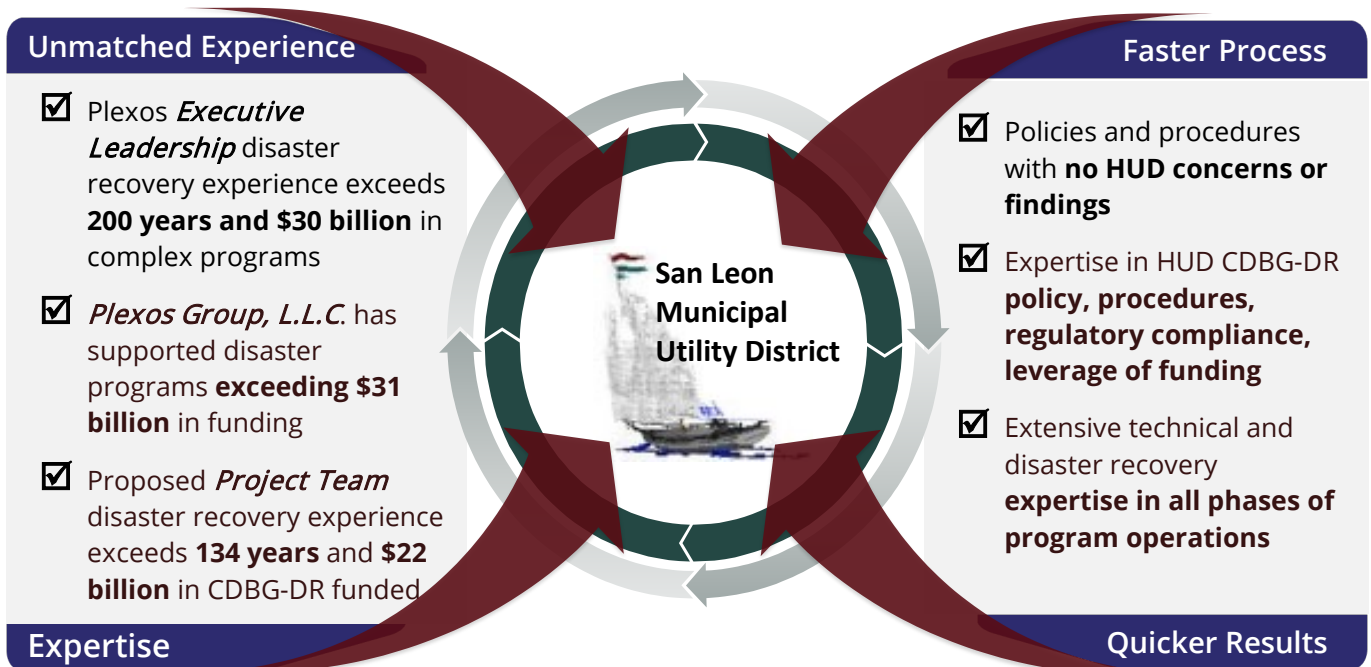
Timeline for Implementation

Due to the competitive nature of TX GLO CDBG-MIT allocations, Plexos understands that project planning and data collection efforts must begin as soon as the solicitation for CDBG-MIT services is awarded by the District so that applications are responsive to GLO requirements and complete and accurate as possible. Our timeline for project start-up activities is shown below.

Project Kick-Off Meeting	Available upon Project Award
Preliminary Analysis of Proposed Project List and Data	Within 1 week of receipt of Project List
Collection of Application Data and Required Documentation	July – September 2020
<ul style="list-style-type: none"> — Initial Project Eligibility Determination <ul style="list-style-type: none"> ○ Ratio of Residential Beneficiaries vs. Commercial / Industrial Beneficiaries ○ Low to Moderate Income Survey Data (LMISD) 	July – August 2020
<ul style="list-style-type: none"> — Document Previous TX GLO Grant Awards 	July – August 2020
<ul style="list-style-type: none"> — Complete development / review of: <ul style="list-style-type: none"> ○ CDBG-DR Financial Policies and Procedures ○ Procurement Policies and Procedures ○ Fair Housing Activity Information ○ Single Audit or Annual Financial Statement ○ Collect 424 Form Information ○ TX GLO Required Application Certification ○ Applicable Galveston County Plans 	July – August 2020 July – August 2020 July – August 2020 July – August 2020 July – August 2020 July – August 2020 July – August 2020
<ul style="list-style-type: none"> — Complete CDBG-MIT Citizen Participation Plan 	July – August 2020
<ul style="list-style-type: none"> — Defined Service Area Documentation: <ul style="list-style-type: none"> ○ Project Area Map ○ Service Area Map 	July – August 2020 July – August 2020
<ul style="list-style-type: none"> — Finalize GIS Layers and Mapping Requirements 	July – August 2020
<ul style="list-style-type: none"> — Initial Identification of Environmental Data Needs 	July – August 2020
<ul style="list-style-type: none"> — Project Budget <ul style="list-style-type: none"> ○ Design and Engineering Budget Review ○ DOB Analysis (if any) ○ Leveraged Funding (if any) ○ Justification of Retail Costs Form ○ Administrative and PD Costs ○ Complete Financial Interest Reports 	July – August 2020 July – August 2020 July – August 2020 July – August 2020 July – August 2020 July – August 2020
<ul style="list-style-type: none"> — Complete Revisions to P&Ps (if applicable) 	August 2020
<ul style="list-style-type: none"> — Revision to HMP Submitted (if applicable) 	August 2020

— Finalize Project Area GIS Maps	August 2020
— Latitude and Longitude	August 2020
o Site Photos	August 2020
— Project Eligibility Narrative & Documentation	August 2020
— Mitigation Risk Narrative & Documentation	August 2020
— Resiliency Narrative & Documentation	August 2020
— Complete Environmental Analysis for Application	August 2020
— Project / Grant Management Plans	September 1, 2020
— TIGR Access Forms Complete	September 1, 2020
— TX GLO Signed Applicant Certifications	September 1, 2020
— Complete 424 Forms Information	September 1, 2020
— Complete Environmental Documentation	September 1, 2020
Complete Draft Applications	September 4, 2020
San Leon MUD Application Review	September 7-15, 2020
San Leon Application Approval	September 17, 2020
Begin Entering Applications in TIGR	September 18-25, 2020
Posting of Applications (14 days)	September 30, 2020
Public Hearings TBD	October 15, 2020
Finalize Applications	October 16-23, 2020
Submit Applications in TIGR	October 23, 2020
Due Date for Applications	October 28, 2020

**Continual monitoring of TX GLO and HGAC for issuance of Program Guidelines and Application Forms



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I. STATEMENT OF QUALIFICATIONS

Plexos Group, L.L.C. has provided program management services supporting short- and long-term disaster recovery programs exceeding \$31 billion. The experience of Plexos Executive Leadership exceeds 200 years and includes expertise in emergency management, recovery, and mitigation. The experience of the highly skilled proposed Project Team for this effort exceeds 134 years of disaster recovery.

About Plexos Group, L.L.C.

Formed in 2012, Plexos Group, L.L.C. ("Plexos") is a privately held limited liability company which is centered on people, processes, and technology. Plexos is uniquely positioned to assist and provide executive level consulting regarding long-term recovery based on large disaster recovery operations such as Hurricane Katrina, Superstorm Sandy, and as recently as Hurricanes Irma and Maria in the United States Virgin Islands and Puerto Rico.

As a company, Plexos has provided planning, emergency response, and recovery operations for state, territorial, and local governments resulting from 23 disasters and has supported the management of large-scale recovery operations totaling more than \$31 billion in federal funding.

Prior to Plexos, the Executive Leadership staff led disaster recovery efforts to include holding executive management positions, providing expert services to Fortune 500 companies, regularly testifying before state legislatures and Congress in support of Disaster Recovery process improvements, and providing expert guidance to foreign governments. This collective expertise in senior leadership positions prior to Plexos for the administration and completion of complex programs exceeded \$30 billion.



THE RIGHT TEAM. Plexos has managed and implemented some of the largest disaster recovery programs in U.S. history.

Plexos is managed by David F. Odom P.E., PMP, President and CEO; Kirk Fisher, COO and CFO; and Paul W. Rainwater, Chief Strategy Officer. Corporate headquarters are in Baton Rouge, Louisiana with office locations in Texas, Boston, Florida, New Orleans, Alabama, New York, and Puerto Rico.

Proposed Project Team

Plexos is proposing a team that combines highly specialized individuals with more than 134 years of CDBG and disaster response and recovery experience to assist the San Leon MUD in the development of applications and projects as well as the implementation and management of CDBG-MIT programs funded through the U.S. Department of Housing and Urban Development (HUD). In addition, we are well-positioned to supplement your existing personnel resources to ensure effective implementation of programs and policies outlined in the approved Action Plan.

Collectively, the resumes of the proposed Plexos Team fully demonstrate the ability to carry out all services required in the scope of services section of RFP-20201-CDBG-MIT for Grant Administrative Services.

Lara Robertson, AICP, Project Manager and SME, has more than **23 years** of CDBG experience and has been responsible for the management of the largest CDBG-DR and FEMA funded housing and elevation programs. During her career, Lara has provided management and SME support for over \$22 billion in CDBG-DR and FEMA funds, covering 13 disasters, for 8 grantees.

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Full resumes are at the end of this section.

Statement of Resources

Plexos employs over 700 personnel including CDBG-DR and CDBG-MIT grant managers, engineers, cost estimators, construction inspectors, finance, call center representatives, case workers, etc. that serve in disaster recovery fields such as all-hazards planning, FEMA Public Assistance and Hazard Mitigation, CDBG-DR, CDBG-MIT, and COVID-19 related projects. Under this contract, Plexos will staff

Plexos service offerings include CDBG-DR and hazard mitigation subject matter expertise, including but not limited to the following:

- Pre- and Post-Disaster Recovery planning, response, and recovery initiatives;
- Development of CDBG-DR action plans and amendments;
- HUD and FEMA grants management and administration (to include financial management, procurement, and audit response);
- Environmental reviews and management of environmental remediation services;
- Design and management of infrastructure, single-family and multi-family housing rehabilitation, reconstruction, and elevation programs;
- Buyout and Acquisition Programs (including the designation of Disaster Risk Reduction Areas);
- Development and management of large-scale infrastructure projects jointly funded by HUD and FEMA;
- Uniform Relocation Assistance and Real Property Acquisition Act (URA).

in accordance with the District requirements as well as expand or reduce capacity based on the needs of the District.

Additionally, Plexos has a standing tradition to engage local resources to assist in disaster recovery efforts. We actively seek participation from Section 3 business concerns and residents as well as Minority and Women-Owned Disadvantaged Business Enterprises.

Plexos has supported the management of more than \$11 billion in CDBG-DR programs in various capacities at state and local levels of government for Louisiana, Texas, New York, New Jersey, North Carolina, South Carolina, Florida, and Puerto Rico.

FEMA & HUD CDBG-DR Experience

The Plexos Team has an unprecedented level of expertise at federal, state, and local levels managing projects funded by the Federal Emergency Management Agency (FEMA) and U.S. Department of Housing and Urban Development (HUD). We offer the full spectrum of disaster recovery services, from pre-disaster planning, program development and management, and project close out.

As a company, Plexos has provided planning, emergency response, and recovery operations for state, territorial, and local governments resulting from 23 disasters and has supported the management of large-scale recovery operations totaling more than \$31 billion in federal funding. Our team includes qualified professionals who have worked side-by-side with the U.S. Department of Housing and Urban Development, FEMA Regions II, IV, VI and VII, and many state and local emergency management officials before, during and after disasters.

The Right Relationships

- U.S. Department of Housing and Urban Development (**HUD**)
- HUD Office of Inspector General (**OIG**)
- The Office of Management and Budget (**OMB**)
- U.S. Government Accountability Office (**GAO**)
- Federal Emergency Management Agency (**FEMA**) **Regions II, IV, VI, and VII**
- U.S. Department of Homeland Security (**DHS**)
- DHS OIG**
- U.S. Army Corps of Engineers (**USACE**)
- Natural Resources Conservation Service (**NRCS**)
- Texas Department of Emergency Management (TDEM)

State agency engagements include the Texas Department of Emergency Management (TDEM), Texas General Land Office (GLO), Louisiana Office of Community Development – Disaster Recovery Unit (OCD DRU), Louisiana Governor’s Office of Homeland Security and Emergency Preparedness (GOHSEP), South Carolina Emergency Management Division (SCEMD), North Carolina Governor’s Office of Recovery and Resiliency (NCORR), New York Governor’s Office of Storm Recovery (GOSR), the Territories of the U.S. Virgin Islands and Puerto Rico, and many others.

Recent and Relevant Experience

Some of Plexos' disaster recovery projects are reflected below:

2020	City of Galveston, Texas	CDBG-MIT Grant Administrative Services — 2020 to present	Approximately \$150 Million
2020	Louisiana Office of Community Development Disaster Recovery Unit	Louisiana Watershed Initiative Program— 2019 to present	\$1.2 Billion CDBG-MIT Funding
2020	City of Columbia, South Carolina Community Development Department	2015 Flooding, Columbia, South Carolina — 2015 to present	\$26 Million CDBG-DR Funding
2020	City of Columbia, South Carolina	2015 Flooding, Columbia, South Carolina — 2015 to present	\$352 Million FEMA Funding
2020	Puerto Rico Department of Housing	Home, Repair, Reconstruction, and Recovery (R3) Program— 2019 to present	\$2.18 Billion CDBG-DR Funding
2020	Texas General Land Office	Hurricane Harvey Recovery Program— 2018 to present	\$1.1 Billion CDBG-DR Funding
2020	Louisiana Office of Community Development Disaster Recovery Unit	Restore Louisiana Program— 2017 to present	\$1.8 Billion CDBG-DR Funding
2020	New Jersey Department of Community Affairs	New Jersey RREM Program— 2017 to present	\$1.34 Billion CDBG-DR Funding
2020	North Carolina Office of Recovery and Resiliency (NCORR)	RebuildNC Program— 2019 to present	\$422 Million CDBG-DR Funding
2020	New York Governor's Office of Storm Recovery (GOSR)	NY Rising Programs— 2016 to present	\$2 Billion CDBG-DR Funding
2019	North Carolina Emergency Management (NCEM, now NCORR)	Hurricane Matthew Recovery— 2018 to 2019	\$236.5 Million CDBG-DR Funding
2017	New York City Housing Recovery Office	Build-it-Back Program— 2014 to 2017	\$1.4 Billion CDBG-DR Funding

Public Works / Infrastructure Experience

Our FEMA Public Assistance experience with the City of Columbia is fully described in the *Project References* section as Project Reference #2. This experience is directly related to the scope of services included in this RFP. Plexos has assisted the city with more than 20 FEMA Public Assistance projects, two Hazard Mitigation Grant Program projects, and one HUD CDBG-DR program. FEMA PA services provided include:

- Performing damage assessments
- Providing scopes of work
- Providing cost estimates
- Providing Benefit Cost Analyses for HMGP
- Assisting in procurement of A/E services
- Attending progress meetings
- Reviewing plans and bid documents
- Reviewing invoices
- Ensuring compliance with regulations

Related Experience

As can be seen by reviewing the firm's experience and qualifications of Plexos personnel assigned to this project, Plexos has a deep bench of experts with over 134 years of collective disaster expertise providing grant management services for both HUD and FEMA programs. The experience of our staff includes providing the full range of CDBG services from application development, project development of CDBG identified initiatives, program administration, and close-out.

More specifically, our proposal outlines the tasks and processes necessary to fulfill the District's needs as outlined in the RFP to include, but not be limited to, the following:

- Administrative Duties
- General Administrative Duties for Infrastructure
- Project Development and Management
- Environmental Services
- Construction Management

Plexos' approach to the Scope of Work is broken down by pre- and post-funding activities and specifically outlines the high-level tasks that are necessary to meet GLO requirements and achieve compliance with:

- HUD CDBG-MIT Federal Register Notice (84 FR 45838 published August 30, 2019)
- TX GLO CDBG-MIT Action Plan
- TX GLO CDBG-MIT Program Guidelines
- TX GLO Implementation Manual
- TX GLO and HUD Monitoring Checklists for cross-cutting requirements

Project References

Louisiana Watershed Initiative (LWI)
CDBG-Mitigation Program
DR-4263, DR-4277, Great Flood of 2016
State of Louisiana



Plexos Group | Subcontractor

Project #1

Project Dates

2019 to present

Program Funding

\$1.2 billion

Reference Information

Scot Edelman, PE

Senior Vice President

AECOM

Scott.edelman@aecom.com

(336) 314-3435

Congress allocated \$1,213,917,000 CDBG-MIT funds to the State of Louisiana for the specific purpose of mitigation activities as specified in Public Law 115-123 and FR-6109-N-02 in response to the state’s increasingly complex flood risk profile. To carry out these initiatives, Governor John Bel Edwards has charged state agencies with coordinating efforts through a watershed-based approach, referred to as the Louisiana Watershed Initiative or LWI. Plexos was recently awarded work on the LWI project as part of the AECOM Team to assist with the support and development of the statewide Louisiana Watershed Plan which will guide the allocation of CDBG-MIT funding and implementation strategies outlined in the state’s HUD approved Action Plan and FEMA approved State Hazard Mitigation Plan. The team is responsible for coordinating this effort with state agencies and LWI team members to address and meet LWI goals in the areas of community outreach, development of regional strategies, legislative support, and policy implementation.

The Plexos team is providing support during the development of the LWI Plan to include appropriate application of CDBG-MIT requirements as well as assessing the capacity of existing governmental agencies and programs to support \$1.2 billion in funding for the state’s long-term mitigation initiatives. As part of this process, Plexos will also be responsible for identifying any necessary enabling legislation or other legislative needs to support agency operations in consistency with the LWI mission and evaluating the need for watershed education and workforce training.

Relevance to the San Leon Municipal Utility District

- APPLICATION DEVELOPMENT.** The Louisiana Watershed Plan will assist the state to create policies that will govern state, regional, and local mitigation projects in compliance with CDBG-MIT requirements.
- PROJECT DEVELOPMENT.** LWI will assist the state to prioritize local and regional CDBG-MIT projects which increase long-term community resiliency.
- MANAGEMENT.** Effective management of LWI technical advisory group’s planning and project priorities will result in a plan that reflects the state hazard mitigation plan and local needs.
- FUNDING.** Planning initiatives will assist the state to effectively maximize and leverage \$1.2 billion in CDBG-MIT funding.
- CAPABILITY AND CAPACITY.** Planning activities will assist the state to evaluate the need for additional watershed education, workforce training, legislative initiatives and outreach activities.

City of Columbia, South Carolina
FEMA Public Assistance and Hazard Mitigation Program

DR-4241, Severe Storms & Flooding, Oct 2015
Columbia, South Carolina



Plexos Group | Subcontractor

Project #2

Project Dates

2015 to present

Program Funding

\$334 million (Public Assistance)

\$18 million (Hazard Mitigation)

Reference Information

Missy Caughman

Director

City of Columbia

macaughman@columbiasc.net

(803) 545-3201

Within several days of the flood event, Plexos began serving as the program manager of a 90-day emergency contract to manage the City of Columbia's response and early recovery efforts. After the initial response, Plexos assisted the city with establishing the foundation for long-term recovery and mitigation efforts.

Currently, we have several FEMA Public Assistance projects open, including the levee repair. Plexos is currently working on the city's hazard mitigation projects and Cost Reasonable Analysis for emergency services as well as with the city engineering department for compliance and oversight of federal funding.

Plexos accomplishments include the following:

- Assisting the city with the identification of recovery and mitigation projects, development of strategies to leverage federal funding, and program management for Public Assistance and hazard mitigation projects.
- Writing damage assessments and providing engineering estimates to repair the damaged infrastructure under Category D FEMA PA reimbursement for the Columbia Canal and 10 MW Hydroelectric facilities in order to restore electrical and water facilities within the city.
- Securing \$5.7 million within the first 30 days in FEMA obligated funding for expedited emergency response costs, including Debris Removal and Emergency Protective Measures.
- Identifying more than \$290 million in damages for recovery projects which are currently in various stages of recovery.
- Establishing ongoing communications with several federal agencies (EPA, NRCS, FEMA, and USACE) to ensure that debris removal in city waterways was compliant and eligible for reimbursement.
- Establishing a Program Management Office within a week of the flood event and continuously staffing the office throughout the response and recovery.
- Assisting with writing the RFQ's to hire design engineers and to manage the design teams to ensure scope of work was eligible for reimbursement.
- Capturing data from the state-executed sheltering plan to propose a city-specific sheltering plan for future emergencies, while also identifying funding sources and non-profit partners for proposed future sheltering operations.
- Confirming that city procurement policies met federal standards (2 CFR Part 200) and validating that documentation for each project was sufficient.

- Providing training to the city regarding Anti-Fraud, Waste, and Abuse policies and procedures.
- Completing inspections and damage assessments upon request
- Consulting on demolition and construction cost estimation, engineering technical assessments or to review city-prepared proposals.
- Providing internal audit expertise to the city to ensure that all financial reporting and supporting documentation for projects meet or exceed FEMA/HUD requirements.
- Consulting with stakeholders to demonstrate the importance of reasonable cost-sharing mechanisms.

Relevance to the San Leon Municipal Utility District

- ✓ **APPLICATION DEVELOPMENT.** Comprehensive data collection was critical in the identification of eligible recovery projects, evaluation of project alternatives, and leveraging of federal funding in the city.
- ✓ **PROJECT DEVELOPMENT.** Engagement of federal, state, and local partners ensured that projects were designed to meet federal requirements and effectively leveraged available funding.
- ✓ **MANAGEMENT.** Establishment of a PMO within one week of flood event and continual staffing of operations contributed to successful response and recovery efforts.
- ✓ **FUNDING.** Cost-sharing initiatives, as well as the identification of strategies for the leveraging of funding is critical to the city's long-term recovery plan.
- ✓ **CAPABILITY AND CAPACITY.** Supplemental staff provided the city with the personnel, skills, and tools necessary to effectively carry out immediate response, recovery, and mitigation activities.



Plexos has supported more than \$11 billion in CDBG-DR Programs across the country.

City of Columbia, South Carolina
HUD CDBG-DR Program
DR-4241, Severe Storms & Flooding, Oct 2015
Columbia, South Carolina



Plexos developed the City of Columbia’s Risk Assessment, Pre-Award Implementation Plan and CDBG-DR Action Plan for \$26 million in federal funding. We are currently providing technical assistance to the city, which includes subsequent amendments to the Action Plan.

As part of the update process, Plexos recently completed the fifth amendment to the Action Plan in order to reallocate CDBG-DR funding to address additional unmet recovery needs that have been identified by the city.

- The most significant shift in funding was the decrease of the \$3.9 million allocation for the Canal Head Gates project in order to provide additional funding for the completion of the Columbia Homeowner Assistance Program (CHAP) and Minor Repair Program (MRP).
- Program caps for assistance were also increased for CHAP and Small Rental Repair Program (SRRP).
- Action Plan Amendment 5 was approved by the U.S. Department of Housing and Urban Development on October 4, 2019. This amendment is posted to the city’s CDBG-DR website in both English and Spanish.

In addition to developing the APA, two new Task Orders are pending approval of the City of Columbia Community Development Department. Once approved, Plexos will assist the city to develop their annual Programmatic Agreement (PA) Section 106 report for submittal to the state of South Carolina State Historic Preservation Office (SHPO). In addition, Plexos will also be assisting with review of the city’s policies and procedures related to compliance with the Uniform Relocation and Real Property Acquisition Policies Act of 1970 (URA).

Additional accomplishments include:

- Developing a Quality Assurance/ Quality Control program for all CDBG-DR programs for housing and economic development projects, including a quality assurance/quality control plan as well as compliance and monitoring checklists.
- Conducting training regarding engineering and construction management.

Project Dates

2015 to present

Program Funding

\$26 million

Reference Information

Missy Caughman

Director

City of Columbia

macaughman@columbiasc.net

(803) 545-3201

**The City of
Columbia’s Action
Plan:**

- Assesses the unmet needs of the city resulting from the October 2015 floods and describes the status of current CDBG-DR Programs
- Provides justification for the reallocation of funding and the creation of new programs to address unmet infrastructure and affordable housing needs
- Describes how the City of Columbia will comply with all applicable rules and regulations in administration of the CDBG-DR funding granted by HUD

- Training city CDBG-DR staff and departmental heads to ensure that program operations were fully staffed and operational

Relevance to the San Leon Municipal Utility District

- APPLICATION AND PROJECT DEVELOPMENT.** Plexos development of the city's HMGP application and CDBG-DR Action Plan, which received HUD approval of CDBG-DR funds as match, resulted in the buyout of 21 properties in flood hazard areas.
- MANAGEMENT.** Development of program policies and robust QA/QC processes enabled the city to manage the match program in compliance with HMGP and CDBG-DR requirements.
- FUNDING.** Obtained approval of a total of \$1.5 million in CDBG-DR funding to cover the 25% match requirements for the Buyout Program.
- CAPABILITY AND CAPACITY.** Supplemental case management services provided the city with the expertise and capacity to determine program eligibility, complete duplication of benefit analysis, and document match requirements for the HMGP Buyout Program.

WE KNOW CDBG.

- CDBG-DR Mitigation and Disaster Recovery Grant Management
- CDBG-DR Action Plan Development and Amendments
- CDBG-DR Policies and Procedures: Infrastructure and Housing
- Buyout and Acquisition / Uniform Relocation Act (URA)
- Compliance and Monitoring
- QA/QC
- Capacity Building
- Technical Assistance
- Training



North Carolina Emergency Management (NCEM, now NCORR)

HUD CDBG-DR Program

**DR-4285, Hurricane Matthew Recovery, Oct 2016
Columbia, South Carolina**



Plexos Group | Subcontractor

Project #4

Project Dates

2018 to 2019

Program Funding

\$236.5 million

Reference Information

Lea Sabbag
Former Housing Director
North Carolina Emergency
Management (NCEM)
(now NCORR)
904-716-6542

Sabbag.lea@gmail.com

Plexos provided CDBG-DR Subject Matter Expertise (SME) and ongoing support to NCEM for a variety of CDBG-DR initiatives related to include housing, buyout/acquisition, infrastructure, environmental review, and financial management. In this role, Plexos developed the following:

- Action Plan Amendments (3 and 4)
- Re-design of the Single-Family Housing Manual
- Buyout and Acquisition Manual
- Uniform Relocation Assistance and Real Property Acquisition Act (URA) Manual
- Small Rental Repair Program Handbook and Application Form
- Change Control Board (CCB) Policies and Procedures

Relevance to the San Leon Municipal Utility District

- ☑ **APPLICATION AND PROJECT DEVELOPMENT.** Plexos assisted NCEM with program design, drafting of housing manuals, and development of application forms for the State of North Carolina Hurricane Matthew CDBG-DR Multi-Family and Small Rental Repair Programs.
- ☑ **MANAGEMENT.** Developed Action Plan Amendments and assisted with the revision of all program Policies and Procedures for CDBG-DR housing and infrastructure programs.
- ☑ **FUNDING.** Assisted NCEM with the allocation and tracking of CDBG-DR funds for all Hurricane Matthew CDBG-DR programs.
- ☑ **CAPABILITY AND CAPACITY.** Provided Subject Matter Expertise for all aspects of CDBG-DR program management and Project Management Office (PMO) operations.

USVI Emergency Home Repairs Program
FEMA Public Assistance STEP Program
DR-4335, Hurricane Irma Recovery, Sep 2017
DR-4340, Hurricane Maria Recovery, Sep 2017
United States Virgin Islands



Plexos Group | Subcontractor

Project #5

Project Dates

2018 to 2019

Program Funding

\$250 million

Reference Information

Robert A. Roberts, PE

Former SVP, AECOM

225-405-1300

broberts@thompsonind.com

The U.S. Virgin Islands experienced significant damage from Hurricanes Irma and Maria which pummeled the islands in September 2017. Plexos was a subcontractor to AECOM and provided grant management services to the U.S. Virgin Islands Housing Finance Authority under the Emergency Home Repairs (STEP) program funded by FEMA. Through a contractual agreement with AECOM, Plexos provided call center, intake, case management, inspection, quality control and IT services/PlexoSoft (system of record) for the Emergency Home Repair Virgin Islands program covering properties in St. Croix, St. Thomas, St. John, Water Island, and Hassel Island. Plexos established and maintained the program website, fraud prevention and detection team, reporting and analytics deliverables, and inventory management system.

Relevance to San Leon Municipal Utility District

- ☑ **APPLICATION DEVELOPMENT.** Plexos developed and automated the application process for homeowners to apply for STEP assistance. Our case managers also assisted VIHFA to make eligibility determinations and calculate program benefits.
- ☑ **MANAGEMENT.** Provided Subject Matter Expertise and supplemental staffing for all aspects of program management operations.
- ☑ **FUNDING.** Assisted VIHFA with implementing controls to allow the program to meet desired outcomes and achieve financial objectives.
- ☑ **CAPABILITY AND CAPACITY.** Provided Subject Matter Expertise for all aspects of STEP program management and program operations.

Resumes

Our proposed team combines a group of highly specialized experts with more than 212 years of collective experience, including 134 years of CDBG and disaster response and recovery experience to assist the San Leon Municipal Utility District in the development of the CDBG-MIT Program Services funded through the U.S. Department of Housing and Urban Development (HUD). In addition, we are well-positioned to supplement the District’s existing personnel resources to ensure effective implementation of programs and policies outlined in the approved *TX GLO CDBG-MIT Action Plan*.

Key Staff	Role	Total / CDBG-Disaster Experience
Lara Robertson , AICP	Project Manager and Subject Matter Expertise	23 years / 23 years
Richard Gray	Infrastructure and Compliance	38 years / 38 years
Anil Desa, P.E.	Project Development and Management	27 years / 12 years
Tina Hauk	Environmental Services	17 years / 12 years
Kimberly Flowers	Grant Administration / Mitigation	22 years / 13 years
Parker Cole	Construction Management	15 years / 15 years
George Duffee-Braun	Financial Management	40 years / 15 years
David Welker	Anti-Fraud, Waste, and Abuse	30 years / 6 years
TOTAL		212 years / 134 years

WHY THE PLEXOS TEAM?

- THE RIGHT TEAM.** The Plexos Team has the right expertise in place to **translate the requirements of HUD Federal Register Notices** into compliant CDBG-MIT Programs and Projects.
- THE RIGHT TOOLS.** We have the systems and analytical tools to **accurately assess the District’s mitigation needs, project eligibility, and fundability to inform the selection of the most critical projects** likely to receive a project award.
- THE RIGHT EXPERTISE.** We have the **grant management and monitoring expertise** to administer the District’s CDBG-MIT programs from start-up to closeout in compliance with CDBG-MIT requirements.
- THE RIGHT PROCESSES.** We **utilize “best practices” for similarly sized Disaster Recovery initiatives** to design programs that maximize and accelerate assistance to the most critical projects.
- THE RIGHT EXPERTISE.** We can **identify and leverage additional funding** for CDBG-DR and CDBG-MIT programs.
- THE RIGHT TOOLS.** We develop **successful compliance strategies** designed to achieve effective quality assurance/quality control processes and eliminate monitoring concerns and/or findings. Our depth of experience with program audits conducted by federal and state agencies will provide strong support during and after monitoring and audit visits.

FULL RESUMES FOR THE PROPOSED PROJECT TEAM FOLLOW THIS PAGE.



LARA ROBERTSON, AICP

Senior Vice President of Compliance



PROFESSIONAL PROFILE

CDBG-DR Housing Expertise: Program and Grant Management, Compliance, Quality Assurance/Quality Control

Lara Robertson AICP, Senior Vice President for Plexos Group, L.L.C., has over 23 years of experience managing CDBG-DR community recovery and redevelopment initiatives from concept to completion. Lara’s expertise includes planning and implementation of disaster response and recovery initiatives, and executive management of diverse, legacy-scale programs in conformance with federal, state, and local laws. As a result of Hurricanes Katrina and Rita, Lara was responsible managing Road Home Program, the largest CDBG-DR housing and elevation program in U.S. history, which assisted over 131,000 homeowners with more than \$10 billion in funds and resulted in the elevation of over 11,000 homes. In addition, the Road Home Program restored over 8,500 rental units with an additional \$418 million in CDBG-DR funding. In her role at the state of Louisiana, Lara was directly responsible for the management and compliance of over \$11 billion in federally funded programs while working with HUD and FEMA officials to obtain the flexibility needed to effectively address recovery needs, streamline recovery processes, and achieve close out. During her career, Lara has provided management and SME support for over \$22 billion in CDBG-DR and HMGP programs, covering 13 disasters, for 8 grantees.

Prior to joining Plexos, Lara was the Director for the State of Louisiana Office of Community Development Disaster Recovery Unit (OCD-DRU), the state agency responsible for the administration of \$13.4 billion in CDBG funding allocated to the state for Hurricanes Katrina and Rita and \$1 billion for Hurricanes Gustav and Ike. Lara also worked as a CDBG project manager for Kriss Lowry and Associates, Inc for 10 years and served as a local government advisor for the Governor’s Office in the Commonwealth of Kentucky.

Disaster Recovery Experience

- Project Manager & SME, City of Galveston, CDBG-MIT
- SME, PRDOH, Hurricanes Irma and Maria, CDBG-DR
- SME, NCEM/NCORR Hurricane Matthew Recovery, CDBG-DR
- SME, US VIFHA, Hurricanes Irma and Maria, FEMA STEP Program
- Senior Manager, PMO, NJ RREM Housing Programs, CDBG-DR
- SME, GOSR NY Rising Housing Programs, CDBG-DR
- SME, NYC Housing Recovery Office, Build-it-Back Program, CDBG-DR
- SME, City of Columbia, SC Community Development Department, CDBG-DR
- Director, OCD-DRU, CDBG-DR and HMGP Programs, 2009-2014

Education

Master’s Degree, City & Regional Planning | Clemson University, SC

Bachelor of Arts. Political Science | Clemson University, SC

Subject Matter Expertise

Executive Program Management of Large Scale, Federally-Funded Programs

Disaster Recovery and Redevelopment

Community Development Block Grant Disaster Recovery (CDBG-DR)

FEMA Hazard Mitigation Grant Programs (HMGP)

Regulatory Compliance

Quality Assurance/Quality Control

Community and Hazard Mitigation Planning

Skills/Certifications/Training

American Institute of Certified Planners (AICP, Certificate #102183) 1996

Certified Community Development Block Grant (CDBG) Administrator



REPRESENTATIVE PROJECTS

Plexos Group, L.L.C. | August 2014 – Present

Senior Vice President of Compliance

CITY OF GALVESTON | CDBG-MIT ADMINISTRATIVE SERVICES FOR HURRICANE HARVEY STATE MITIGATION COMPETITION AND HGAC REGIONAL MITIGATION PROGRAM SERVICES | JUNE 2020 – PRESENT

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out.

NORTH CAROLINA EMERGENCY MANAGEMENT HURRICANE MATTHEW RECOVERY CDBG-DR PROGRAM | 2018 – 2019

As a SME for NCEM/NCORR, Lara was responsible for the development of Action Plan Amendments (substantial and non-substantial) and the following:

- Revision of ReBuild NC Housing Manual;
 - URA and Optional Relocation Policies and Procedures;
 - Buyout and Acquisition Manual;
 - NCEM/NCORR Appeals/Grievance Procedures;
 - Change Control Board (CCB) Process, Procedures, and Forms;
 - Eligibility and Exceptions Panel Process, Procedures, and Forms; and
 - HUD Waiver Request related to Section 414 requirements and extension of the reimbursement deadline.
- Provided guidance regarding two major issues: (1) Subsequent Damage Talking Points for Hurricanes Matthew and Florence and (2) 3-Year Deed Restriction / Disparate Impact Issue Resolution
 - Responsible for completing the following additional tasks: WOOT Training on Housing Manual Changes, Appeals, Housing Manual Revisions reflecting Reimbursement Extension), training, and implementation, Establishment of the “Enhanced Buyout Disaster Risk Reduction Area (DRRA), Small Rental Repair Program (SRRP) Application and Manual, Multi-Family RFP Manual, Evidentiary Materials List/Sample Documents, Revision to Intake Documents, Infrastructure Manual Revisions, Recapture Policy and Procedures, Matthew/Florence subsequent damage DOB process, Revised Unmet Needs Assessment and Budget (reconsideration of program caps).

NEW JERSEY REHABILITATION, RECONSTRUCTION, ELEVATION AND MITIGATION (RREM) AND LOW TO MODERATE INCOME (LMI) REBUILDING PROGRAMS | 2017 – 2018

- Directed the Project Management Office (PMO) for the NJ RREM LMI Rebuilding CDBG-DR Programs administered by the state of New Jersey Department of Community Affairs (DCA), which included:
 - Monitoring and management of contract Deliverables/Performance Measures;
 - Compilation and update of the program Operational Plan;
 - Development and distribution of program policies, Job Aids, and training materials; and
 - Training of program staff.
- In addition, she provided day-to-day management of personnel providing construction monitoring and management services for the rebuilding of approximately 1,200 homes damaged by Superstorm Sandy.

Reference: Ted Lemcke, COO, IEM, 2801 Slater Road, Suite 1120, Morrisville, NC 27560; (919) 237-7433; ted.lemcke@iem.com

US VIRGIN ISLANDS EMERGENCY HOME REPAIRS (EHRVI) STEP PROGRAM, US VIRGIN ISLANDS HOUSING FINANCE AUTHORITY, SME FOR COMPLIANCE/POLICY AND PROCEDURES | 2018

As the SME for program start-up, Lara developed the following for the launch of program operations:

- STEP Compliance Plan;
- Tracking and monitoring system for Project Deliverables and Performance Metrics;
- FEMA compliant reporting templates;
- Case Management and Call Center Manuals to include training materials;
- Written materials/Job Aids for website, call center scripts, and applicant intake documents;
- Change Control processes related to the tracking of applicant issues and policy decisions;
- Personally Identifiable Information (PII) and Conflict of Interest Policies and Procedures; and
- Close-Out Checklist and required documentation.

CITY OF COLUMBIA COMMUNITY DEVELOPMENT DEPARTMENT, SOUTH CAROLINA, HUD-CDBG-DR ADVISOR | 2016 - Present

Lara is currently serving as a Subject Matter Expert for Columbia, SC and has assisted the city with the development and management of the city's Risk Assessment, Pre-Award Implementation Plan and CDBG-DR Action Plan (and subsequent amendments) for \$26.1 million in federal funding for damages that occurred as a result of the October 2015 floods. In addition, Lara has developed and provided the following:

- Training to city departmental heads and CDBG-DR staff on program requirements, policies, and city responsibilities;
- Quality Assurance/Quality Control (QA/QC) Plan and review checklists for all CDBG-DR programs;
- Annual Section 106 Programmatic Agreement (PA) Report; and
- Update to URA Policies and Procedures.

In addition, she continues to provide on-going technical assistance and training to city CDBG-DR staff and departmental heads to ensure that program operations are fully staffed to effectively provide case management services to applicants during intake processing, construction, and close out.

Reference: Missy Caughman, Budget and Program Management Director, P.O. Box 147, Columbia, SC 29217, (803) 545 3201, macaughman@columbiasc.net

GOVERNOR'S OFFICE OF STORM RECOVERY (GOSR), NY RISING HOUSING PROGRAMS, SUPERSTORM SANDY | 2016 – 2017

- Served in the capacity of Senior Director with Plexos Group as a Program Close Out Subject Matter Expert and policy advisor to GOSR for administration of over \$2 billion in Hurricane Sandy Funding.
- Conducted a comprehensive Program Assessment and Risk Analysis for all NY Rising Housing Programs to recommend changes in program operations, and policies to streamline the state's close out processes.
- Developed GOSR's URA Anti-Displacement Plan and URA Standard Operating Procedures (SOPs). As a result of revised policies and recommended changes to IntelliGrants, there were no URA findings resulting from HUD's monitoring visit conducted September 11-15, 2017.
- Evaluated GOSR's Buyout and Acquisition Programs and developed a detailed close out review checklist for dispositioned properties acquired as a result of Superstorm Sandy.
- Evaluated GOSR's Condominium/Cooperative Program in order to develop a close out strategy and checklist.
- Regularly monitored program operations and policy decisions to inform the client regarding areas of potential risk and methods to achieve compliance and close out in accordance with CDBG-DR regulations.

Reference: Thehbia Hiwot, Housing Director, Governor's Office of Storm Recovery, 25 Beaver Street, 5th Floor, New York, NY 10004, Thehbia.hiwot@stormrecovery.ny.gov, (212) 480-7191 (office), (347) 410-4959 (cell)



NEW YORK CITY HOUSING RECOVERY OFFICE (HRO), BUILD-IT-BACK PROGRAM, SUPERSTORM SANDY | 2014 - 2016

- Served HRO in the capacity of Senior Director with Plexos Group as the policy lead with the City of New York for administration of \$1.4 billion in Hurricane Sandy Funding.
- Developed and implemented QA/QC Plan, review checklists, and reporting for HUD compliance for the single-family housing program. Results were reported to the city on a bi-weekly basis in order to minimize HUD monitoring findings. In addition, assisted with the development of issue tracking software and reporting.
- Regularly monitored program operations and policy decisions in order to inform the client regarding areas of potential risk and methods to achieve compliance with CDBG-DR regulations.
- Responsible for ensuring contract compliance with federal regulations for the Build-It-Back Program.

Reference: Tony Vesay, Vice President, Hill International, Inc., One Penn Plaza, Ste 3415, New York, NY 10119, (267) 885 5861, tonyvesay@hillintl.com

State of Louisiana, Office of Community Development, Disaster Recovery Unit (OCD-DRU) | April 2007 – August 2014

Director, Office of Community Development, Disaster Recovery Unit

Served in the capacity of Director for OCD-DRU, which is the state agency responsible for the administration of \$13.4B in Community Development Block Grant (CDBG) funding allocated to the state for Hurricanes Katrina and Rita and \$1B for Hurricanes Gustav and Ike. Prior to becoming Director, also served as the Deputy Director Accomplishments as Deputy Director included the following:

- Direct Supervision of managers responsible for the oversight of state's Housing Assistance Program, Small Rental Property Program, Hazard Mitigation Grant Program (HMGP), Social Services, Information Technology, and Facility Management. Until transition to the Louisiana Housing Corporation (LHC), the department was also responsible for the administration of housing programs related to Hurricanes Gustav and Ike. Responsible for management of approximately 100 state staff members assigned to these programs and 700 contractors.
- Oversight and management of a \$912 million contract for administration of the state's Road Home Program. In addition, responsible for oversight and transition of this contract into four separate contracts totaling over \$130 million with no interruption in service.
- Management of the state's Road Home Program, the largest CDBG housing program in the history of the United States. To date, this program has provided assistance to over 131,000 homeowners with more than \$10 billion in funds disbursed to victims of Hurricanes Katrina and Rita. In addition, a total of \$417.8 million was been disbursed to restore more than 8,500 rental units lost as a result of these disasters.
- Until transition, development and oversight of the OCD DRU Hazard Mitigation Grant Program (HMGP). This program, which received \$750 million in federal aid, is the largest FEMA-funded hazard mitigation program in the United States. Upon completion, it is estimated that this program will have provided assistance to approximately 11,000 homeowners for elevation, reconstruction, and Individual Mitigation Measures (IMMs).
- Response to national and local media requests in coordination with OCD DRU and Louisiana Recovery Authority (LRA) communications staff.
- Testimony before members of Louisiana's Congressional Delegation and State Legislative Committees regarding the state's recovery programs.

Reference: Richard Gray, Former Director, LA Office of Community Development -Disaster Recovery Unit, 1201 N. Third Street, Baton Rouge, LA 70802, (701) 426-0119,

Commonwealth of Kentucky, Governor's Office for Local Development (GOLD) | January 2006 – April 2007

Local Government Advisor

As a Local Government Advisor in the Office of Federal Grants, Ms. Robertson worked with the Kentucky Small Cities Community Development Block Grant (CDBG) Program, Recovery Kentucky initiative, Appalachian Regional Commission (ARC), and Delta Regional Authority (DRA). Primary responsibilities included the following:



- Oversight of Appalachian Regional Commission (ARC) and Delta Regional Authority (DRA) Programs which included a review of applications for funding, technical assistance to applicants, and making funding recommendations to the Governor and the Governor's designated alternate.
- Design and receipt of funding for the state's Adventure Tourism Program, which included the development of a Comprehensive Adventure Tourism Plan for Eastern Kentucky and a supplemental Flex-E grant program for the implementation of the plan by economically distressed ARC counties. In addition, Lara assisted in the planning and organization of the 2006 ARC Regional Conference involving 13 states and facilitated other activities related to the Governor's position as the ARC State's Co-Chair.
- Administration of the Recovery Kentucky Program, which was designed to build 10 housing recovery centers across the state. Responsibilities included the review of applications, technical assistance to applicants, and development of grant-management guidelines.
- CDBG administrative activities included annual revision of CDBG application forms and guidelines, research and development of program performance measures, and coordination of CDBG training activities for program administrators and grantees.
- Developed and provided training at the Governor's Local Issues Conference. Sessions included Grant Writing and Administration and Planning and Zoning 101.

Kriss Lowry and Associates, Inc. (KL&A) | January 1996 – January 2006

Project Manager, Community Development

Co-managed 18 community redevelopment projects across the Commonwealth of Kentucky with total project budgets ranging from \$300,000 to \$1.5 million. General responsibilities for these projects were as follows:

- Overall project management from grant application to closeout.
- Working with local governments to identify potential projects and/or redevelopment areas, budgeting and obtaining financing for these projects while ensuring that all federal, historic, and universal design requirements were met.
- Conducting Environmental Assessments and developing Urban Renewal Plans.
- Construction-management activities, including coordination with local staff and utility providers, compilation of bid documents and plans, establishment of a bidder's list, permitting, conducting and coordinating inspections of work, and processing pay requests.
- Coordinating property surveys, legal and appraisal work, negotiating the purchase of property and attending property closings to ensure all procedures were conducted in accordance with the Uniform Act (URA).
- Working extensively with families being relocated to assess relocation needs, identify relocation resources, and determine benefits.
- Assisted in the development of housing-rehabilitation guidelines, processing applications for assistance, and verifying income to determine eligibility.



Richard W. Gray

Infrastructure and Compliance Subject Matter Expert



Qualifications Summary

Richard Gray has more than 38 years of experience managing Community Development Block Grant (CDBG) recovery and redevelopment initiatives from initiation to close out. He is well-known for his contributions to the State of Louisiana's Office of Community Development Disaster Recovery Unit as Director of Compliance and Monitoring where he was directly responsible for oversight of 1,400 CDBG disaster-recovery-funded projects ensuring compliance with all applicable rules and regulations by program staff, grantees, consultants, and subrecipients. He was directly responsible for the development of the Louisiana Disaster CDBG Grantee Administrative Manual. Richard is a subject matter expert on CDBG and FEMA Public Assistance grant policies and regulations to include program compliance and monitoring in conformance with federal, state, and local laws and can set up grant administrative policies and procedures for the full spectrum of CDBG-DR programs.

Projects with Similar Experience

- SME, City of Galveston, CDBG-MIT Program
- Director, LA Office of Community Development Disaster Recovery Unit, CDBG-DR
- Program Manager, ND Office of Intergovernmental Assistance, CDBG-DR
- Program Manager, ND Emergency Shelter Grants Program
- Program Manager, U.S. Department of Energy, Conservation Grants

Relevant Experience

Plexos Group, L.L.C. | June 2020 – Present

Infrastructure and Compliance SME

CITY OF GALVESTON CDBG-MIT ADMINISTRATIVE SERVICES FOR HURRICANE HARVEY STATE MITIGATION COMPETITION AND HGAC REGIONAL MITIGATION PROGRAM ADMINISTRATIVE SERVICES | JUNE 2020 – PRESENT

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out.

Louisiana Office of Community Development, Disaster Recovery Unit | 2006-2017
Director, Compliance, Monitoring and Audit

Responsible for the work of sixteen (16) Compliance, Monitoring, and Audit staff as it pertained to the implementation of approximately 1,400 Community Development Disaster funded projects.

- Conducted on-site project monitoring and reviewing hundreds of Single Audits to determine compliance with all applicable Disaster Community Development Block Grant (CDBG) program rules and regulations, by program staff, grantees, consultants and subrecipients.

Education

M.A. Political Science (Planning & Management minors) | University of North Dakota

B.A. Political Science | Providence College, RI

Subject Matter Expertise

Grant Management of Large-Scale, Federally Funded Programs

Disaster Recovery & Emergency Management

HUD Community Block Grant Policies and Requirements

Community Development Block Grant Disaster Recover (CDBG-DR)

Regulatory Audit & Compliance

Document Management

Community and Hazard Mitigation Planning

Skills/Certifications

Grant Administration

Grant Closeout

Program Development

Affiliations

International Code Council, Class A Member

National Conference of States on Building Codes and Standards, Board Member, Current; President, 1996-1998

Institute for Building Technology and Safety, Board Member

- Provided technical assistance to program staff, grantees, consultants, and subrecipients regarding the applicable CDBG regulations that were followed and how to comply with those regulations. Regulations included Civil Rights (Section 504 and Section 3 in particular), 2 CFR Part 200 (specifically procurement), Labor, Environmental Records Management, Acquisition and Relocation Lead-Based Paint, and Disaster CDBG approved waivers.
- Developed and maintained the Agency's Disaster CDBG Grantee Administrative Manual.
- Developed grant closeout procedures.
- Provided assistance on the design of agency-approved programs, projects and Action Plans to ensure compliance as well as offered guidance on all CDBG rules and regulations that were implemented.

North Dakota Division of Community Services | 1991 – 2006

ADA/Building Code Manager

- Responsible for providing technical assistance and training on the Americans with Disabilities Act, Section 504 of the Rehabilitation Act, and the Fair Housing Design Guidelines.
- Responsible for maintaining and updating, with cities and counties, the North Dakota State Building Code and working with the North Dakota Building Officials Association to provide training to building code officials and other interested parties.
- Served as the state's Class A member to the International Code Council and the state's representative to the National Conference of States on Building Codes and Standards, currently as a member of the Board of Directors.
- Served as President of the National Conference of States on Building Codes and Standards from 1996-1998.

Consolidated Plan Manager

- Responsible for developing, monitoring, reporting on, and updating yearly, the state's Consolidated Plan. This is a plan mandated by the Department of Housing and Urban Development (HUD), that identifies the housing, public facilities, and economic development needs of the state; activities the state will pursue to address those needs; and the federal and state funds the state will use to accomplish its activities.
- Responsible for providing advice and guidance to the staffs of the HOME, Community Development Block Grant and Emergency Shelter Grants Programs on program requirements and federal grant administration rules and regulations. This includes helping to develop grant monitoring procedures; finding solutions to grant administration and application problems; reviewing requests to extend, defer or write-off economic development loans; and reviewing economic development loan applications.

Renaissance Zone Manager

- Responsible for development and implementation of the Renaissance Zone program.
- This included working with cities to write a Development Plan to designate a Renaissance Zone; giving initial and final approval to each zone project so that the taxpayer can claim the approved state tax exemptions and credits; promoting the program; monitoring the five-year tax exemption period for each project; approving the transfer of blocks within each zone; approving the transfer of state and local tax exemptions and credits between taxpayers; working with each city with a zone to develop policies for handling projects; providing technical assistance to taxpayers interested in the program; providing technical assistance to each zone administrator; and providing yearly reports to the Legislature and Legislative Council.

State Administrative Agency Manager

- Responsible, through a contract with the federal Department of Housing and Urban Development, for receiving and processing complaints from owners of manufactured homes concerning construction related complaints, in order to assist the owners in getting the manufacturer to correct problems with construction of the manufactured home.
- Served as a member of the Board of Directors of the Institute for Building Technology and Safety, which is the contractor for the federal Department of Housing and Urban Development to manage the third-party evaluation and inspection program for the construction of manufactured homes throughout the country.

Third-Party Inspections Manager



- Responsible for developing and implementing a program to regulate the construction of modular residential and commercial buildings installed in the State of North Dakota, to assure that all such buildings were built to the State Building Code, State Plumbing Code, a State Electrical Code.
- Since no staff or funds were authorized by the Legislature, this meant finding the means to implement the program. The state is now a participating jurisdiction with the Industrialized Buildings Commission, an interstate compact that certified third-party inspection agencies and conducted on-site monitoring of each manufacturer to assure that the certified agencies were in compliance with their certification.
- As program manager, represented the state of the Commission's Rules Development Committee and handled daily complaints to ensure that manufacturers corrected all code violations.

Manufactured Home Installation Manager

- Managed a new program authorized by the Legislature in 2003 and 2005, that began on August 1, 2006, and was not authorized any staff or funding, except the ability to collect fees. The program was authorized in order to provide for a state-administered program instead of a federal imposed program.
- Responsible for working with the North Dakota Manufactured Home Association, the North Dakota League of Cities, and the North Dakota Building Officials Association to design the program.
- Successfully designed and implemented this program and carried out all assigned responsibilities without additional staff, and in three cases, without any authorized funds.
 - Under this program, each installer of manufactured homes was trained and registered, and each new home installed after August 1, 2006 was required to be inspected for proper installation.
 - Inspections were conducted by certified city and non-city inspectors who, once an installation was accepted, affixed a state insignia showing compliance with the program. The program was designed to provide protection to each owner of a new manufactured home by assuring proper installation or making sure that installers made necessary corrections.
- Called upon on a regular basis by the Director of the Division of Community Services to provide assistance on other internal and external projects and activities. These activities usually involved writing correspondence, developing and evaluating requests for proposals, serving on committees, leading teams for special projects, public speaking engagements, and assisting in orienting new local economic developers.

North Dakota Office of Intergovernmental Assistance | 1983-1991

COMMUNITY DEVELOPMENT BLOCK GRANT AND EMERGENCY SHELTER GRANTS PROGRAM, ND

Program Manager

- Responsible for supervising the work of three staff personnel; for developing a yearly program distribution statement that described how program funds could be used for housing, public facilities and economic development activities; for making staff assignments and conducting staff evaluations; for developing grant administrative procedures in the areas of environmental, procurement, civil rights, labor, acquisition and relocation, and grant reporting and closeout; for determining actions to be taken to resolve administrative noncompliance findings and problems with economic development loans; for identifying management information system and data needs; for staff grant monitoring procedures and technical assistance activities; for overseeing staff reviews on all grant applications; for coordinating and organizing the activities of an advisory board in developing funding recommendations; and for developing the yearly program performance report for submission to the Department of HUD.
- As Program Manager for the Emergency Shelter Grants Program, responsible for developing and implementing this program each year; for selecting grant recipients; and for monitoring project implementation and grant administration.
- Responsible for the development each year of the state's mandated Comprehensive Homeless Assistance Plan.

North Dakota Office of Intergovernmental Assistance | 1979 – 1983

Program Manager, Institutional Conservation Program

- Responsible for working with the U.S. Department of Energy in developing a State Plan describing how projects would be selected for funding; for encouraging schools, hospitals, units of local government and public care institutions to conduct energy audits; for soliciting institutions to apply for Technical Assistance and Energy Conservation Measures grants; for conducting grant application programmatic and engineering reviews; for recommending to the Department of Energy which grant applications to fund; and for conducting on-site grant compliance reviews.



Western North Dakota Health Systems Agency | 1977 –1979

Director, Project Review and Health Services Research Specialist

- Performed Certificate of Need reviews on proposed health care services and equipment for consideration by the Board of Directors of the Western North Dakota Health Systems Agency.
- Collected, analyzed, and published health care statistics for the twenty-eight counties of Western North Dakota.
- Assisted in developing an area-wide health care plan delineating the types of health care services available, current strengths and weakness of the services, and future needs.



ANIL DESA, PE

Project Development and Management SME

Qualifications Summary

Anil Desa, PE has more than 27 years of experience in various facets of structural engineering including bridge and building design; highway design, hydraulics and geotechnical engineering. He has managed productive collaborations with multi-disciplinary teams, including FEMA and CDBG-DR funded projects in Louisiana, Mississippi, and South Carolina. His experience with FEMA policies and procedures and CDBG grant management programs provided technical assistance to the State of Louisiana during Hurricanes Gustav and Ike recovery initiatives.

Anil is currently working on the City of Columbia's Hazard Mitigation projects and Cost Reasonable Analysis for the emergency services.

Programs with similar experience:

- Project Development, City of Galveston, CDBG-MIT
- Deputy Program Manager, Columbia, SC FEMA PA & HMGP
- Project Manager, Williamsburg County, SC | FEMA PA
- Project Manager, Sumter City, SC | FEMA PA
- Project Manager, Columbia SC | FEMA PA
- Program Manager, State of LA | Gustav/Ike Recovery, CDBG-DR

Relevant Experience

Plexos Group, L.L.C. | 2015 – Present

CITY OF GALVESTON CDBG-MIT ADMINISTRATIVE SERVICES FOR HURRICANE HARVEY
STATE MITIGATION COMPETITION AND HGAC REGIONAL MITIGATION PROGRAM
ADMINISTRATIVE SERVICES | JUNE 2020 – PRESENT

Project Development SME

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out.

CITY OF COLUMBIA, SOUTH CAROLINA -- SEVERE FLOODING

Deputy Program Manager

Provides technical assistance with Program Management, FEMA PA, FEMA HMGP, and coordination with CDBG.

FEMA PA responsibilities include:

- Performing damage assessments for water and wastewater sites
- Writing scopes of work for PWs
- Preparing cost estimates
- Assisting in response to FEMA's comments for the Canal and infrastructure PWs
- Preparing Cost Reasonable Analysis
- Preparing extension requests

Project Management responsibilities include:

- Preparing Request for Qualifications (RFQs) for selection of Engineers



Education

M.B.A. | Tulane University

M.S. Civil Engineering | Louisiana State University

B.S. Civil Engineering | University of Bombay

Areas of Expertise

Community Development Block Grant (CDBG) Management and Monitoring

FEMA Public Assistance

Civil, Structural, Electrical, Mechanical, Engineering

Civil Engineering

Engineering Design

Hydraulics

Geotechnical

Policy and Procedures

Public Infrastructure

Regulatory Compliance

Economic Development

Skills/Certifications

Professional Engineer, Licensed in Louisiana, Mississippi, and South Carolina

- Preparing schedules and cost estimates for Engineering fees
- Writing scopes of work for engineering contracts
- Reviewing engineering designs
- Reviewing bid documents
- Performing Cost Analysis for Change Orders

FEMA HMGP responsibilities include:

- Preparing scope, history of hazards, cost estimates and EHP
- Developing Benefit Cost Analysis
- Using FEMA's BCA software
- Writing Grant Applications for housing and infrastructure
- Responding to FEMA's comments
- Preparing schedules, flowcharts and tasks needed to execute grants

SOUTH CAROLINA SEVERE FLOODING

Engineering Director

- Providing technical assistance and damage assessment for public infrastructure projects in Williamsburg County, City of Sumter, and City of Columbia, SC.

CDM Smith | 2008-2015

PLAQUEMINES PARISH HURRICANE RECOVERY

Program Manager

- Led the Hurricane Recovery Project for Plaquemines Parish Sheriff's Office since 2008. Projects included the \$110 million Plaquemines Parish Detention Center, Firing Range Berms and Buildings. Responsibilities included the formulation of the Project, cost reasonableness and eligibility analysis, Project Worksheets, design reviews and construction management.

GUSTAV/IKE DISASTER RECOVERY CDBG

Program Manager

- Managed and provided reviews of construction plans, Addenda, change orders and CDBG compliance for over 400 Gustav/Ike projects totaling over \$400 million. Some projects involved multiple sources of funding. Also responsible for providing Davis Bacon Compliance reviews for Economic Development Projects.

HANCOCK COUNTY JAIL

Project Manager

- Managed the design team responsible for civil, structural, electrical and mechanical engineering for the \$35M Hancock County Jail and courthouse. Project was funded by a Community Development Block Grant.

GRETNA POLICE STATION

Project Manager

- Project involved the elevation and renovation of the Gretna Police Station and was funded by a FEMA Hazard Mitigation Grant (Section 404) and CDBG. Responsible for ensuring compliance with grant, design reviews, labor compliance.

LOUISIANA LAND TRUST (LLT) DEMOLITION PROGRAM

Project Manager

- Assisted with environmental reviews and the development construction documents for the demolition of the Hendee St. Incinerator funded by CDBG and the City of New Orleans.

ABMB Engineers | 1992-2008

MULTIPLE ENGAGEMENTS

Structural Engineering Division Head

- Managed the analysis, design and construction support for over 25 bridges in Louisiana, Mississippi, and Arkansas.
- Managed the inspection and the load rating of several steel, concrete and timber bridges.
- Supervised the design and construction support for several commercial buildings, school buildings, office buildings.
- Performed the inspection and rehabilitation of several commercial structures.
- Prepared inspection and feasibility study reports.



- Involved in all facets of transportation projects from planning and environmental reports to surveying, geometrics, hydraulics, geotechnical structural and construction engineering.
- Assisted the LDOTD and the Mississippi Department of Transportation in evaluating change orders, reviewing construction revisions and performing field inspections.
- Managed the design of several hydraulic structures for the Corps of Engineers.
- Knowledge of AASHTO Bridge and Roadway Codes, Standard Building Code, Uniform Building Code, Steel and Concrete Codes.
- Prepared proposals, budgets, and cost estimates, and mentored junior engineers.
- Performed projects for LDOTD, LTM, DPW of Baton Rouge, Mississippi Department of Transportation, Arkansas Department of Transportation and Alabama Department of Transportation, Corps of Engineers.



TINA L. (POWELL) HAUK

Environmental Subject Matter Expert



Education

B.A. | New Mexico State University

B.S. | New Mexico State University

Master of Psychology | University of the Rockies, Colorado

Qualifications Summary

Tina Hauk has 30 years of environmental review experience, along with 16 years in Community Development Block Grant Disaster Recovery as well as Housing and Urban Development programs. Her experience includes 19 technical publications as an author, co-author or contributor and 6 publications as the production editor. Tina is also experienced in historical preservation.

Relevant Experience

Plexos Group, L.L.C. | June 2020 - Present

CITY OF GALVESTON CDBG-MIT ADMINISTRATIVE SERVICES FOR HURRICANE HARVEY STATE MITIGATION COMPETITION AND HGAC REGIONAL MITIGATION PROGRAM ADMINISTRATIVE SERVICES | JUNE 2020 – PRESENT

Environmental Services

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out.

Powell Consulting | December 2017- present

Environmental Review Subject Matter Expert (through Hagerty Consulting)

- Consulted with Hagerty upper management and Santa Rosa County officials on HUD Part 58 Environmental Review process.
- Compared California Environmental Review process with HUD Part 58 for similarities and differences, made recommendations on how and where to save time on process.
- Drafted memo for Hagerty upper management on recommendations.

FEMA Public Assistance (PA) Technical Writer (through Hagerty Consulting)

- Public Assistance Correspondence writer for FEMA Hurricanes Irma and Maria in the U.S. Virgin Islands.
- Developed and created technical documents (i.e. process, procedure, memos, talking points, letters) for Field Command Officer to use for legislative inquiries, stakeholder audiences, and internal management and staff.
- Provided technical assistance for PA Admin staff as needed.

FEMA Subject Matter Expert (through Hagerty Consulting)

- Environmental Specialist and Historic Preservation Specialist. Used specialized knowledge used to create documents for FEMA.

Areas of Expertise

Environmental Review

Compliance with NEPA and Section 106 of NHPA

HUD programs: HOME, CDBG and CDBG-DR

Davis-Bacon and related acts

Contract Management

CDBG Disaster Recovery

Conflict Resolution and Mediation

Skills/Certifications

FEMA Badged

Certified HOME specialist

FEMA PA 101 Training 2019

CDBG Training 2005 and 2006

Introduction to Claims

Environmental Review Expert for City of Longmont, Colorado (through Hagerty Consulting)

- Reviewed all environmental review special studies documents for submission to state of Colorado for clearance and release of funds.
- Analyzed data in special studies (biology, floodplain, waterway, infrastructure engineering, archaeological etc.) as they relate to CDBG-DR projects.
- Conducted site visits to affected areas as needed to gather information and complete reviews.
- Provided support for City of Longmont staff during environmental review process to obtain release of funds from the state of Colorado.
- Reviewed documents to ensure compliance with NEPA, Wetlands Protection Act, National Historic Protection Act, sole source aquifers, Safe Water Drinking Act, Coastal Zone Management Act, Coastal Barrier Resources Act, Floodplain Management and the US Water Resources Council Guidelines, Endangered Species Act, Fish and Wildlife Coordination Act, Solid Waste Disposal Act, Federal Water Pollution Control Act, Farmland Protection Policy Act, and HUD regulations (24 CFR Part 51) relating to noise.

Office of Community Development, Disaster Recovery Unit | February 2011 to December 2017

CDBG Compliance Specialist

- Lead Compliance Specialist for CDBG Programs for Hurricanes Katrina/Rita, Gustav/Ike, Isaac and the Great Flood of 2016 (Baton Rouge).
- Coordinated review teams for monitoring visits.
- Wrote monitoring letters and non-compliance letters.
- Provided technical assistance on programs, guidelines and regulations as needed by grantees.
- Approved and reviewed invoices for programs listed above.
- Reviewed contracts and Cooperative Endeavor Agreements for compliance with state, federal and program rules and regulations, specifically disaster related regulations.
- Provided input on compliance policy as needed by Director of Compliance, Monitoring and Audit.
- Project Manager for three HUD CDBG-DR programs: Department of Agriculture, Tourism, and Board of Regents.
- Provided technical assistance on programs, guidelines and regulations as needed by grantees.
- Closed out of three programs: Department of Agriculture, Tourism and Board of Regents.

Louisiana Housing Finance Agency | April 2007- February 2011

Director of Programs

- Oversight of 3 departments: HOME, Compliance and Energy Assistance.
- Developed, maintained and grew relationships with federal and state funders: HUD, DOE, DHHS, etc.
- Developed and oversaw annual budget in excess of \$2,000,000.
- Generated \$38,000,000 in program funds.
- Advised organizational President on improvements to National Housing Policy, specifically in disaster areas specifically related to short- and long-term housing solutions and funding.
- Supervised staff of 30, including 3 managers and 2 supervisors.
- Eliminated staff turn-over by 90%.
- Oversaw the training and development of nationally certified experts in housing.
- Reduced backlog of projects by 33%.
- Reduced processing time for environmental reviews from 2.5 years to 6 weeks.
- Implemented and conducted quarterly focus group meetings with constituents.
- Developed and implemented organization wide documentation of processes and procedures.
- Improved overall organizational efficiency by 33%.
- Conducted training as needed.

U.S. Department of Housing and Urban Development, Fort Worth Regional Office | October 2006- April 2007

Field Environmental Review Officer (New Mexico and Louisiana)

- Re-established Environmental Review Office in New Orleans Post-Katrina.
- Ensured compliance with NEPA, Wetlands Protection Act, National Historic Protection Act, sole source aquifers, Safe Water Drinking Act, Coastal Zone Management Act, Coastal Barrier Resources Act, Floodplain Management and the




US Water Resources Council Guidelines, Endangered Species Act, Fish and Wildlife Coordination Act, Solid Waste Disposal Act, Federal Water Pollution Control Act, Farmland Protection Policy Act, and HUD regulations (24 CFR Part 51) relating to noise.

- Liaison between state and local housing officials and national housing officials.
- Represented Agency in environmental issues related to both New Mexico and Louisiana.
- Coordinated Agency Katrina rebuilding efforts between national disaster recovery and environmental housing issues, including all stakeholders (federal, including tribal, state and local officials).
- Interfaced with federal, state and local leaders on housing issues (EPA, DOE, COE, FEMA, ACHP, etc.).
- Implemented national environmental housing policy.
- Provided training and technical assistance to federal, state and local housing providers on environmental law and policy, including HUD staff.
- Provided expert feedback on compliance of state environmental housing policy with federal environmental policy.
- Provided expert comments on Environmental Impact Statements for agency.
- Conducted and preformed environmental reviews.
- Monitored HUD funded agencies for compliance with environmental law and HUD policy.
- Conducted site visits to affected areas as needed to gather information and complete reviews.
- Conducted environmental/historical planning to identify opportunities and methods to reduce environmental impacts in accordance with state/federal law.

New Mexico Mortgage Finance Authority | April 2002- October 2006

State Environmental Review Officer/ Program Specialist

- Represent the state housing finance agency in all matters (including federal court) regarding environmental review requirements under 24 CFR Part 58.
 - Redesigned and implemented environmental review procedures and policies for state of New Mexico housing programs, including HOME, CDBG, Risk Share, etc.
 - Served on implementation committee for State CDBG (administered by Department of Finance and Administration) Environmental Review Procedures.
 - Ensured compliance with NEPA, Wetlands Protection Act, National Historic Protection Act, sole source aquifers, Safe Water Drinking Act, Coastal Zone Management Act, Coastal Barrier Resources Act, Floodplain Management and the US Water Resources Council Guidelines, Endangered Species Act, Fish and Wildlife Coordination Act, Solid Waste Disposal Act, Federal Water Pollution Control Act, Farmland Protection Policy Act, and HUD regulations (24 CFR Part 51) relating to noise.
 - Routinely reviewed Phase I and Phase II site assessments for compliance with federal and state requirements.
 - Routinely reviewed noise assessments for federal and state compliance.
 - Developed and designed Environmental Review web page for organization.
 - Trained sub-grantee and MFA support staff in environmental procedures, laws and requirements.
 - Trained compliance staff in monitoring requirements for environmental review standards on HOME, CDBG, and Risk Share.
 - Conducted more than 100 trainings, public hearings, and presentations to a variety of audiences from legislators, executive directors, support staff and general public on environmental Review, public policy and related housing issues.
 - Oversaw and administered housing programs for HUD, USDA, and DOE.
 - Developed and implemented policies concerning procurement for services via request for proposals and request for qualifications.
 - Managed Department of Energy Weatherization Assistance Program.
 - Grew State Weatherization Assistance Program from \$1.7 million to \$4.2 million in two years.
 - Monitored HUD housing programs for compliance with federal, state, and programmatic rules.
 - Applied for and was awarded 90% of grant applications, grossing upwards of an additional \$10,000,000 in additional housing dollars for the State of New Mexico.
 - Developed and grew relationships with various stakeholders including federal and state regulators, non-profit organizations, and general public.
 - Developed and implemented policies and procedures for contract administration, training and technical assistance, and programmatic evaluations.
 - Project manager for the development of the State of New Mexico 2006-2010 HUD Consolidated Plan.
 - Wrote State of New Mexico HUD Action Plans and CAPERS, 2004, 2005, 2006, 2007 and 2008.
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KIMBERLY D. FLOWERS

Grant Administration / Mitigation Subject Matter Expert



Qualifications Summary

Kimberly Flowers has more than 22 years of experience in emergency management with 13 years in HUD CDBG-DR and FEMA HMGP funded programs, serving the states of Louisiana, New York, New Jersey, Georgia, and Florida, and the territory of Puerto Rico. Her experience includes mitigation planning, grants management, policy and procedures, benefit cost analysis, and close out. Kimberly served on large-scale programs including the Louisiana Road Home Program, the Louisiana Small Rental Property Program, ReNewJerseyStronger, and recovery programs for Hurricanes Michael, Irma and Maria. Additionally, Kimberly has served more than 20 years in the Louisiana Army National Guard.

Projects with Similar Experience

- Grant Administration / Mitigation SME, City of Galveston, CDBG-MIT
- Mitigation Specialist, NYS Dept. of Homeland Security Emergency Services, FEMA
- Program Manager, ReNewJerseyStronger, FEMA HMGP
- HMGP Manager, Louisiana Road Home Program, FEMA HMGP
- URA Manager, Louisiana Small Rental Property Program, CDBG-DR

Relevant Experience

Plexos Group, L.L.C. | June 2020 – Present

CITY OF GALVESTON CDBG-MIT Administrative Services for Hurricane Harvey State Mitigation Competition and HGAC Regional Mitigation Program Administrative Services | June 2020 – Present

Project Development SME

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out.

CDR Maguire | Aug 2019 – Present

HURRICANE MICHAEL RECOVERY, BAY COUNTY, FLORIDA

Hazard Mitigation Specialist

- Develop Maintain, and Track all Bay County Public Agency HMGP applications for Hurricane Michael
- Assist and advise applicants in the development of viable and approvable HMGP projects in accordance with Federal Regulations
- Collaborate with Team Members and Bay County Staff to access appropriate and alternative grant funding opportunities

Education

General Studies | Southern University

Areas of Expertise

Community Development
Block Grant Disaster Recovery (CDBG-DR) Programs
FEMA Hazard Mitigation Grant Programs (HMGP)
FEMA Public Assistance (PA)
Emergency Management
Elevation
Uniform Relocation Act (URA)
Regulatory Compliance
Quality Assurance & Controls

Skills/Certifications

IS-00100 Intro to Incident Command System
IS-00393 Intro to Hazard Mitigation Grant Program
IS-00700 Intro to National Incident Management System
Managing Floodplain Development through the NFIP
FEMA / EMI Independent Study Professional Development Series
Microsoft Office

GEORGIA RECOVERY

Public Assistance Closeout Specialist

- Provide guidance to State staff and Team members in reconciling PA grants scope of work, actual project cost, and approved project change orders
- Research and procure contracts, invoices, timesheets, and any additional documentation required for FEMA closeout submission
- Reviewed completed projects in their entirety for compliance with the Stafford Act, Code of Federal Regulations, and all other Federal and State regulations

Associates in Emergency Response | Feb 2018 – Jun 2018

PUERTO RICO RECOVERY OF HURRICANES IRMA AND MARIA

Senior Mitigation and Public Assistance Manager

- Tasked to provide subject matter expertise for Public Assistance Alternative Projects – 428 projects, due to hurricanes Maria and Irma, through coordination with various Puerto Rican municipalities (Arecibo, Toa Baja, Canovanas, Aguas Buenas, Las Piedras, Las Piedras, Yabucoa) and PNP Organizations (houses of worship). This work included:
 - Representing sub grantees in meetings with the State, FEMA and local officials
 - Delivery of PAAP – Section 428 Guide for permanent work
 - Developing and reviewing project worksheets (PW), scope of work, description of damages and dimensions, and cost estimates for Categories A, B, C, E and G
 - Facilitating applications for public assistance funds
 - Establishing and conducting site visits to inspect sites damage

New York State Department of Homeland Security Emergency Services (DHSES) | Sept 2015 – Oct 2015


Mitigation Specialist

- QC and compliance review of sub-applications for CDBG-DR and 404 HMGP
 - Property Acquisition/Demolition, Relocation
- Development and Review Critical Infrastructure
 - (CI) Projects, CI Retrofit, Flood Mitigation, Power Generation, Hurricane/Wind,
- Compliance Assessment
 - Hazard Mitigation Grant Program (HMGP), Community Development Block Grant Disaster Relief (CDBG-DR), URA requirements, Duplication of Benefits and Duplication of Program reviews, Cost effectiveness, Validity and eligibility and more funding for New York State Hazard Mitigation Program, Ensure the proposed projects meet the requirements of multiple programs, Generation of Requests for Information (RFI) for outreach with sub-applicants
- Packaged and submitted to FEMA 95 sub-applications over \$2 billion
 - Acquisition, Infrastructure, Power Generation, Flood reduction, Utility – Nitrogen mitigation, Global Match projects to meet multiple funding source requirements

Hammerman and Gainer | 2013

RENEWJERSEY STRONGER

HMGP Program Manager

- Hired, trained and managed a 25-member staff for the HMGP department
 - Developed all procedures relating to the collection and processing of residential application intake, appeals, and internal/external communication methods
 - Developed all HMGP training materials for headquarter, call center and satellite recovery office staff
 - Produced aids to assist homeowners and HMGP staff in a better understanding of the Renewjersey Stronger HMGP
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process

- Assisted the New Jersey Office of Community Affairs with the development of their HMGP policy

The Shaw Group, Baton Rouge, LA | 2013

LA OFFICE OF COMMUNITY DEVELOPMENT

HMGP Subject Matter Expert

- Developed employee and homeowner Policy/Procedure for the implementation of the OCD residential elevation and reconstruction project
- Assisted in the development of best financial tracking practices for funds being acquired from GOHSEP and funds reimbursed to homeowners
- Responsible for all high-level homeowner appeals related to program eligibility and grant awards
- Managed the New Orleans Area Office which was responsible for approximately 60% of all program participants
- Instituted methods program wide to increase employee productivity and issuance of homeowner reimbursements
- Developed and conducted training for new employees and program policy/procedure updates
- Conducted homeowner community outreach meetings

VARIOUS LOUISIANA PARISHES

HMGP Project Manager

- Project Manager for nine Louisiana Parishes HMGP's residential and commercial projects
- Developed applications to secure funding which included conducting Benefit Cost Analysis, Flood Plain requirement determinations, data collection, and budget developments
- Prepared funding advance and reimbursement request for submission to GOHSEP
- Reviewed engineer studies and cost estimates for compliance and submission on HMGP Phased drainage and wind retrofit Projects
- Complete oversight on all residential projects to include elevations, acquisitions, and reconstructions
- Responsible for all reporting on behalf of the Parishes to include FEMA required Quarterly Reports

Proposal Writer

- Subject Matter expert for the development of all HMGP proposals
- Assisted with the production on Emergency Management and CDBG proposal

Innovative Emergency Management Agency, Baton Rouge, LA | 2007 - 2010

LOUISIANA ROAD HOME PROGRAM

HMGP Grants Manager

- Subject Matter expert during the development and data collection efforts for the production of the Office of Community Development's HMGP residential elevation and reconstruction application
- Assistant Supervisor responsible for tracking employee attendance and timekeeping
- Conducted applicant interviews to complete eligibility assessments for inclusion into the OCD HMGP application
- Assisted the HMGP application development team in the completion of Benefit Cost Analysis

LOUISIANA SMALL RENTAL PROPERTY PROGRAM

Uniform Relocation Act (URA) Manager

- Managed a team responsible for ensuring compliance with 49 CFR (URA) as it relates to Community Development Block Grants and land lord/tenant legal relocation
- Developed procedure and guidance to manage homeowner interviews in compliance with the State of Louisiana Travel policies
- Conducted residential visits and tenant interviews to determine eligibility to receive URA Assistance where applicable

Proposal Writer

- Subject Matter expert for the development of all HMGP proposals
- Assisted with the production on Emergency Management and CDBG proposals

Louisiana Office of Emergency Preparedness | 1998 - 2006



Assistant to the State Hazard Mitigation Officer (SHMO)

- Responsible for assisting the SHMO with all aspects of implementing the Louisiana Hazard Mitigation Grant Program (HMGP) such as but not limited to: Tracking of Sub grantee quarterly reports, processing reimbursement requests, ensuring accurate project declining balances, community outreach, and coordination/information dissemination between the Federal Emergency Management Agency (FEMA) and Sub grantees

State Hazard Mitigation Planner

- Managed the State of Louisiana Planning grants which provided \$300 million dollars for the completion of Sub Grantee Hazard Mitigation Plans
- Instrumental in the development of the first Louisiana State Hazard Mitigation Plan
- Reviewed and provided technical assistance on all plans submitted by eligible Sub grantees to ensure compliance with the 2004 Federal Planning Disaster Relief requirements
- Assisted all local jurisdictions and their consultants in completing appropriate plan edits to comply with FEMA review comments

Individual and Public Assistance Specialist

- Assistant Individual Assistance Officer during Hurricanes Katrina and Rita. Responsibilities included but were not limited to: Identifying appropriate locations to conduct Disaster Recovery Center operations, ensuring adequate staff requirements, reporting of need verses on hand commodities, and weekly overall reporting of Individual Assistance operations to the Command Staff
- Conducted damage assessments immediately following disasters for State and Federal reporting
- State representative during public assistance meetings with FEMA and local governmental entities
- Assessed insurance policies to ascertain eligibility for Federal Public Assistance
- Completed project worksheets (PW) and assessed 406 mitigation eligibility on state and local governmental public buildings

Hazard Mitigation Grant Program Grants Manager

- Responsible for managing the Louisiana Traditional Hazard Mitigation Grant department, serving every parish in the state, and administering over \$1 billion dollars in grant funds
- Hired, Trained, and Managed a staff of more than 20 personnel
- Developed a tracking system for Sub grantee application intake to ensure timely review and reporting
- Assisted local jurisdictions in the completion of Benefit Cost Analysis for project applications

Benefit Cost Analysis (BCA) Specialist

- Managed the collection of required data and documentation to successfully to pre-determine cost reasonableness
- Responsible for the preparation of BCA to determine cost reasonableness for all types of mitigation projects using FEMA approved methodologies and tool kits
- Experienced through version 5.2.1

Louisiana Army National Guard, Baton Rouge, LA | 1994 - 2016

Nuclear Biological and Chemical (NBC) Warfare Specialist

- Responsible for ordering, maintaining and inspecting all equipment pertaining to protection from enemy chemical hazards and attacks
- Conducted soldier level training related to the use of protective equipment and accurate communication methods to avoid injury or casualties in the event of an NBC incident

Food Service Supervisor

- Coordinated and managed all food service operations including ordering supplies, meal preparation, and reporting

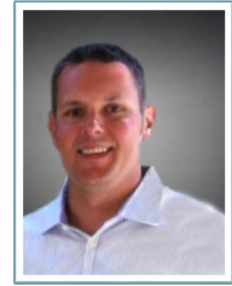
Head Quarters Platoon Sergeant

- Second level command leader responsible for complete oversight of assigned personnel and delegation of tasks to attain mission success



PARKER B. COLE

Construction Management



Education

McNeese State University, Lake Charles, LA
University of Southwestern Louisiana, Lafayette, LA
Diploma | Kinder High School, Kinder, LA

Areas of Expertise

- Community Development Block Grant – Disaster Recovery Programs (CDBG-DR)
- Hazard Mitigation
- Construction Management
- New Construction
- Quality Control
- Home Evaluations
- Damage Assessments
- Scopes of Work
- Xactimate
- Project Close Out
- Homeowner Assistance

Skills/Certifications

Construction Estimating Software (Xactimate, Worltrac)
Reporting

Qualifications Summary

CDBG-DR Housing Expertise: Construction Management

Parker Cole has over 15 years of relevant construction management and disaster recovery experience for housing programs with a focus in overall operations, quality control, and optimizing organizational processes. He has served disaster recovery initiatives for Texas, New Jersey, New York, Louisiana, and the U.S. Virgin Islands providing knowledge and expertise of ground-up construction management and quality control work on housing projects including fast-paced emergency response work in the aftermath of the worst natural disasters in the history of the United States.

Similar Project Experience

- Construction Manager, City of Galveston, CDBG-MIT
- Project Manager-Hurricane Harvey Recovery, CDBG-DR
- Operations Project Manager, USVI Emergency Home Repairs Program, STEP
- QA/QC Manager – Restore Louisiana Housing Program, CDBG-DR
- QA/QC Manager -- Reconstruction, Rehabilitation, Elevation, and Mitigation Housing Program, New Jersey
- Lead Customer Service – NYC Rapid Repairs Housing Program
- QC Construction Manager – LA Small Rental Property Housing Program
- Home Evaluator & Quality Control – LA Road Home Program

Relevant Experience

Plexos Group, L.L.C. | Jul 2017 - Present

CITY OF GALVESTON CDBG-MIT ADMINISTRATIVE SERVICES FOR HURRICANE HARVEY STATE MITIGATION COMPETITION AND HGAC REGIONAL MITIGATION PROGRAM ADMINISTRATIVE SERVICES | JUNE 2020 – PRESENT

Construction Manager

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out.

TEXAS GENERAL LAND OFFICE, HURRICANE HARVEY RECOVERY PROGRAM | 2019-PRESENT

Project Manager

Responsible for activities performed including damage assessments and inspections for properties damaged by Hurricane Harvey.

U.S. VIRGIN ISLANDS EMERGENCY HOME REPAIRS PROGRAM | Feb 2018 - 2019



Operations Project Manager

- Performs all work in accordance with the grant agreement between the VIHFA and FEMA, and the Code of Federal Regulations.
- Provides staffing to schedule and perform inspections and provide quality control reviews.
- Provides system to promote rapid execution of work identified by inspections.

RESTORE LOUISIANA, STATE OF LA OFFICE OF COMMUNITY DEVELOPMENT DISASTER RECOVERY UNIT | Jul 2017 – Present

QA/QC Manager

- Manages 30 Field Assessors on daily activities for the CDBG-DR funded Restore Louisiana housing recovery program.
- Responsible for quality control and assurance reviews of files in Xactimate.
- Assigns work to field assessors from XACT Analysis to Xactimate.

Reference: Ted Lemcke, COO, IEM, 2801 Slater Road, Suite 1120, Morrisville, NC 27560; (919) 237-7433; ted.lemcke@iem.com

CB&I (The Shaw Group) | Jan 2003 – Jul 2017

RECONSTRUCTION, REHABILITATION, ELEVATION, AND MITIGATION (RREM) PROGRAM, NEW JERSEY DEPARTMENT OF COMMUNITY AFFAIRS (NJDCA), VARIOUS LOCATIONS, NEW JERSEY | May 2013 - 2017

QA/QC Manager

- Responsible for managing the repair or reconstruction of owner-occupied dwellings damaged by Superstorm Sandy. The program is assisting approximately 6,000 homeowners in the most heavily damaged nine counties along the coast of New Jersey.
- Works directly with NJDCA to develop program policies and procedures and provide construction management services and oversight, including the performance of damage assessments, development of detailed scopes of work, engineering and architectural design, and progress inspections.
- Very proficient in Xactimate and project closeouts.

Reference: Jo Carrol, Program Mgr, APTIM, 200 Horizon Center Blvd., Trenton, NJ 08691, jo.carrol@aptim.com, 979-777-5225

NYC RAPID REPAIRS PROGRAM (NYCRRP), NYC DEPARTMENT OF ENVIRONMENTAL PROTECTION, NEW YORK | 2012 - 2013

Lead Customer Service Representative

- Oversaw CSR staff performing outreach and counseling homeowners on their options within the program.
- Developed an electronic report for tracking homeowner complaints, response to media inquiries, and coordination on resolution with the contractor performing the work, program management staff from NYC, Shaw, and quality assurance leads.
- Provided construction and quality consulting to homeowners, contractors, and program management staff.
- Served as a key member of the After-Care program to track and resolve homeowner issues after their projects were closed out. This program provided key direction to homeowners, contractors, and program management and outreach staff as the last check and balance to closing out homeowner projects.

Reference: Jo Carrol, Program Mgr, APTIM, 200 Horizon Center Blvd., Trenton, NJ 08691, jo.carrol@aptim.com, 979-777-5225

LOUISIANA SMALL RENTAL PROPERTY PROGRAM (SRPP), LA OFFICE OF COMMUNITY DEVELOPMENT DISASTER RECOVERY UNITY, VARIOUS LOCATIONS, LA | 2006-2009

QC Manager

- Managed 15 construction contractors that were overseeing the work of subcontractors on new construction and renovation projects (residential).
- Successfully performed over 3,200 home inspections to ensure all city, parish and state codes were met.
- Successfully managed construction projects that ranged from \$100,000 to \$500,000.
- Assisted with the design and implementation of the WorlTrac system used by Shaw and approved subcontractors.

Reference: David Odom, President and CEO, Plexos Group, 1800 City Farm Dr. Building Four, Suite B, Baton Rouge, LA 70806, david.odom@plexosgroup.com, 225-757-5344



LOUISIANA ROAD HOME PROGRAM, LA OFFICE OF COMMUNITY DEVELOPMENT DISASTER RECOVERY UNIT, VARIOUS LOCATIONS, LA | 2006 - 2009

Home Evaluator and Quality Control

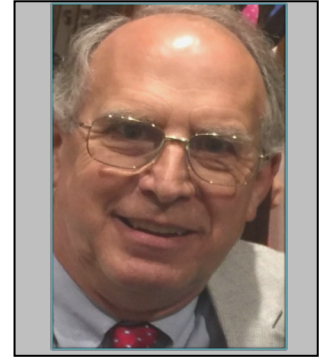
- Performed home evaluations and accurately recorded the information used in dispersing funds needed to rebuild hurricane damaged homes. The evaluation included precise measurements of the structure's square footage and documentation of the damage to the home due to the hurricane.
- Reviewed coworker's home evaluations to ensure that all information was entered correctly and accurately before it was submitted for final review.

Reference: *Craig Bolling, Project Manager, ICF, 9300 Lee Hwy, Fairfax, VA 22031, craig.bolling@philymack.com, 323-351-1810*



GEORGE DUFFEE-BRAUN

Subject Matter Expert, Financial Services/Fiduciary Manager



Qualifications Summary

George Duffee-Braun has more than 40 years of financial management and executive level leadership. His extensive experience spans multiple industries, including government programs, manufacturing, and public/ private partnerships. Among his accomplishments, he oversaw the distribution and reconciliation of \$9 billion of CDBG funds for the *Louisiana Road Home Program*—the program established to assist Louisiana citizens affected by Hurricanes Katrina and Rita. George is proficient in the use of eGrants. He has served as point of contact for user input on eGrants development, enhancements, reporting and calculations; assisted in requirements for new releases as project progressed, and performed user testing of beta versions of new releases and change requests.

Relevant Experience

Plexos Group, L.L.C. | 2019-present

CITY OF GALVESTON CDBG-MIT ADMINISTRATIVE SERVICES FOR HURRICANE HARVEY STATE MITIGATION COMPETITION AND HGAC REGIONAL MITIGATION PROGRAM ADMINISTRATIVE SERVICES | JUNE 2020 – PRESENT

Financial Management SME

Plexos is currently assisting the City of Galveston with application development of CDBG-MIT eligible projects for the Hurricane Harvey State Mitigation Competition as well as HGAC Regional Mitigation Program. Once approved, Plexos will manage each funded project from project award to close out

NORTH CAROLINA OFFICE OF RECOVERY AND RESILIENCY | RebuildNC Program

Finance Manager

- Develop, review and approval of all general contractor invoices/draw requests
- Input invoice data into system of record (Salesforce)
- On-site Plexos Group administrative manager
- CDBG-DR resource for regulatory project compliance

Reference: Mark Breor, Project Director, AECOM, 161 Commonwealth Way, Aiken, SC 29803, 803-617-9818, mark.breor@aecom.com

Education

B.A. | New College of Florida

Graduate courses (Financial Management) | University of Southern Mississippi

Areas of Expertise

Financial Management
CDBG-DR Programs
Government programs
Federal and State Audits
Contract Billing
Project Accounting
Stafford Act
Davis-Bacon
2 CFR 200
Section 504

Skills/Certifications

eGrants proficiency
District Construction Manager, Habitat For Humanity
UMCOR Early Response Team
TX Certified CDBG Administrator (2017)

UMCOR/UMVIM Disaster Recovery | 2018-2019

UNITED METHODIST COMMITTEE ON RELIEF / UNITED METHODIST VOLUNTEERS IN MISSION

Volunteer

- Early Relief Team Leader
- Volunteer Coordinator UMC Mississippi Seashore District (7 Gulf Coast Counties)

ICF International/ HGI Catastrophe Services LLC | 2006-2018

THE LOUISIANA ROAD HOME PROGRAM (CDBG-DR Housing)

Senior Manager/ Subject Matter Expert/ Director-Finance and Administration

- Directed distribution and reconciliation of federal CDBG funds for \$9 billion Louisiana *Road Home* homeowner program in compliance with federal, state and program policies and procedures including Stafford Act, Davis-Bacon, SAS-70, A-133, CFR 48, and other applicable regulations.
- Responded to Federal and State audits of contract billings.
- Managed in conjunction with other team members from operations, IT, contracts and external partners- the development of systems and programs to process and store data regarding program funding.
- Led accounting team through initial development and implementation of revenue billing and accounts payable processing utilizing Deltek Costpoint project accounting software.

References:

(1) Max Shaneyfelt, Project Director for Prime Contractor, Katrina Recovery, 18536 Shadow Creek Avenue, Baton Rouge, LA 70816; 225-907-8058; mshaneyfelt@vatetec.com

(2) Scott Meyer (Katrina Recovery), 3401 Meyer Woods Lane, Fairfax, VA 22033, 703-674-6066, skmeyer13@mac.com

Presbyterian Disaster Assistance | September 2005- October 2006

Project manager

- Co-coordinated faith-based and private sector relief efforts for Hurricane Katrina victims working with volunteer teams from across the country providing clean-up and reconstruction.

Humane Society of Southern Mississippi | May 2004- August 2005

Executive director

- Directed of all aspects of operation including day-to-day activities, finance, and fundraising.

Brintons U.S. Axminster (Largest woven patterned carpet company in U.S. & formerly a division Mohasco) | 1989-2004

Vice-President Finance/CFO

- Directed all aspects of financial management including internal controls, accounting, internal and external audits, banking relationships, insurance, purchasing, and workers compensation.
- Directed the overall IT function including system installation and maintenance, program development and implementation.
- Directed compliance on customs and other government regulations and contracts.

Institute for Technology Development | 1987-1989

Senior Vice President—Corporate Services

- Directed compliance with government regulations, contracts and funding requirements at state and federal levels.
- Managed finance department including accounting functions, purchasing, budget preparation, cost analyses, internal controls and audits in order to comply with federal accounting and auditing standards.
- Led development of technology driven spin-off operations.





DAVID W. WELKER

Anti-Fraud, Waste, and Abuse Subject Matter Expert



Qualifications Summary

David Welker has held leadership roles in law enforcement for more than 30 years. He has served HUD and FEMA housing programs, in addition to other public and private sectors in matters regarding criminal activities, intelligence, and National Security. He has managed and directed all facets of all FBI programs to include oversight of fraudulent activities, white collar crime, counterterrorism, counterintelligence, intelligence, public corruption, violent crime/violent gangs, and ground and air surveillance operations. He established and operated the anti-fraud group for the \$12 billion *Deepwater Horizon Economic and Property Settlement Program* and is responsible for standing up the fraud team for the \$230 million *US Virgin Islands Emergency Home Repairs STEP program*.

Relevant Experience

Plexos Group, L.L.C. | 2017 – Present | Senior Fraud Consultant

USVI EMERGENCY HOME REPAIRS STEP PROGRAM (USVI EHR)

Stood up fraud team for the USVI EHR project. Responsible for FWA team consisting of five (5) fraud investigators.

- The team operated under a comprehensive Standard Operating Procedure (SOP) and drafted specific policies to include code of conduct, inappropriate content, conflict of interest, as well as an anti-kickback policy.
- The team was responsible for analyzing program data to proactively seek out fraud, waste, and abuse.
- Plexos established anonymous hotlines to receive inbound tips regarding potentials for this behavior, as well as misconduct by program personnel, contractors, and subcontractors; it coordinated certain investigative activities with local police as necessary.
- Established a strong relationship with the federal prosecutor, *Disaster Fraud Task Force in the USVI, The National Center for Disaster Fraud, Department of Homeland Security Office of Inspector General*, and local police agencies. Developed strong contacts with various entities within the program.
- Sampled 25% of submitted applications and reported identified-actionable findings in 11.5% of the applications sampled.
- Created data searches for duplicate applications, nonlocal telephone numbers, and scope of work by neighborhood to further identify anomalies.
- Through claim sampling, reported PII uploaded into the wrong applicant files.

Education

B.S. | Philadelphia College of Bible (Cairn University)

Post-Graduate Studies towards Master Degree, Criminal Justice | West Chester University

Areas of Expertise

- National Security
- Intelligence
- Counterintelligence
- Public Corruption
- White Collar Crime
- Violent Crime
- Fraud, Waste, and Abuse

Skills/Certifications

Special Agent, FBI | FBI Training Academy, Quantico, VA

Philadelphia Police Department | K-9 Academy, K-9 Certification

Pennsylvania State Police | Municipal Policy Academy

Awards / Honors

Monetary Incentive Awards from Two FBI Directors

Alumni Achievement Award, 2017 | Cairn University

Reference: David F. Odom, Plexos Group, L.L.C., President and CEO, 1800 City Farm Drive, Building Four, Ste B, Baton Rouge, LA 70806, david.odom@plexosgroup.com, (225) 757-5344.

D.W. Welker Consulting, Inc. | 2012 – 2017 | Director- Fraud, Waste, Abuse

DEEPWATER HORIZON ECONOMIC AND PROPERTY SETTLEMENT TRUST *Program Consisting of approximately 3,000 Workers with Multiple Vendors Processing More Than 380,000 Claims Costing More Than \$12 billion*

- Manage annual operations budget of \$30 million for the Deepwater Horizon Economic and Property Settlement Trust, the multi-billion-dollar class action, U.S. District Court supervised settlement program for the oil spill, which occurred in the Gulf of Mexico in April 2010, resulting from the explosion aboard the oil rig Deepwater Horizon.
- Designed, assembled, established and operated anti-fraud group consisting of accountants, attorneys, investigative analysts, a compliance department, and a claimant communications team.

Reference: Robert Levine, CFO, Deepwater Settlement Program, 935 Gravier Street, Suite 1905, New Orleans, LA 70112, rlevine@gmail.com, 504-813-8597

Federal Bureau of Investigation, New Orleans, LA | Aug 2008 – May 2012 | Special Agent in Charge (SAC) (SES)

- Managed and directed a mid-sized FBI office consisting of a headquarters and six satellite offices throughout the State of Louisiana. The office employed more than 400 FBI employees and task force officers and encompassed three federal judicial districts.
- Managed an operational budget of approximately 2.5 million dollars.
- Managed and directed multiple facets of all FBI programs to include oversight of Counterterrorism, Counterintelligence, Intelligence, Public Corruption, White Collar Crime, Violent Crime/Violent Gangs, ground and air surveillance operations.
- Additionally, oversaw the administrative functions of the FBI field office to include the operational budget, facilities, security, EEO, EAP and Human Resource functions.

FBI Reference: Louis Freeh, Chairman, Freeh Group (Former FBI Director), 350 5th Ave, Ste 3100, New York, NY 10118, (202) 220-1200, louisjfreeh@pepperlaw.com

Federal Bureau of Investigation – FBIHQ, Washington, DC- Inspection Division | Aug 2006 – Aug 2008 | Inspector (SES)

- Led teams of Special Agents, accountants, and support personnel to inspect FBI field offices nationally and FBI Legal Attaché office internationally.
- Conducted administrative shooting reviews of FBI involved shootings as well as management reviews.
- Documented findings made recommendations for improvement and correction and reported those findings to the Director of the FBI.

Federal Bureau of Investigation – Tampa, FL | Oct 2002 – Aug 2006 | Assistant Special Agent in Charge

- Managed the National Security Programs throughout the Tampa FBI Division, to include Counterterrorism, Counterintelligence, Intelligence, and surveillance operations.
- Oversight and management of satellite offices throughout central Florida with responsibility for all FBI criminal and national security programs and administrative functions to include the COOP, Human Resources, and other support roles.

Federal Bureau of Investigation – Cincinnati, OH | Jun 1995 - Sep 2002 | Supervisory Special Agent

- As a supervisor, led a squad of Special Agents and task force officers assigned to combat organized crime, violent gangs, drug trafficking, and to locate and arrest violent fugitives.
- Effectively managed task force budgets.

Federal Bureau of Investigation – FBIHQ, Washington, DC, Criminal Investigative Division – Drug Section | Sep 1992 - Jun 1995 | Supervisory Special Agent

- National manager for FBI drug program with responsibility for field office investigations of major drug trafficking organizations. Ensured compliance with FBI policies and facilitated major investigations.

Federal Bureau of Investigation – Detroit Division – Saginaw Resident Agency | Sep 1987 - Sep 1992 | Special Agent

- Conducted investigations of violations of federal law. Major investigations entailed interviews of numerous witnesses, identification and collection of evidence, drafting pertinent documents to include interviews, witness statements, and affidavits. Planned, organized and executed numerous search and arrest warrants.



II. SCOPE OF SERVICES

A. Description of Services

1. Pre-Award Services

CDBG-MIT Project Identification

Upon project award, the Plexos Team will initiate a kick-off meeting with the San Leon Municipal Utility District to discuss the TX GLO and HUD requirements related to CDBG-MIT funding as outlined in the state’s approved Action Plan and program guidelines. In addition, our team will work with the District to finalize the list of potential projects to be submitted for CDBG-MIT funding.

Each identified project will be evaluated and ranked by the team to determine its “fundability”. This review includes an evaluation of the project to determine if HUD requirements for mitigation funding can be met as outlined in the Federal Register Notice and approved Action Plan. In general, these HUD requirements include, but are not limited to, the following:

- Meeting the definition of “mitigation” activities;
- Addressing current and future risks as identified in TX GLO’s Mitigation Needs Assessment of MID areas;
- Qualifying as a CDBG eligible activity; and
- Meeting a national objective, including additional criteria for mitigation activities and Covered Projects.

Projects will also be reviewed for effectiveness in advancing community resilience and will be assessed and ranked according to the TX GLO scoring criteria summarized as follows:

- Impact to long-term community resilience;
- Alignment with other locally and regionally planned capital improvements;
- Contribution in advancing community-level and regional planning for current and future disaster recovery efforts;
- Compatibility with other mitigation investments;
- Benefit to low-to-moderate income households; and

What is “Mitigation”?

For the purposes of the CDBG-MIT Federal Register Notice, mitigation activities are defined as those activities that increase resilience to disasters and:

- 1) reduce or eliminate the long-term risk of loss of life, injury, damage to and loss of property, and suffering and hardship, and**
- 2) decrease the impact of future disasters**

- Another factor that will be considered is the ability of each project to leverage CDBG-MIT funds with funding provided by other federal, state, local, private, and non-profit sources which is a priority of TX GLO due to the limited amount of CDBG-MIT funding available. In addition, the project will also be evaluated to ensure that it is sustainable for long-term operation and maintenance.

Upon review, our team will meet with designated District representatives to review the results and rank projects for the TX GLO's competitive application process.

CDBG-MIT Competitive Application Development and Submittal

Plexos will develop CDBG-MIT applications for the District based upon the Board of Director's approved project list in accordance with Federal Register Notice, TX GLO Action Plan and program guidelines. During this process, Plexos will ensure that all required forms, supporting documentation, and cost estimates are attached to the application and submitted by the applicable application deadline. In addition, Plexos will assist the District in the response to any follow up questions and/or requests for additional information during the application and funding process.

Once awarded, Plexos will assist the District to execute the Subrecipient Agreement with TX GLO by ensuring that the project Performance Statement, Budget, and Project Implementation Schedule are complete and accurately reflect the scope of work for the project. In conjunction with the execution of a Subrecipient Agreement, Plexos will assist the District to successfully launch approved project activities and obtain release of funds in accordance with TX GLO program guidance and *TX GLO CDBG-DR Implementation Manual*.

2. Post-Award Services

Project Start-Up Activities

In order for the District to request the release of CDBG-MIT funding from TX GLO, Plexos will assist with the development and collection of all required project-start up documentation (also known as evidentiary materials) including, but not limited to, the items specified in the TX GLO CDBG-DR Implementation Manual as shown in **Figure 1**. Prior to the launch of each project or program, Plexos will also assist the District to put systems in place that will enable the tracking and reporting of all project activities as required by the Subrecipient Agreement with TX GLO and DRGR reporting system.

As part of this effort, Plexos will establish a Project Management Plan which will assist the District to manage projects in accordance with established requirements, financial and project performance projections. In addition, Plexos will establish a record-keeping and filing system to document all required project documentation for review and monitoring by TX GLO, HUD, and HUD OIG. Supplemental to this effort, Plexos will also assist the District to establish effective grant management procedures and complete the environmental review process in order to obtain a release of funds.

Required project start-up documentation is listed in **Figure 1**.

Figure 1. Plexos is experienced with providing all required start-up documentation.

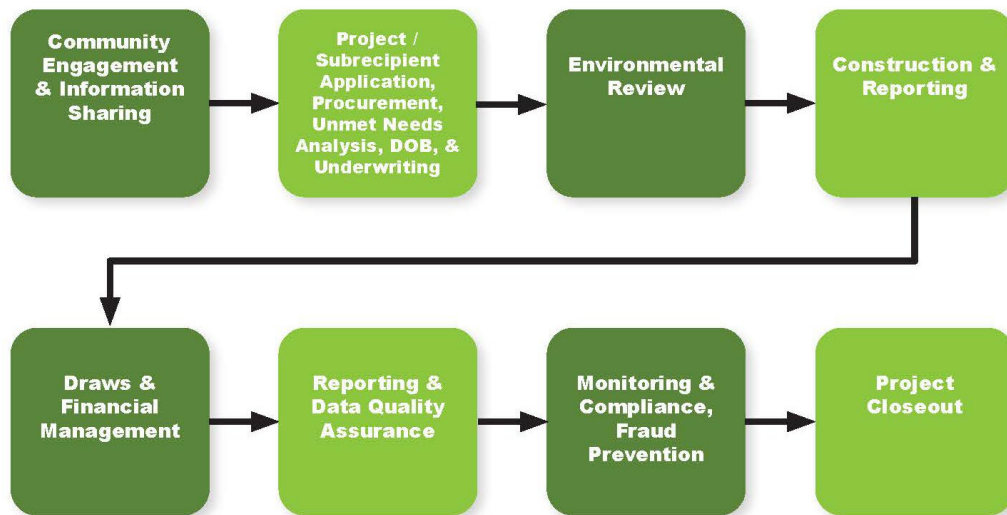
Required Project Start-up Documentation

- Comprehensive Annual Financial Report/Independent Auditor's report;
- Environmental Exemption Form for Professional Services;
- Depository/Authorized Signatories Designation Form;
- Resolution Authorizing Signatories;
- Proof of Insurance Coverage – Fidelity Bonding, if applicable;
- Direct Deposit Authorization;
- Texas Identification Number (TIN), if applicable;
- Adopted Financial Policies and Procedures;
- Adopted Procurement Policies and Procedures;
- Financial Interest Report for Engineering services, if applicable;
- Financial Interest Report for Project Delivery services, if applicable;
- Financial Interest Report for Environmental services, if applicable;
- Initial Real Property Acquisition Report;
- Appointment of Labor Standards Officer;
- Appointment of Civil Rights Officer (EEO/FH/Section 504);
- Appointment of Section 3 Coordinator;
- Citizen Participation Plan including complaint and grievances procedures;
- Nondiscrimination/Equal Employment Opportunity Policy;
- Policy and notice of nondiscrimination on basis of handicapped status;
- Excessive Force Policy;
- Section 3 Policy;
- Section 504 Self-Evaluation Review;
- Section 504 Grievance Procedures;
- Civil Rights Resolution regarding Citizen Participation, Section 3, Excessive Force, Section 504 Policy and Grievance Procedures, and Fair Housing Policy;
- Civil Rights Notices; and
- Fair Housing Activity documentation.

A general flow chart of the subrecipient grant award, implementation, and closeout process is shown in **Figure 2**.

Figure 2. This flow chart represents the project life cycle of a subrecipient's grant award as shown in the TX GLO CDBG-DR Implementation Manual.

Subrecipient Project Life Cycle



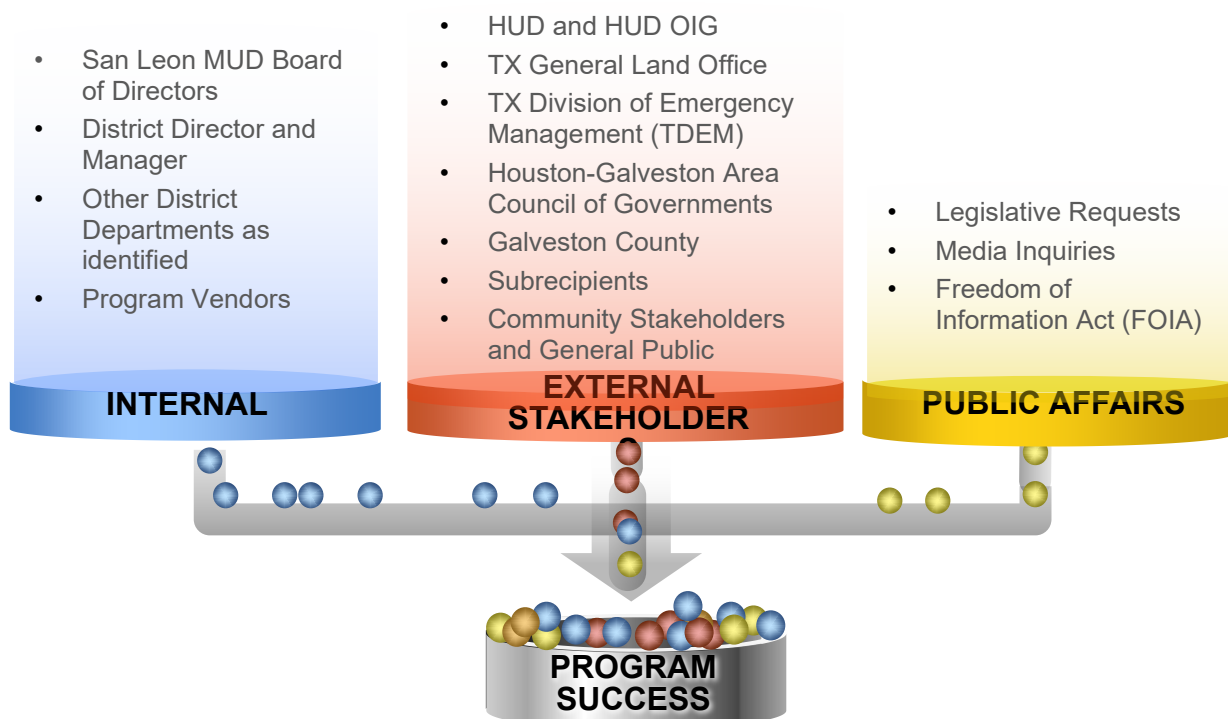
B. Grant Administration Services—General

1. **Administrative Duties.** Coordinate, as necessary, between County and any other appropriate service providers (i.e. Engineer, Environmental, etc.), contractor, subcontractor and GLO to effectuate the services requested.

During the life cycle of the grant, Plexos staff will coordinate the development and implementation of projects with District staff, departmental heads, as well as other agencies and subcontractors to ensure that projects that are submitted and approved for funding meet all HUD and TX GLO requirements. Coordination of project activities is expected to include, but is not limited to, the following (as shown in **Figure 3**):

- San Leon MUD Board of Directors
- District Director, Manager and related Departmental Heads (Finance, Engineering, Legal)
- District Contractors and subcontractors (Engineering, Architectural, Construction, etc.)
- Federal Agencies (HUD, FEMA, SBA, etc.)
- TX General Land Office (GLO)
- TX Division of Emergency Management (TDEM)
- Galveston County
- Houston-Galveston Area Council (HGAC) and other regional agencies
- Community Stakeholders and the Public

Figure 3. Plexos understands that a successful program requires coordination of project activities and collaboration with internal and external stakeholders.



2. May assist in public hearings.

As required and requested, Plexos staff will conduct outreach, facilitate community meetings, and attend all required public hearings. Attendance at meetings includes the development of presentation materials and handouts as necessary and appropriate. All meeting spaces and materials will meet Section 504 requirements so that they are readily accessible to the public or are made available upon request.

3. Will work with GLO's system of record.

Once the CDBG-MIT contract is awarded, Plexos work with TX GLO to obtain training (including user manuals), access, and adequate user permissions for the CDBG-MIT system of record (TIGR). As a part of this process, TX GLO will be provided with a list of Plexos personnel who will require access to the system in order to submit and upload all documentation during the life cycle of a project.

Prior to being provided access to GLO's system of record, all Plexos staff will be required to review and acknowledge policies related to the IT Acceptable Uses, Confidentiality, and Protection of Personally Identifiable Information (PII).

Plexos staff will also receive internal training on GLO's system so that they can proficiently perform each job function in an efficient manner. Ongoing training will also be provided as updates to the system and/or business requirements occur.

During the course of program operations, all staff must adhere to internal Plexos performance standards which require the upload of all required documentation within 24 hours of receipt/completion, unless more stringent metrics are required by the TX GLO and/or the District. In addition, all data entered into the system of record will be subject to review as part of the project QA/QC process.

4. Provide monthly project status updates.

Monthly project status updates will be provided in a written format approved by the District by the end of the first calendar week of each month. In addition to written monthly reports, project personnel will maintain regular communication with designated District personnel via weekly meetings, email, and other written correspondence. Plexos project personnel will

Responsible access to the TX GLO System of Record

Prior to receiving access, all Plexos staff will be required to review and acknowledge Plexos policies related to:

- IT Acceptable Uses
- Confidentiality
- Protection of Personally Identifiable Information (PII)

Plexos has provided expertise in reporting and analytics for FEMA and HUD CDBG-DR programs including the Louisiana Restore Program, New York City Build-it-Back, and USVI Emergency Home Repair Program.

also provide regular reports to the District as necessary and appropriate. Additional reports will also be provided to the District as required in order to assist TX GLO with HUD Disaster Recovery Grant Reporting (DRGR) requirements and any other program inquiries.

5. Funding release will be based on deliverables identified in the contract.

Upon award, Plexos will develop a Project Management Plan outlining all contractual deliverables, timeframes for completion, and payment milestones. Once approved by the District, Plexos financial staff will monitor project deliverables and submit invoices at agreed upon payment milestones as project activities are completed. During this process, our staff will meet with the Director of the Finance Department and/or other designated personnel to obtain guidance regarding preferred invoicing formats and documentation. All invoices will be accompanied by source documentation as required by the District and 2 CFR Part 200.

Audit Services Expertise

Plexos team members have assisted grantees and subrecipients in responding to audits covering more than \$9 billion CDBG grants and more than \$14 billion in settlement funds for the BP Oil Spill.

6. Labor and procurement duties.

- a. *Provide all Labor Standards Officer (LSO) Services.*
- b. *Ensure compliance with all relevant labor standards regulations.*
- c. *Ensure compliance with procurement regulations and policies.*
- d. *Maintain document files to support compliance.*

Projects financed with CDBG-DR/CDBG-MIT funding require that certain procedures be followed in order to comply fully with applicable federal and state requirements. For example, federal and state labor standards require grantees, subrecipients, and contractors to meet and document compliance with certain rules associated with the employment of workers. The Plexos Team has extensive experience with the policies and procedures that must be followed when undertaking construction projects, including bid preparation, monitoring and compliance in conformance with Davis Bacon and HUD equal opportunity requirements.

Upon contract award for applicable projects, Plexos' Labor Standards Officer (LSO) will work with the District in order to complete the *GLO required Appointment of Labor Standards Officer Form* which is required for all Subrecipient Agreements for construction related projects. The LSO will be responsible for the regulatory administration and enforcement of the federal labor standard provisions including, but not limited to, the following:

- Providing pre-construction advice and support to the District and other assigned project professionals (engineers, architects, etc.). This includes the preparation of compliant bid packages and coordination with project professionals to write bid specifications that provide

a clear and accurate description of technical requirements for materials and products to be provided.

- Pre-bid support also includes obtaining the proper Davis-Bacon prevailing wage rates and ensuring that the rates and all applicable provisions are incorporated into all construction bid documents, sample construction contracts, and subcontracts. In addition, the LSO will be responsible for validating that all contractors meet program licensing requirements and have not been debarred from work on federal projects.
- Post-award the LSO will be responsible for holding and documenting the pre-construction conference and monitoring labor standards compliance through regular site visits, conducting interviews with construction workers at the job site, and documenting the posting of applicable Davis-Bacon wage rate and Department of Labor’s “Notice to All Employees”. In addition, the LSO will review weekly payroll reports to ensure required wages are being paid in accordance with the contract.
- Oversight of any required enforcement actions that may be required. The LSO will also coordinate any contractor sanctions that may be necessary with appointed District personnel.

Regulatory and Program Compliance

Richard Gray,
Compliance and
Monitoring SME ...

- ☑ **More than 38 years of CDBG and CDBG-DR compliance and monitoring experience**
- ☑ **Former Director of Compliance with the State of Louisiana**
- ☑ **Responsible for compliance and monitoring more than 1,400 CDBG-DR projects exceeding \$15 billion in federal funds**

7. Financial duties:

a. Prepare and submit all required reports (Financial Interest, etc.)

Effective financial management is required for almost all phases of CDBG-DR/CDBG-MIT programs. For this reason, it is important that all costs incurred or paid by the District are necessary, reasonable, allowable, and allocable to the GLO funded project as governed HUD regulations, Federal Office of Management and Budget (OMB), and other federal, state, and local policies. In order to achieve compliance, our assigned Financial Manager, George Duffee-Braun, is well versed in the following federal and state regulations governing financial management and reporting:

- 24 CFR § 570 Subpart I- governs the state CDBG-DR/CDBG-MIT program;
- 2 CFR § 200, including all of Subpart E Cost Principles;

- Uniform Grant Management Standards (UGMS) - Texas Comptroller of Public Accounts and guidance under 2 CFR § 200;
- Texas Local Government Code Chapter 171

In addition, it should be noted that Plexos Group financial staff have been responsible for financial management and reporting on CDBG-DR funded activities in response to most major disaster recovery projects since Hurricane Katrina. As a result, George Duffee-Braun has over 15 years of CDBG-DR financial management experience and has been personally responsible for the disbursement and reconciliation of over \$9 billion in CDBG-DR funding without HUD concerns or findings. His expertise will ensure that each District CDBG-MIT funded project is compliant through the implementation of effective financial controls and program operations. In his role, he will be responsible for tracking all program data, financial performance, and reporting. Financial reporting will include, but is not limited to, the following:

- Reconciliations of funding, expenditures, program income; preparation and submittal of draw requests;
- Management of contracts, purchase agreements and payments;
- Collection and reporting of all financial data as required for GLO's quarterly (QPR) as well as annual and other required reports; and
- Compliance with Section 3 and M/WBE reporting requirements.

b. Assist County with the procurement of audit services.

Plexos Group team members have assisted grantees and subrecipients in responding to financial audits covering over \$9 billion CDBG grants and over \$14 billion in settlement funds for the BP Oil Spill. These audits and monitoring activities have resulted in no significant findings. As such, Plexos Group is fully prepared to assist the San Leon MUD in the procurement of audit services that will address the requirements of CDBG-MIT funding as well as 2 CFR Part 200. In addition, Plexos will assist the San Leon MUD to ensure that an Audit Certification Form (ACF) is submitted to GLO within 60 days after the end of each fiscal year in which the San Leon MUD has an open Subrecipient Agreement and initiating audit activities. Supplemental to these efforts, Plexos will also assist the District to:

- Coordinate written responses to any management decisions by GLO resulting from a single-audit report involving CDBG-MIT funding;
- Conduct follow-up for corrective action identified by GLO until finding is resolved.

**George Duffee-Braun,
Proposed Financial
Manager**

- ☑ **15 years of CDBG-DR financial management experience**
- ☑ **Well versed in state and federal financial management and reporting including Texas-specific regulations**
- ☑ **Personally, responsible for the disbursement and reconciliation of more than \$9 billion with NO HUD findings**

c Assist County in establishing and maintaining a bank account for disaster recovery funds.

With experience in multiple disaster recovery programs over the last 10+ years, Plexos Group has the expertise required to assist the San Leon MUD to open/maintain project bank accounts, track and reconcile payments as well as provide accurate financial reporting on the use of the District's mitigation funds. This includes any leveraged funding that supplements CDBG-MIT funded projects.

As part of our financial services, Plexos will set up the city's project account and accounting system to:

- Provide distinct accounting information for separate eligible activities;
- Accurately reflect and record all project encumbrances/obligations against distinct line items;
- Effectively track each grant award, unobligated balances, assets, liabilities, expenditures, program income, and any interest, if applicable. Plexos will also assist with the development and submittal of any applicable Financial Interest Report (s).

d. Implementation and coordination of Affirmatively Furthering Fair Housing ("AFFH") requirements as directed by HUD and the GLO.

For the purpose of expediting project reviews and authorizing use of funds for CDBG-DR housing programs, the TX GLO has established a series of elements and information for Subrecipients to provide which reflects an understanding of the community and supports approval of a project. In order to achieve these goals, the Plexos Team will assist the District to:

- Collect demographic information by census tract which includes prevailing population characteristics relating poverty level, income, ethnicity, race, household sizes, age group data, and other relevant factors;
- Identify crime rates for the immediate and surrounding geographic areas;
- Identification of key community features, both positive and negative, including distance to each and public transportation time if applicable; and Positive features: large employment centers/opportunities, schools, grocery stores, health care facilities, public transportation, libraries, recreational areas, child care, and other community centers; Negative features: unsightly facilities, industrial sites, health hazards, retail/business density, low-income housing, etc. and
- Identification of economic trends in the area including pending or approved government projects or bonds.

In order to ensure compliance, Plexos will utilize GLO-CDR's AFFH Checklist in order to assemble all required documentation.

e Implementation and coordination of Section 504 requirements.

Section 504 compliance has been an integral part of each CDBG-DR/CDBG-MIT program that Plexos has managed or provided program services during implementation. Lara Robertson, Project Manager

has over 23 years of experience managing HUD programs in compliance with Section 504, Equal Employment Opportunity, and Fair Housing requirements. As part of CDBG-DR start-up activities, Plexos will assist the District to complete the following:

- Appointment of a Civil Rights Officer (EEO, FH, Section 504), if one has not already been designated;
- Conducting a Section 504 review and developing a Transition Plan, if necessary; and
- Development and adoption of Section 504 Grievance Policy and Procedures.

In addition, Plexos will ensure that all program/project activities such as outreach, completion of applications, case management, and construction meet Section 504 requirements by:

- Designating a Section 504 Coordinator for each program/project;
- Evaluating program/project facilities for ADA accessibility;
- Providing individuals with disabilities and limited English proficiency an equal opportunity to participate in the District's programs and services through the use of a TDD phone number and/or translators;
- Supplying appropriate auxiliary aids where necessary to ensure equal opportunity; and
- Ensuring that persons with disabilities have comparable access to and use of electronic information technology in compliance with federal Section 508 standards (which are supplemental to Section 504 requirements).

f. Program compliance

Program and/or project compliance and monitoring activities are on-going management control techniques that evaluate risk and assess the quality of a program over a period of time. Upon grant award, Plexos will develop Project Management and QA/QC Plans (to include review checklists) to ensure that all project procedures and policies meet CDBG-MIT, HUD, and GLO requirements. As part of this process, regular compliance reviews will be conducted with results provided to the District on a bi-weekly basis. These program reviews will be used to identify areas of non-compliance, recommend corrective actions, and implement improvements. Review checklists will be based upon the CDBG-MIT Federal Register Notice, HUD approved Action Plan, GLO Policies and monitoring checklists, and executed Subrecipient Agreement.

Richard Gray, Compliance Subject Matter Expert, has over 38 years of CDBG and CDBG-DR compliance and monitoring experience. In his role as Director of Compliance with the State of Louisiana, he was responsible for the compliance and monitoring of over 1,400 CDBG-DR projects exceeding \$15 billion in federal funding. His expertise will be invaluable to the San Leon MUD to

Lara Robertson, AICP,
Project Manager

23 years of managing HUD programs in compliance with:

- Section 504**
- Equal Employment Opportunity, and**
- Fair Housing Requirements**

ensure compliance of all program activities. In addition, he can be an invaluable resource during TX GLO and/or HUD monitoring of District CDBG-MIT projects.

g. Ensure that fraud prevention and abuse practices are in place and being implemented.

In addition to the Anti-Fraud, Waste, and Abuse (AFWA) efforts as outlined in Grant Administrative Services-Infrastructure, Section 1) h,, of this proposal, Plexos' financial manager will monitor internal controls and financial management activities to ensure compliance with 2 CFR Part 200. Any identified anomalies that warrant further review and/or investigation will be referred to George Duffee-Braun for evaluation and coordination with the District and TX GLO as necessary.

h. Prepare and submit all closeout documents.

The closeout process is designed to ensure that CDBG-MIT activities have been completed and funds are expended in accordance with the District's Subrecipient Agreement, program policies, and federal requirements. This means that all financial, administrative, and performance issues related to the CDBG-MIT Subrecipient Agreement must be completed and any identified issues resolved to the satisfaction of GLO and HUD prior to final completion of program/project activities.

The closeout process is typically initiated when the following has occurred:

- All costs to be paid with CDBG-MIT funds have been expended and payment requests submitted, with the exception of closeout costs (final administrative and audit costs), and other costs approved in writing by GLO;
- The scope of work described in the District's approved Performance Statement has been completed; and
- All Subrecipient responsibilities covered by the grant agreement with GLO have been met.

Plexos fully recognizes that closeout does not begin at the end of the program. It is dependent on initial design and proper maintenance of records and reports throughout the life cycle of the program. Plexos is not only experienced in HUD CDBG closeout procedures, it is prepared to meet GLO subrecipient requirements and will implement proactive procedures that will enable the timely closeout of program/project activities.

Richard Gray,

**Compliance Subject
Matter Expert**

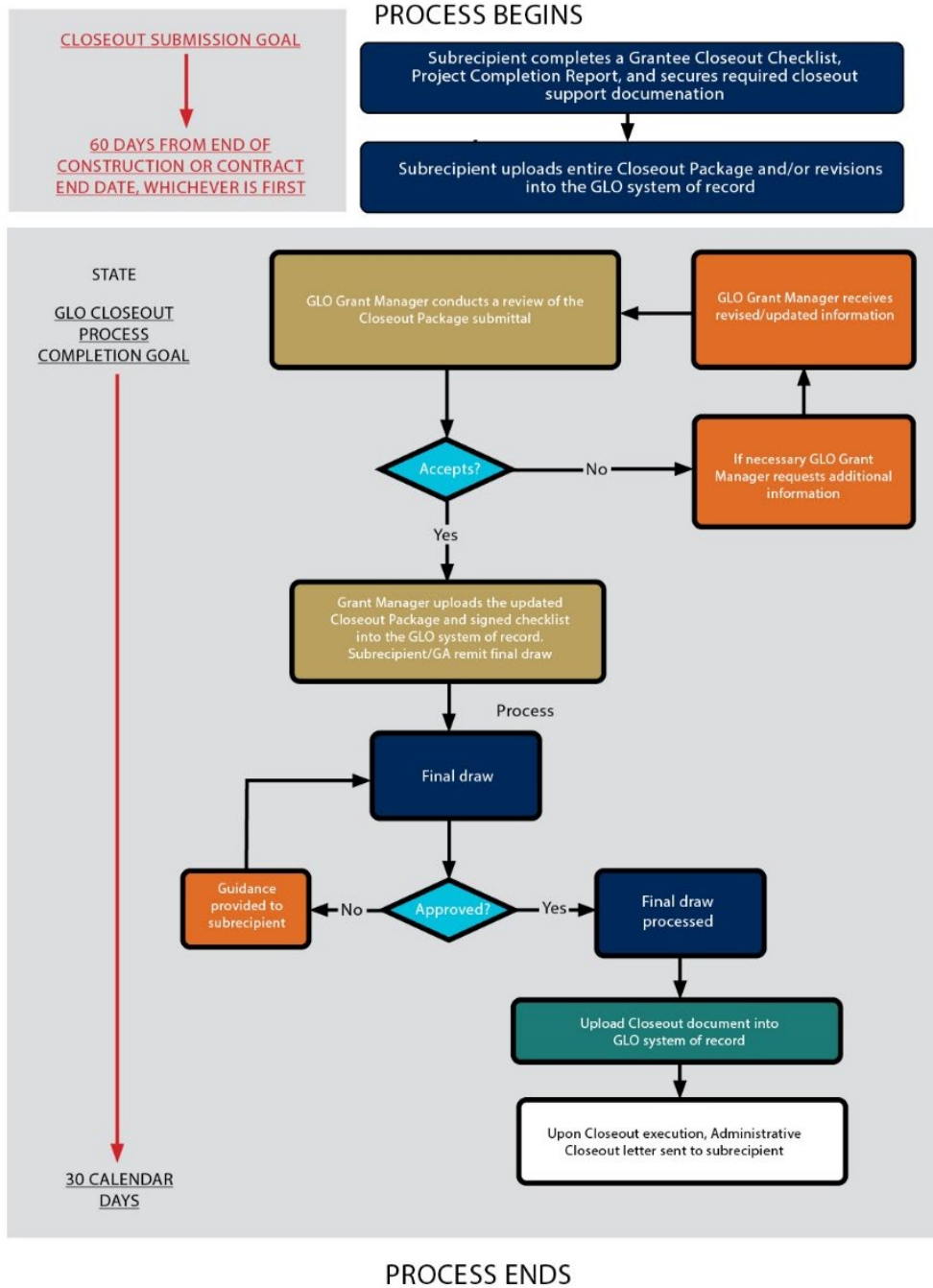
- ☑ **38 years of CDBG- and CDBG-DR compliance and monitoring experience**
- ☑ **Former Director of Compliance for the State of Louisiana**
- ☑ **Responsible for compliance and monitoring of more than 1,400 CDBG-DR infrastructure and housing projects exceeding \$15 million in federal funding**

As part of the closeout process, Plexos will assist the District to:

- Develop and complete the Certificate of Expenditures (COE) documentation;
- Compile of the Final Financial Interest Report for all contracts executed under the CDBG-MIT Subrecipient Agreement;
- Complete final Beneficiary Detail Reports once all beneficiaries have been served by the project;
- Enter project activities, objectives, outcomes, and benefit indicators included in the Subrecipient Agreement Performance Statement;
- Develop final Project Map;
- Finalize and submit the GLO Grant Closeout Report (GCR) and all required supporting documentation within 60 calendar days after the District's Subrecipient Agreement end date (unless otherwise extended) or construction activities are completed;

Figure 4 depicts the GLO Closeout Process for Infrastructure Projects.

Figure 4. Texas GLO Closeout Process for infrastructure projects as shown in the TX GLO CDBG-DR Implementation Manual.



- i. Submit all invoices no later than 60 days after the expiration of the contract. All outstanding funds may be swept after 60 days. The provider may request an extension of this requirement in writing.*

As previously referenced, Plexos will develop a Project Management Plan during the start-up phase of the contract. This plan will outline contractual timelines and performance measures (to include contract closeout provisions) for tracking and management by staff assigned to the District. Invoicing payment milestones and schedules to include the 60-day metric will be included as part of the plan.

- j. Assist in preparation of contract revisions and supporting documents including but not limited to:*
 - *Amendments/modifications,*
 - *Change orders.*

As prime contractor and subcontractor on multiple disaster recovery programs, Plexos experts have designed and/or implemented contract amendment and change order processes for large-scale programs in Louisiana, New Jersey, New York, U.S. Virgin Islands, and Puerto Rico. In these roles, Plexos has prepared all necessary information to document the need for a change and has also participated in review teams assessing the need for and approval of contract amendments/modifications included in proposed change orders.

Plexos experts have designed and/or implemented contract amendments and change order processes for large-scale programs in Louisiana, New York, New Jersey, U.S. Virgin Islands and Puerto Rico.

Plexos will assist the District to process and approve contractual amendments and change orders by developing processes to:

- Log and document receipt of change order requests and contractual modifications;
- Review of request to determine applicability and cost reasonableness;
- Guide preparation of change request forms;
- Distribute requests to appointed District personnel for approval;
- Monitor and document the approval process; and
- Distribute changes to designed program personnel, contractors, and/or subcontractors.

8. Construction Management

- a. The provider will assist the District in submitting/setting up project applications in the GLO's system of record.*

As described in the Pre-Award Services section of this proposal, Plexos will develop CDBG-MIT applications for the San Leon MUD based upon the District-approved project list in accordance with *Federal Register Notice, TX GLO Action Plan* and program guidelines. During this process, Plexos will

ensure that all required forms, supporting documentation, and cost estimates are attached to the application and submitted by the applicable application deadline as established by GLO.

Post-Award Services for programs that include the identification and set-up of individual projects will also be entered into GLO system with all required *documentation* within 24 hours of receipt and/or completion. Prior to the upload of this documentation, QA/QC reviews will be performed in order to ensure that all information uploaded into the system is complete and accurate.

b. The provider may compile and collate complete contract/bid packages that meet GLO program requirements. The packages will contain supporting documentation that meets or exceeds the requirements of the GLO's program. If applications do not have the necessary forms, the provider may assist the District by coordinating to acquire the necessary documentation.

Plexos will assist the San Leon MUD to develop and compile all contract/bid packages meeting or exceeding GLO procurement policies, 2 CFR Part 200, Davis Bacon requirements, and other labor standards, if applicable. As part of this process, Plexos will also assist the District to develop independent pre-bid cost estimates meeting HUD procurement requirements in order to establish the cost reasonableness of submitted bids. In addition, bid packages will include all federally required "Statement of Assurances" outlining all cross-cutting federal requirements.

Non-residential construction bids or residential bids meeting HUD requirements (8 or more units) which are anticipated to exceed \$2,000 will be developed in compliance with Davis-Bacon requirements. As part of this process, Plexos' Labor Standards Officer will utilize HUD's Davis Bacon Bid Checklist and assist the District to:

- Coordinate development of technical requirements and independent pre-bid cost estimates with District engineer and/or architect;
- Obtain applicable wage decision for the project as established by the U.S. Department of Labor by type of work and construction work classifications. The LSO will also confirm the wage decision in the bid specifications 10 calendar days or less prior to the bid opening. The wage decision will be documented using the GLO 10-Day Confirmation Form.
- Ensure that the sample construction contract included in the bid package meets all procurement requirements, flow down provisions, and labor standards.

Bid Packages will be reviewed for completeness and accuracy prior to submitting them to the District for approval and posting. Once bids are submitted, the Plexos construction management team will

**Parker Cole,
Construction
Management Expertise**

- 15 years of construction management experience on disaster recovery programs**
- Performed thousands of inspections for disaster-damaged properties in Texas, Louisiana, New York, New Jersey, USVI**

assist the District during the bid opening and determining contractor eligibility for contract award (licensing and debarment). Documentation not submitted as part of the bid process (typically includes required insurance policies) will be compiled by the construction management team in conjunction with the Labor Standards Officer. All bid packages and submittals will be reviewed for completeness and documented in the District's procurement files and GLO system of record.

c. The provider may monitor, report, and evaluate contractor's performance; notify the District if the contractor(s) fails to meet established scheduled milestones. Receive, review, recommend, and process any change orders as appropriate to the individual projects.

During the start-up phase of the project, the Plexos construction management team will develop Construction Management Standard Operating Procedures (SOPs) which will outline construction performance metrics, payment milestones, change order process, cure notifications procedures, and methodology to reassign construction work for noncompliance or lack of performance. In addition to the Construction Management SOPs, the construction management team will also develop a Contractor Scorecard SOP and point system to evaluate performance. The purpose of this SOP will be to monitor and measure contractor performance and inform the contractor selection process when work is assigned or bid. At periodic intervals during the program and/or project, Plexos will monitor and review the performance of contractors using the scorecard which will evaluate rate of project completion, construction durations, quality of workmanship, and compliance with program requirements to include Section 3 and M/WBE hiring and reporting.

d. The provider may assist the County with project activity draws / close out.

In conjunction with the County's finance department, the Plexos Finance Manager will develop SOPs outlining the internal invoicing process as well as external procedures for Construction Contractors to request payment. These procedures will outline each step, include required payment and change order forms, and documentation. The construction management team will be responsible for verifying the amount and quality of completed work in advance of invoice approval.

Once all documentation is received, the Plexos Finance Manager will work with the District finance department to compile project draw requests by activity, track the payments, reconcile project funds, and initiate closeout once project activities are complete and all funds are expended. Closeout

Construction Management Policy and Procedures Expertise

Lara Robertson AICP has **written** construction management policy and procedures manuals for New York and North Carolina, including:

- the complete construction management Standard Operating Procedures manual for GOSR's **NY Rising Programs** and NCORR's **RebuildNC Program**, and
- some of the sections for New York City's **Build-it-Back Program**

procedures will follow policies outlined in the *GLO CDBG-DR Implementation Manual*, unless otherwise amended for the CDBG-MIT program.

- e. The provider may assist the District by submitting all the necessary documentation for draws and to close a project activity in the GLO's system of record. The provider will compile, review for completeness, and collate complete contract/closeout packages that meet GLO program requirements for draw requests. If applications do not have the necessary forms, the provider may assist the District by coordinating to acquire the necessary documentation.*

As previously described in this proposal, Plexos will assist the District to complete final draw requests and the following closeout activities:

- Develop and complete the Certificate of Expenditures (COE) documentation;
- Compile the Final Financial Interest Report for all contracts executed under the CDBG-MIT Subrecipient Agreement;
- Complete final Beneficiary Detail Reports once all beneficiaries have been served by the project;
- Enter project activities, objectives, outcomes, and benefit indicators included in the Subrecipient Agreement Performance Statement;
- Develop final Project Map;
- Finalize and submit the GLO Grant Closeout Report (GCR) and all required supporting documentation within 60 calendar days after the District's Subrecipient Agreement end date (unless otherwise extended) or construction activities are completed;

A QA/QC review will be completed prior to submittal of the closeout package to the District for review and approval.

- f. The provider may assist the District in developing Architectural and Engineering plans with guidance from the GLO.*

In addition to assisting the District in identifying and prioritizing projects for CDBG-MIT funding, Plexos will also provide expertise to the District in the preparation of conceptual plans, pre-bid cost estimates and construction milestone schedules in conjunction with TX GLO. As part of this process, Plexos' Project Development Manager will work with in conjunction with the District engineer to procure Architectural and Engineering (A/E) services. Upon award of A/E services, our engineer will:

A QA/QC review will be completed prior to submittal of the closeout package to the District for review and approval.

Anil Desa, PE, Project Development and Management Expertise

- ☑ **27 years of engineering, project development, and grant management experience**
- ☑ **Successfully directed multi-disciplinary teams for FEMA and CDBG-DR projects in Louisiana, Mississippi, and South Carolina**

- Prepare a schedule for design services, monitor A/E progress with regular meetings, and compare progress with baseline schedule.
- Assist the District to manage the selected A/E firms to ensure quality, timely designs in compliance with Local, State and Federal codes and regulations.
- Perform design reviews at preliminary design and final design milestones.
- Coordinate pre-bid cost estimates and required permitting.
- Review final bid documents for compliance with Federal procurement regulations.
- Coordinate with TX GLO as needed and required.

g. Reassignment scope alignment (if necessary).

Based upon the change order and contractor evaluation SOPs, Plexos' Project Development Manager will work with the construction management team to review each change order request to ensure that any proposed contract modifications and/or change orders are necessary and cost reasonable. In addition, Plexos will prepare independent cost estimates and validate Change Order costs. As part of this process, Plexos will make recommendations to the District for approval or modification of the requests or need for the reassignment of work. All contractual modifications and change orders will be retained in the District's project files and uploaded to the GLO system of record once complete and reviewed for accuracy.

**Kim Flowers, Grant
Administration and
Mitigation Subject Matter
Expert**

- 22 years** of emergency management and recovery experience
- 13 years** managing CDBG-DR and FEMA HMGP programs in Louisiana, New York, New Jersey, Georgia, Florida, Puerto Rico

C. Grant Administration Services—Infrastructure

1. Administrative Duties

- a. *Ensure program compliance including all CDBG-MIT requirements and all parts therein, current Federal Register, etc.*

Plexos will ensure District compliance with all CDBG-MIT requirements by developing program policies and procedures for the District that reflect:

- HUD CDBG-MIT Federal Register Notice (84 FR 45838 published August 30, 2019).
- TX GLO CDBG-MIT Action Plan (currently pending HUD approval)
- TX GLO CDBG-MIT Program Guidelines
- TX GLO CDBG-MIT Application Guide

Proposed CDBG-MIT policies and procedures will be submitted to the District, and TX GLO as required, for review and approval prior to implementation of program and/or project activities in accordance with TX GLO and HUD Monitoring Checklists for cross-cutting requirements.

Proposed CDBG-MIT policies and procedures will be submitted to the District, and TX GLO as required, for review and approval prior to implementation of program and/or project activities.

In addition to compliant policies, the Plexos team will evaluate program risks and implement robust Quality Assurance and Quality Control (QA/QC) processes based upon CDBG-MIT requirements. Management of these processes include:

- Development of a Risk Assessment and QA/QC Plan (to include review checklists);
- Implementation of standardized operational reports for District management;
- Management of quality control reviews on processes and standard operating procedures resulting in data outputs and reports used to decrease errors and increase accuracy of project calculations/costs, scope, and duration; and
- Recommend process improvements and mitigation strategies for potential risk areas based upon extensive data analysis, reporting, and forecasting.

- b. *Assist District in establishing and maintaining financial processes.*

The requirements for financial management systems and reporting are found in 24 CFR Part 85.20 for governmental subrecipients. The purpose of these requirements is to ensure that a subrecipient receiving federal funds has a financial management system sufficient to:

- Provide effective control over and accountability for all funds, property, and other assets.
- Identify the source and application of funds for federally sponsored activities, including verification of the “reasonableness, allowability, and allocability” of costs and verification that

the funds have not been used in violation of any of the restrictions or prohibitions that apply to this Federal assistance.

- Permit the accurate, complete, and timely disclosure of financial results in accordance with the reporting requirements of the grantee or HUD.
- Minimize the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by the subrecipient.

Where District financial processes for CDBG-MIT funding are already in place, they will be reviewed for compliance in meeting the HUD CDBG-MIT and state requirements. Where such processes do not yet exist or are not sufficiently documented, assistance will be provided to the District to develop and/or documenting financial processes in program SOPs for financial management.

c. Obtain and maintain copies of the District's most current contract including all related change requests, revisions and attachments.

Upon contract award, Plexos staff will set up a project filing system based upon standardized HUD checklists for compliance and monitoring. Depending upon the resources available to the District, the filing system will be maintained in a paper and electronic format. In addition, Plexos will upload all project documentation into the TX GLO system of record in accordance with system requirements and the state's CDBG-MIT guidance. In addition to the current Subrecipient Agreement, all project start up documentation (also known as evidentiary materials (as listed in the *Post-Award Services* Section of the proposal) will be uploaded and maintained.

Contracts with all program/project contractors, change requests, amendments and documentation will also be maintained in an electronic and paper format unless otherwise directed by the District.

d. Establish and maintain record keeping systems.

Accurate record keeping is crucial to the successful management of CDBG-DR/CDBG-MIT funded activities. Insufficient documentation could lead to monitoring findings and repayment of funds. As such, Plexos will maintain all required documentation with a project or activity from application to close out in order for TX GLO, HUD, and/or HUD OIG to monitor the program in a sequential and logical format which accurately reflects program performance. In addition, Plexos will upload all required data and documentation into the GLO system of record in accordance with program guidelines within 24 hours of receipt or completion.

George Duffee-Braun, assigned Plexos Finance Manager, will ensure that all in 24 CFR Part 85.20 requirements are met in the following areas:

- internal controls,
- accounting records,
- allowable costs,
- source documentation,
- budget controls,
- cash management,
- financial reporting, and audits.

Upon contract award, Plexos will work with the District to establish a CDBG-MIT Records Management Policy and defined file management structure in order to ensure that:

- There is a clearly defined process for acquiring, organizing, storing, retrieving, and reporting information for all CDBG-MIT program activities;
- Records for products and/or services delivered will be maintained in accordance with contract provisions and GLO policy;
- Documentation and reporting systems will meet HUD and GLO requirements;
- All staff responsible for recordkeeping and reporting are properly trained and supported;
- The requirement for the removal of duplicative records to streamline the recordkeeping and reporting process is incorporated into all standardized procedures; and
- To the extent feasible, records and reports will be automated (i.e., computerized and/or electronically stored) to make recordkeeping processes more efficient and easily retrievable.

A sample File Management documentation list can be found on the following page.

Sample File Management Structure/Documentation List

Subrecipient Information

- Organizational chart;
- Final approved application for funding;
- Complete and signed Request for Federal Funding SF-424;
- Executed Subrecipient Agreement, amendments, revisions, and/or Technical Guidance Letters; and
- Program/Project Start Up or “Evidentiary Materials”.

General Administrative Records

- Personnel files, if applicable;
- GLO monitoring correspondence and responses;
- Pass-through entity agreements;
- Pass-through entity monitoring

Civil Rights, Fair Housing, EEO, Citizen Participation

- Citizen participation compliance documentation;
- Complaint policies and procedures;
- Fair Housing and Equal Opportunity records;
- Documentation of compliance with crosscutting requirements (e.g., Davis-Bacon, Uniform Relocation Act, and Lead-Based Paint);
- Limited English Proficiency documentation;
- Outreach performed to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible;
- Job Creation/Retention reports

Internal Financial Records

- Financial policies and procedures;
- Budget;
- Accounting journals, ledgers & chart of accounts;
- Financial Source documentation (purchase orders, invoices, canceled checks);
- Real property & equipment inventory documentation;
- Draw requests and backup documentation;
- Financial reports;
- Audit reports and documentation;
- Relevant financial correspondence

Environmental

- Complete Environmental review records to include:
 - Public notices/publisher’s affidavit;
 - Coordination letters for/from other agencies;
 - Public comments;
 - Request for Release of Funds and Certification form;
 - Authority to Use Grant Funds form;
 - Documentation of compliance with other applicable laws/authorities;
 - Flood plain maps as necessary;
 - Texas Historical Commission notification and response letters as appropriate;
 - Other documentation identified by HUD or GLO Environmental staff;

- Environmental re-evaluations (if necessary);
- If applicable; Environmental exemption form titled “Exemption Determination for Activities Listed at 24 CFR 58.34” along with required 58.6 Compliance Checklist

Procurement and Draw Requests

- Procurement policies and procedures;
- Procurement of professional services files (advertisements, proposals/qualifications, contracts, etc.);
- Procurement of construction files (advertisements, bids, scoring, contracts, etc.);
- Bid rejection documentation;
- Bank account records (including program income records, if applicable);
- Draw requests;
- Original invoices;
- Meeting Minutes for invoice payment approval;
- Copies of payments;
- Human Resources Employee Personnel Records;
- Timesheets;
- Benefit Rates for employees; and
- Payroll records and reports

Reporting and Recordkeeping

- Local policies and procedures;
- Project/activity status;
- Project/activity eligibility and national objective;
- Characteristics and location of the beneficiaries, including race and ethnicity of beneficiaries; and
- Compliance with special program requirements (e.g. environmental review records)

Documenting Relationship to the Disaster

- Damage or building estimates for physical losses;
- Post-disaster analyses or assessments for economic or non-physical losses;
- Insurance claims; and
- FEMA data

Documenting Duplication of Benefits

- Verification of sources of assistance;
 - FEMA award letter;
 - Insurance letter;
 - SBA assistance/declined loans;
 - Calculation of CDBG-DR award; and
 - Subrogation agreement (or similar agreement)
-

e. Assist District with resolving monitoring and audit findings.

Plexos' Subject Matter Experts, Lara Robertson and Richard Gray, have over 6 decades of combined experience with compliance and monitoring of CDBG and CDBG-DR programs at the state and local level with HUD, HUD OIG, GAO, OMB, and legislative auditors. Our unprecedented experience of designing compliant programs, implementation of proactive QA/QC processes, monitoring preparation, and response will assist the District to successfully navigate the requirements of the CDBG-MIT program and TX GLO subrecipient monitoring efforts as well as minimize, if not eliminate, monitoring concerns or findings with the District's CDBG-MIT projects.

SMEs Lara Robertson and Richard Gray have more than 6 decades of combined compliance and monitoring experience of CDBG and CDBG-DR programs at the state and local level, including with HUD, HUD OIG, GAO, OMB, and legislative auditors.

f. Serve as monitoring liaison.

Section e. above describes Plexos' monitoring and compliance capabilities. Both Lara Robertson and Richard Gray will serve as monitoring liaisons as required and directed by the San Leon MUD.

g. Assist District with resolving third party claims, if encountered.

Plexos' Subject Matter Experts, Lara Robertson and Richard Gray, will assist the District to resolve third-party claims if any arise from the implementation of CDBG-MIT programs/projects. As an expert in community development/redevelopment, Lara Robertson was engaged as an Expert Witness for the Cincinnati-Northern Kentucky International Airport for land acquisition cases involving the expansion of the airport. In this role, she was responsible for reviewing property claims, participating in depositions, and providing expert testimony during court proceedings. During her engagement, the airport board successfully resolved all court cases related to property acquisition and construction.

Easement and Land Acquisition SME

Lara has been engaged in successfully resolving many third-party claims:

- Expert Witness for the Cincinnati-Northern Kentucky International Airport land acquisition cases
- CDBG redevelopment projects involving the acquisition of real property, construction easements, and rights-of-way

In addition to her expert testimony, Lara managed several non-voluntary CDBG redevelopment projects which required the acquisition of real property, construction easements, and rights-of-way in order to complete infrastructure and housing projects. Her expertise enabled cities and counties to eliminate blighting conditions and increase community resiliency.

h. Report suspected fraud to the GLO.

During project start up activities, David Welker, will work with the District to develop or refine existing CDBG-MIT Anti-Fraud, Waste, and Abuse (AFWA) policies that are consistent with TX GLO AFWA policies and procedures. AFWA procedures usually include the process of assigning investigations, formats for investigative memos and referrals, reporting timelines, and requirements. Typical AFWA reporting formats include, but are not limited, to the following information:

- Date of the allegation or alleged incident
- Persons involved (individual reporting fraud, individual (s) or organization (s) accused of fraud, naming of other witnesses, etc.)
- Details of the allegation (project/program activity, type of alleged fraud, dollar amount involved, etc.)
- Date/Time period of the alleged fraud
- Location of the fraudulent activities

Mr. Welker's law enforcement and AFWA experience with HUD and FEMA housing programs, in addition to other public and private sector work, will be an asset to the District if issues arise during the implementation of CDBG-MIT programs. His specific expertise includes the establishment and operation of the anti-fraud group for the \$12 billion *Deepwater Horizon Economic and Property Settlement Program* and standing up the fraud team for the \$230 million *US Virgin Islands Emergency Home Repairs STEP program*. In his role he will work with the District and GLO-CDR staff to develop and review AFWA memos or reports as well as assist in their determination whether further investigation of an allegation is required, or additional corrective actions should be undertaken. In addition, he is available to work with the HUD Office of Inspector General (OIG) as necessary should referred cases require prosecution.

i. Submit timely responses to the GLO requests for additional information.

Plexos personnel assigned to the San Leon MUD CDBG-MIT program will acknowledge and/or respond to GLO requests for additional information within 24 hours of receiving an inquiry from the state. If

**David Welker,
Anti-Fraud, Waste,
and Abuse (AFWA)
SME**

- ☑ Established and operated the anti-fraud group for the **\$12 billion** *Deepwater Horizon Economic and Property Settlement Program*
- ☑ Stood up the fraud program for the **\$230 million USVI** *Emergency Home Repairs Program*

responses require additional time for the collection of data and/or documentation, our staff will notify the District and GLO regarding the need for more time and reason for the delay within this same time period. All inquiries or Requests for Information (RFIs) from GLO will be memorialized in an RFI log and tracked until final resolution of the issue. In addition, all written correspondence and documentation will be retained for tracking and record keeping purposes. Responses related to written complaints/grievances related to the District's CDBG-MIT programs will be monitored to ensure that the HUD 15-day response requirement is met.

j. Complete draw request forms and supporting documents.

Plexos' Financial Manager, George Duffee-Braun, has been responsible for the completion, submittal, and reconciliation of CDBG-DR draw requests totaling over \$9 billion of funding without any monitoring or audit findings. He will use this experience to assist the District in the development and implementation of financial policies and processes based upon Federal requirements, GLO policies and best practices utilized for disaster recovery programs similar in size. He will manage the draw request process and ensure that funds are expended and reconciled within federally prescribed timeframes.

k. Facilitate outreach efforts, application intake, and eligibility review.

In conjunction with the District, the Plexos Team will conduct all outreach efforts, posting of public notices and hearings as they related to the development of the San Leon CDBG-MIT applications. Eligibility reviews will be conducted prior to finalizing the District's project list for funding.

l. Perform any other administrative duty required to deliver the project.

Plexos personnel assigned to the San Leon MUD can and have performed the full array of CDBG grant management functions from project application to close out. As part of this engagement, our staff can provide these services and/or assist the District to build local capacity to successfully perform all or a portion of Grant Management Services for the CBDG-MIT Program/Project (s).

In addition to the grant management services covered in this proposal (Administration, Project Development/Engineering, Environmental, Construction Management, Infrastructure and Anti-Fraud), additional services that Plexos can provide include, but are not limited to, the following:

- Development of Action Plans and Action Plan Amendments;
- Identification and submittal of HUD program waivers in order to streamline local recovery processes and/or expand program eligibility;
- Identification of supplemental funding sources to leverage CDBG allocations and use of CDBG as FEMA Match;

- Implementation of Duplication of Benefit (DOB) procedures and analysis in compliance with the Stafford Act;
- Management of Environmental Remediation Processes;
- Uniform Relocation Assistance and Real Property Acquisition Act (URA) Policies and Procedures;
- Buyout and Acquisition Policies and Procedures;
- Case Management;
- Fair Housing and EEO Compliance;
- Information Technology, Data Management, and Reporting;
- Change Management Controls and Processes, and
- Procurement and Contract Support.

General grants management services also include HUD CDBG-DR/CDBG-MIT training for District and departmental staff as required and requested by the District.

m. Utilize and assist with GLO's system of record to complete milestones, submit documentation, reports, draws, change requests, etc.

See Section B. (3) General Administrative Services of this proposal. All Plexos staff will receive training on the use of GLO's system of record (TIGR) in order to effectively perform job functions to include the completion of program milestones, submittal of documentation, draw requests, change orders, etc. In addition, our staff will work with the District to identify and provide feedback to GLO regarding existing IT business processes and any new system requirements needed to accommodate CDBG-MIT process flows and procedures.

n. Submit change requests and all required documentation related to any change requests.

See Section B. 7 (j) General Administrative Services of this proposal regarding Plexos' approach to reviewing and processing change order requests.

We know Acquisition and URA...

Plexos SME Lara Robertson has developed policies for North Carolina, New York, and the City of Columbia:

- NCORRs Buyout and Acquisition Manual**
- NCORR's URA and Optional Relocation Policies and Procedures**
- GOSRs URA Anti-Displacement Plan and URA SOP**
- Updates to City of Columbia's URA Policies and Procedures**
- No URA findings from HUD after review and recommendations to GOSRs URA policies and procedures**

2. Acquisition Duties

a. Submit acquisition reports and related documents.

CDBG-DR/MIT funded projects are subject to both the acquisition and relocation requirements of the *Uniform Relocation Assistance and Real Property Acquisition Policies Act* of 1970, 42 U.S.C. § 4601 et seq. (“URA”), and the federal regulations found in 49 C.F.R. Part 24 (See also Section 104(d) of the Housing and Community Development Act of 1974 and implementing rules at 24 CFR Part 42 regarding relocation assistance policies for HUD funded programs). The purpose of these requirements is to provide for uniform and equitable treatment of persons displaced from their homes, businesses or farms as a result of acquisition, rehabilitation, or demolition of real property for any phase of a Federal or federally funded project. The URA also establishes equitable land acquisition policies.

TX GLO requires all Subrecipients choosing to administer a Buyout or Acquisition program to create Program Guidelines using the GLO-CDR's Buyout and Acquisition Guidelines Checklist and submit them for GLO-CDR approval. Once the guidelines are complete, GLO requires that the guidelines be made available locally for a thirty-day comment period.

Plexos will assist the District to meet TX GLO Buyout and/or Acquisition requirements, should the District decide to pursue the use of CDBG-MIT funding for these purposes.

b. Establish acquisition files (if necessary).

As necessary, San Leon MUD acquisition files will be established and maintained in accordance with the GLO and HUD checklists. Files will be organized in a logical and sequential order to facilitate ease of use during program operations and subrecipient monitoring by GLO and HUD. In general, acquisition files typically include the following documentation:

- URA Notifications
- Title Search, Clearance, and Policy (including property deed)
- Primary and Secondary Appraisals
- Duplication of Benefits documentation and analysis
- Written Statement of Just Compensation
- Written Offer to Purchase
- Tier II environmental review (prior to transfer)
- Contract of Sale
- HUD-1 Settlement Statement and other closing documentation
- Receipt of purchase price, list of disbursements, copies of cancelled checks
- Recordation of Deed
- Open/Greenspace Covenants, if applicable.
- Correspondence Log

c. Complete acquisition activities (if necessary).

Although an acquisition program may not currently be contemplated by the District, Lara Robertson, Project Manager, can provide the District with valuable experience in advancing buyout and acquisition activities if the District's CDBG-MIT priorities or projects require these activities for construction easements, Rights-of-Way, etc. She has 23 years of experience in designing, managing, and executing both voluntary and non-voluntary acquisition and redevelopment projects in compliance with requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act.

In addition, Lara was instrumental in the launch and monitoring of the Road Home Corporation, which eventually became the **Louisiana Land Trust (LLT)**, the entity responsible for the receipt, maintenance, and disposition of almost **11,000 properties** damaged as a result of Hurricanes Katrina and Rita. Lara also conducted on-going state monitoring of a large CDBG-DR buyout project in New Orleans which involved the non-voluntary acquisition and relocation of approximately **240 households** purchased for the construction of the **VA Medical Hospital in New Orleans, LA**. Her vast experience gives her stakeholder insight and the ability to effectively manage these types of programs.

If undertaken, all acquisition activities utilizing CDBG-MIT funds will be completed in compliance with requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA), approved CDBG-MIT Action Plan, and TX GLO Acquisition Requirements. Prior to initiating program activities, Plexos will:

- Review existing or develop new Acquisition Policies and Procedures to include all required URA notifications, forms, and file checklists. Obtain approval from the District and GLO as required and necessary;
- Assist the District to obtain appraisal and legal services, if not already procured.
- Develop a QA/QC Plan and checklists for the acquisition program.
- Train assigned staff regarding program policies, process, and required documentation.

Unless otherwise instructed by the District, the CDBG-MIT acquisition program will mirror GLO's current process flow as shown in **Figure 5**. In addition, all required URA notices will be provided as required as shown in **Figure 6**. Figures 5 and 6 are on the following pages.

Figure 5. This diagram reflects the process illustrated by the TX GLO for buyouts and acquisitions.

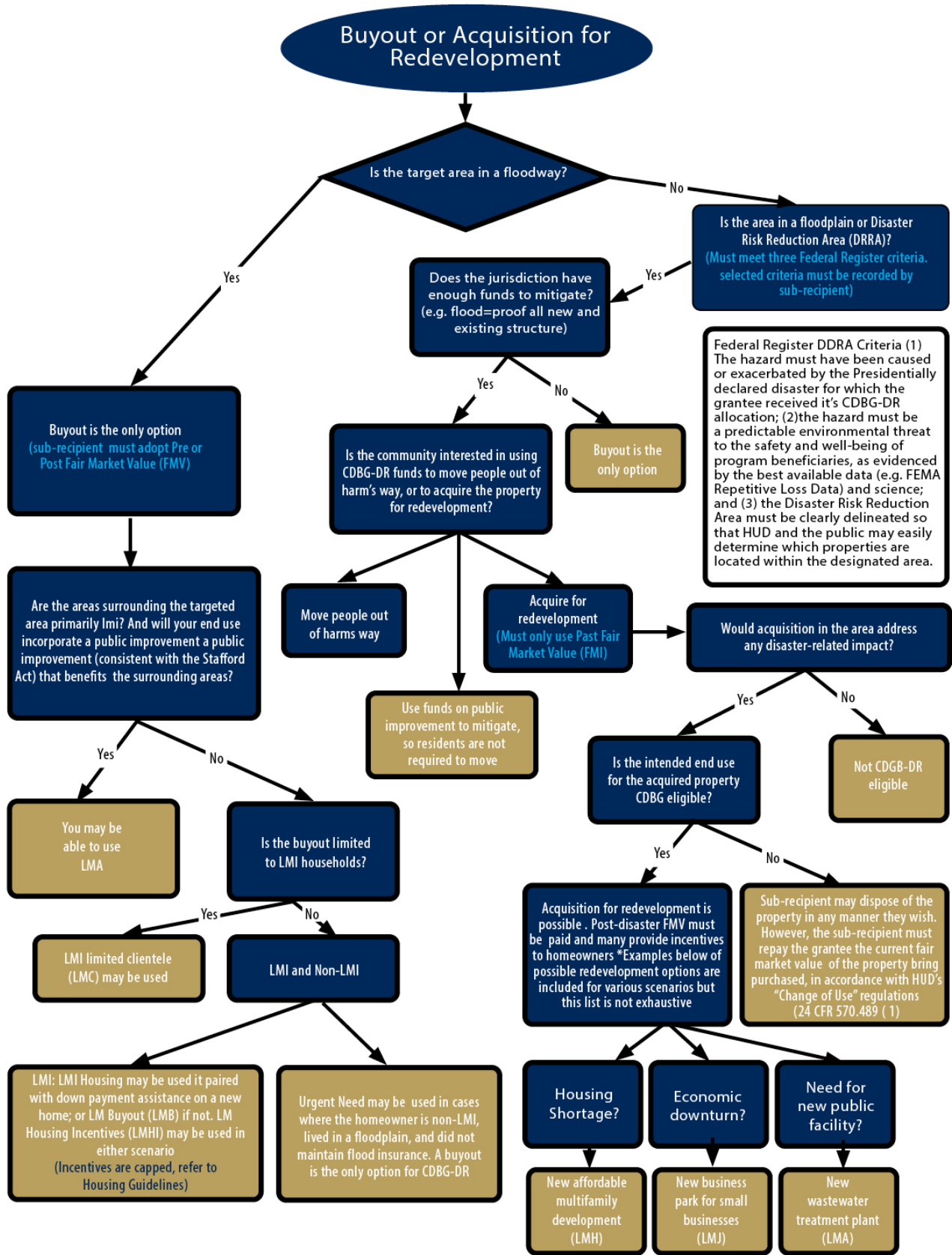
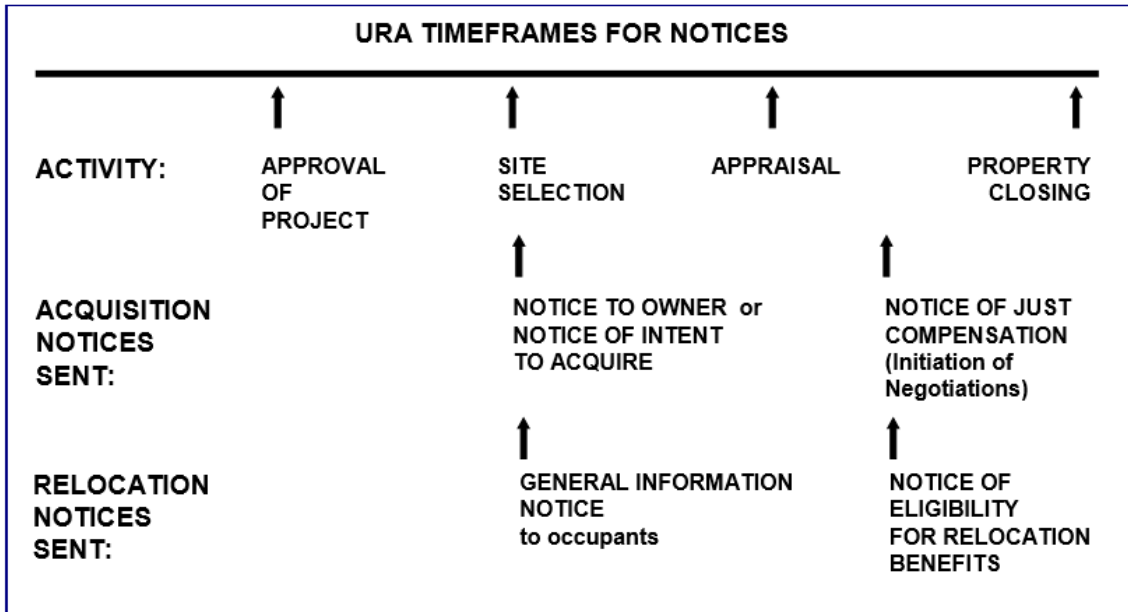


Figure 6. HUD URA Notification Timeline



3. Environmental Services

a. Assist detailed scope of services

In order to administer HUD funded CDBG projects (to include CDBG-DR AND CDBG-MIT projects), subrecipients are typically designated as the Responsible Entity (RE) making them accountable for meeting environmental review requirements as outlined in 24 CFR Part 58. In addition, the subrecipient is responsible for having their Certifying Officer sign the environmental review indicating: 1) whether the project has a significant impact on the environment; and 2) that the environmental review was completed in accordance with 24 CFR Part 58 requirements. As part of this responsibility, subrecipients are also subject to monitoring by GLO to ensure compliance with these requirements.

In order to meet these requirements for all CDBG-MIT projects, Plexos has assigned Tina Hauk as the person responsible for assisting the District to ensure that all project scoping sufficiently details project activities prior to application to GLO as well as completing the environmental reviews for all District funded projects. She has 17 years of environmental review experience and specializes in HUD Environmental Reviews (Part 50 and 58). Mrs. Hauk spent 12 years working on Hurricanes Katrina, Rita, Gustav, Ike, Isaac and the Great Flood of 2016 in Louisiana. She has 39 technical publications (including 20 Environmental Assessments and Environmental Impact Statements), as either the author, co-author or contributor, to her credit. In addition, Mrs. Hauk is a trained Anthropologist with a focus in Archaeology specializing in historic architecture and debris field patterns. Other areas of her expertise include writing HUD Action Plans and amendments, Consolidated Plans for HUD and Consolidated Annual Performance Evaluation Reports (CAPER) and CDBG-DR compliance reviews.

Using 24 CFR Part 58, related laws and executive orders, each project will be evaluated for the correct level of environmental review and the file documented with all supporting information needed to complete the environmental review process and validate environmental review determinations for the District's Certifying Officer and GLO monitoring staff.

**Tina Hauk,
Environmental
Subject Matter Expert**

- 17 years of environmental review experience**
- Specializes in HUD Environmental Reviews (Part 50 and 58)**
- 12 years working on Hurricanes Katrina, Rita, Gustav, Ike, Isaac and Great Flood of 2016**
- A Secretary of Interior (SOI) qualified historian with a long list of publications and projects as an archaeologist**

The environmental review process, includes but is not limited to, the following:

- Completing appropriate certifications;
- Conducting any special studies needed for the appropriate level of review;
- Publishing required notices and addressing public comments;
- Establishing a HUD compliant environmental file documenting all consultations and other supporting records for review by the District, GLO monitoring, and the public; and
- Ensuring that the environmental reviews with supporting documentation are easily accessible and organized in a logical and sequential manner.

All environmental reviews and documentation follow HUD checklists and will be uploaded to GLO's system of record as required. The environmental process to be followed is shown in **Figure 7** as shown in the *TX GLO Implementation Manual*. Figure 7 is included on the following page.

Environmental Review Process (To Be Conducted by Responsible Entity)

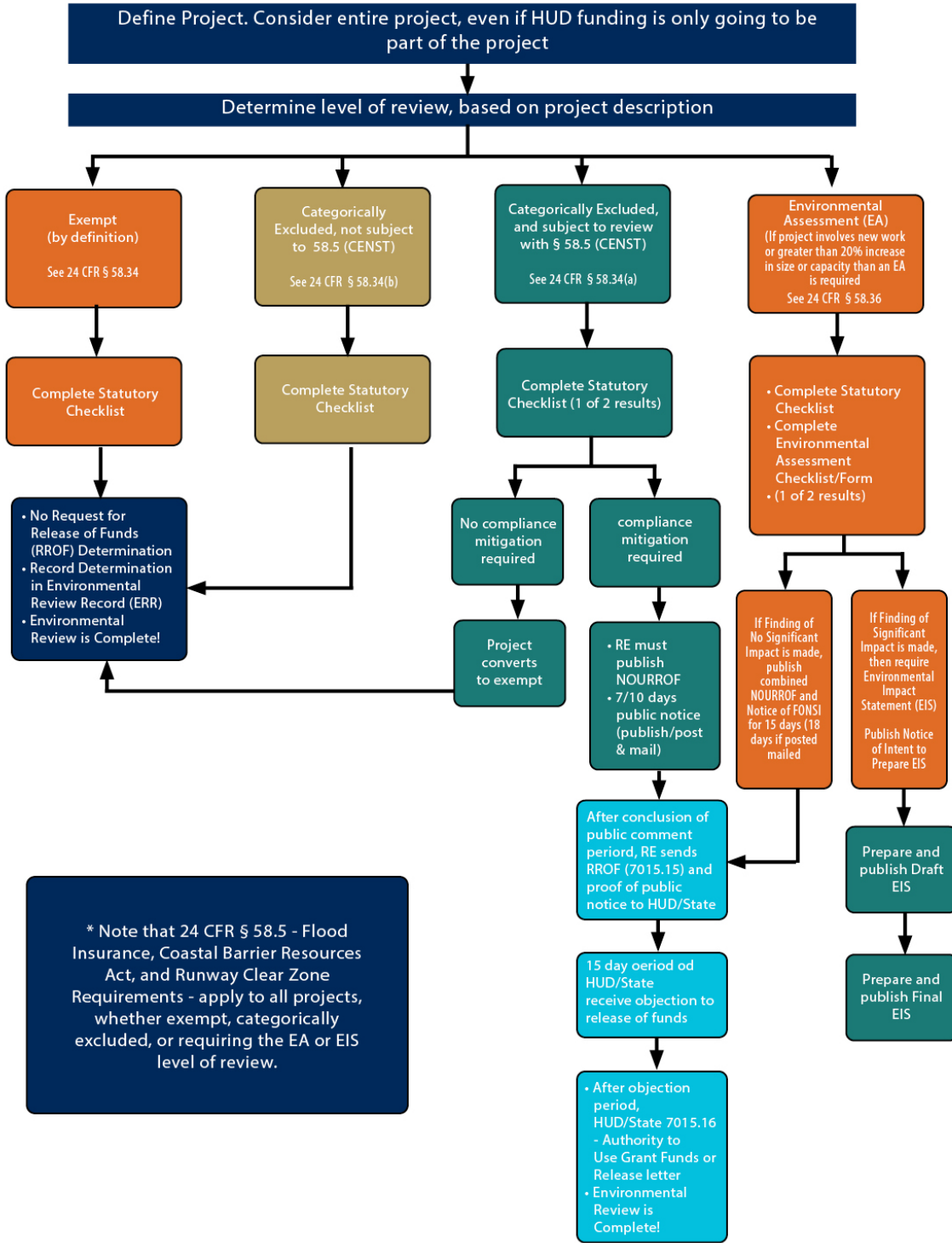


Figure 7. Environmental Review Process as shown in the TX GLO Implementation Manual

- a. Review each project description to ascertain and/or verify the level of environmental review required: Exempt, Categorical Exclusion not subject to 58.5, Categorical Exclusion Subject to 58.5, Environmental Assessment, and Environmental Impact Statements;*

The Plexos Team's understanding of environmental issues and 24 CFR Parts 51, 55, and 58 is illustrated by Tina Hauk's vast experience and current engagements in clearing various CDBG projects over the last 12 years. As required, clearances for each activity will be categorized as one of the following:

- Exempt
- A Certification of Categorical Exclusion not subject to 24 CFR 58.5 (CENST)
- A Certification of Categorical Exclusion subject to 24 CFR 58.5 (CEST) or
- An Environmental Assessment
- An Environmental Impact Assessment

If buyout/acquisition activities are undertaken with CDBG-MIT funds, the clearances will be conducted on a "tiered" basis per 24 CFR Part 58.15 in which a "Tier 1" may be done on a geographic (e.g., by county or watershed) or functional basis where the various types of actions are known and described in an Action Plan but specific locations of the activities (i.e., specific homes) are not yet known. The Tier 1 essentially will either "clear" those issues that will not require further review on individual units or will outline conditions wherein further consultation may be needed and will provide for a set of issues that must be checked during the individual (site-specific) review process for each home, referred to as the "Tier 2 review". Depending upon the projects that are selected by the District for CDBG-MIT, the Plexos Team will complete the appropriate review in accordance with 24 Part 58 requirements.

- b. Prepare, complete and submit HUD required forms for environmental review and provide all documentation to support environmental findings;*

See response to Section 3. (a) and (a) Environmental Services above. In accordance with the HUD approved environmental review checklists, Plexos will ensure that the District meets all environmental review requirements by responding to each element in the checklists and attaching supporting documentation from verifiable sources, including state and federal agency consultations, which will be included in the Environmental Review Record, District environmental files, as well as GLO system of record.

- c. Consult and coordinate with oversight/regulatory agencies to facilitate environmental clearance;*

See above response. The Plexos team is very knowledgeable with the required consultations, along with verifiable documentation, that is required to complete an Environmental Assessment (EA), Environmental Impact Statement (EIS), as well as some Categorical Exclusions subject to 24 CFR Part 58.5. Some of these consultations include, but are not limited to, State Historic Preservation Officer (SHPO), Corps of Engineers (COE), Texas Parks and Wildlife Department, and any federally recognized tribal entities with interest within the boundaries of the project, etc. The team also has experience

responding to data needs or requests for additional details by agencies such as the Texas Historical Commission or Tribal Historical Preservation Officers beyond the initial consultation wherein such agencies are requested to review project eligibility, adverse effects, or other objections under Section 106 of the National Historic Preservation Act (NHPA).

- d. Be able to perform or contract special studies, additional assessments, or permitting to secure environmental clearance. These may include, but are not limited to biological assessments, wetland delineations, asbestos surveys, lead-based paint assessments, archeology studies, architectural reviews, Phase I & II ESAs, USACE permits, etc.;*

The Plexos Team will provide special studies, additional assessments, or permitting to secure environmental clearance. As the environmental services lead, it should be noted that Mrs. Hauk is a Secretary of Interior (SOI) qualified historian with a long list of publications and projects as an archaeologist.

In addition, it should be noted that all work subcontracted out for this contract will meet the Secretary of Interior (SOI) requirements in addition to all those required by best practices within each specialized field and the client according to the contract. Qualifications of assigned personnel to perform specialized studies or assessments will be provided to the District, retained in the District's environmental file for each project, and uploaded to the GLO system of record as required.

- e. Prepare all responses to comments received during comment phase of the environmental review, including State/Federal Agency requiring further studies and/or comments from public or private entities during public comment period;*

A list of consulting parties, written comments and responses, as well as corresponding documentation will be kept as part of the Environmental Review Record as required by HUD for each project. In addition, all documentation will be uploaded to the GLO system of record.

- f. Maintain close coordination with local officials, project engineer and other members of the project team to assure appropriate level of environmental review is performed and no work is conducted without authorization;*

Proactive communication and coordination with local officials, engineers, and other member of the project team is critical to the successful completion of any HUD-funded project. In addition to the synchronization of environmental work and permitting, status reports will be provided to District leadership and project team members on a monthly basis. Reports will include project status information, projected timelines for completion of environmental work, impact of any delays, and recommended solutions to any obstacles that may be preventing a project from moving forward.

- g. Complete and submit the environmental review into GLO's system of record;*

As previously referenced, all required environmental data, reports, and documentation will be entered into and/or uploaded into GLO's system of record. In addition, the ERR and documentation will be

retained in the District's files so that this information is accessible by District personnel, HUD and GLO monitoring staff, and general public as required.

h. At least one site visit to project location and completion of a field observation report

At a minimum, one on-site visit will be conducted for all proposed and approved CDBG-MIT projects with field notes, observation and/or inspection reports (to include photographs, maps, etc.) being retained in the District's files and uploaded to the GLO's system of record. Additional site visits will be conducted as necessary to ensure that all project activities are being permitted and conducted in accordance with the completed environmental review, permitting requirements, and prescribed Section 106 standard treatments, if any.

i. Prepare and submit for publication all public notices including, but not limited to the Notice of Finding of No Significant Impact (FONSI), Request for Release of Funds floodplain/wetland early and final notices in required order and sequence;

Plexos will publish and distribute all required environmental notifications in compliance with HUD requirements. Deliverables include all proofs of publication as required under the "5-step" or "8-step" process (early floodplain notices and final explanations) and the final decisions and certification (a combined "Finding of No Significant Impact (FONSI) and Certification, and Notice of Intent to Request Release of Funds (NOI RROF), or only the latter if an environmental assessment is not required.

The NOI/RROF informs the public that the grantee/subrecipient will accept written comments on the findings of its Environmental Review Record (ERR) and of the grantee's/subrecipient's intention to request release of funds from the state. At least 7 calendar days after the date of publication must be allowed for public comment. The notice also says that the state will receive objections for at least 15 calendar days following receipt of the subrecipient's request for release of funds. As part of this process, Plexos will ensure that:

- All required environmental notices will be published in a local newspaper of general circulation;
- The full "tear sheet" showing the newspaper header to include the date of publication will be retained in the District's environmental file. NOTE: If required, an "Affidavit of Publication" will be obtained from the newspaper evidencing the required notification;
- Copies of the notice (NOI/RROF) are sent to interested parties (i.e., persons and entities that have commented on the environmental process or that have requested to be notified of environmental activities). A distribution list and date of distribution will be maintained in the District's environmental file and uploaded to GLO's system of record.; and
- Preparation and submittal of the actual RROF once the public comment period has elapsed.

j. Provide documentation of clearance for Parties Known to be Interested as required by 24 CFR 58.43, if applicable;

In accordance with 24 CFR 58.43 and as stated above in Section i., Plexos will prepare a FONSI using the current HUD recommended or equivalent format. As part of this process, Plexos will assist the San Leon MUD to notify individuals and groups known to be interested in the environmental review process to include the following:

- Local media;
- Appropriate tribal, local, state and federal agencies; and
- Regional Offices of the Environmental Protection Agency (EPA) having jurisdiction; and
- HUD Field Office.

This notice will also be published in the local newspaper of general circulation. In addition, the distribution list for the notification of interested parties and date of distribution will be retained in the District’s environmental files (and uploaded into the GLO system of record). All received comments and/or requested modifications will be considered prior to the District’s Certifying Officer completing the environmental certification process and submitting the RROF.

k. Process environmental review and clearance in accordance with NEPA, as applicable;

See Section 3. (a) Environmental Services, and GLO process flow shown in **Figure 7** outlining the scope of work to meet National Environmental Policy Act (NEPA) requirements. Plexos will complete all environmental reviews and processes in accordance with NEPA as implemented by HUD and codified in 24 CFR Part 58.

l. Advise and complete environmental re-evaluations per 24 CFR 58.47 when evidence of further clearance or assessment is required;

Due to the evolutionary nature of disaster recovery programs/projects, changes to a CDBG-MIT project may occur after completion of the ERR. In these cases, any such changes in magnitude or scope of the project must be re-evaluated under 24 CFR Part 58.47 in order to ensure that the ERR

Groups known to be interested in the environmental review process include:

- Local media
- Appropriate tribal, local, state and federal agencies
- Regional offices of the Environmental Protection Agency (EPA)
- HUD Field Office

**Tina Hauk,
Environmental SME**

As a State Environmental Review Office, Tina reviewed all environmental review special studies documents for submission to State of Colorado for clearance and release of funds. Additionally, she routinely reviewed Phase I and Phase II site assessments for compliance with federal and state requirements.

matches the approved project to be constructed or implemented. Once identified, Plexos will work with the District to re-evaluate the environmental findings to determine if the original findings are still valid if the following occurs:

- The District, or known/interested party, proposes a substantial change in the nature, magnitude or extent of the project, including adding new activities not anticipated in the original scope of the project; and/or
- There are new circumstances and environmental conditions which may affect the project or have a bearing on its impact; and/or
- A project alternative is selected that was not included in the original FONSI.
- Upon review, Plexos will advise the District if the original findings are still valid or not. If the original findings are still valid but the data or conditions upon which they were based have changed, Plexos will assist the District to affirm the original findings and update its ERR by including this re-evaluation and determination based on applicable findings. Under these circumstances, if a FONSI notice has already been published, no further publication of a FONSI notice is required. If Plexos, in conjunction with the District determines that the original findings are no longer valid, Plexos will assist the District to prepare an EA or an EIS if its re-evaluation indicates potentially significant impacts.

m. Prepare and submit Monthly Status Report; and

At a minimum, environmental status reports will be provided to District leadership and project team members on a monthly basis in a format to be reviewed and approved by the District. Reports will include project status information, projected timelines for completion of environmental work, impact of any delays, and recommended solutions to eliminate obstacles preventing a project from moving forward.

n. Participate in regularly scheduled progress meetings.

The Plexos environmental team will participate in regularly scheduled progress meetings as well as provide monthly status reports as outlined in *Section B. (4) Grant Administration Services-General*.

COST OF SERVICES - INFRASTRUCTURE

Please indicate No Cost Proposal if your firm is not proposing for the services specified on this Cost of Services page.

Maximum amount of grant funds firm is able and/or willing to manage: \$ Not Applicable

MIT

Potential Grant Award Amt.	Cost of Services	Notes:
Up to \$1 million	\$82,270.00	N/A
\$5 million	\$350,000.00	N/A
\$10 million	\$596,880.00	N/A
\$50 million	\$2,498,020.00	N/A
\$100 million	\$4,916,386.00	N/A
\$250 million and above	\$4,916,386.00	N/A

CERTIFICATION REGARDING LOBBYING
(To be submitted with each bid or offer exceeding \$100,000)

The undersigned certifies, to the best of his or her knowledge and belief, that:

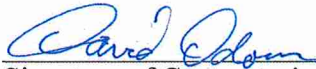
(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(c) The undersigned shall require that the language paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all County s shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995).

The Contractor, Plexos Group, L.L.C., certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. § 3801 et seq., apply to this certification and disclosure, if any.



Signature of Contractor's Authorized Official


David F. Odom, President and CEO

Printed Name and Title of Contractor's Authorized Official

Date: 06/25/2020

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

Type of Federal Action: <u>A.</u> a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	Status of Federal Action: <u>A.</u> a. bid/offer/application b. initial award c. post-award	Report Type: <u>A.</u> a. initial filing b. material change
Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if Known: Plexos Group, L.L.C. 1800 City Farm Drive Building Four, Suite B Baton Rouge, LA 70806 Congressional District, if known:		If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: N/A Congressional District, if known:
Federal Department/Agency: U.S. Department of Housing and Urban Development, CDBG Program		7. Federal Program Name/Description: N/A CFDA Number, if applicable: _____
Federal Action Number, if known: RFP-20201-CDBG-MIT		9. Award Amount, if known: \$ N/A
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): N/A	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature:  Print Name: <u>David F. Odom</u> Title: <u>President and CEO</u> Telephone No.: <u>225-757-5344</u> Date: _____
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

SAM Search Results
List of records matching your search for :

Search Term : Plexos Group, LLC*
Record Status: Active

ENTITY Plexos Group, LLC	Status: Active
DUNS: 079421159 +4:	CAGE Code: 7FZ76 DoDAAC:
Expiration Date: 02/25/2021	Has Active Exclusion?: No Debt Subject to Offset?: No
Address: 1800 City Farm Dr, Bldg 4 Ste B	
City: Baton Rouge	State/Province: LOUISIANA
ZIP Code: 70806-7500	Country: UNITED STATES

SAM Search Results
List of records matching your search for :

Search Term : David F. Odom*
Record Status: Active

No Search Results

SAM Search Results
List of records matching your search for :

Search Term : Kirk Fisher*
Record Status: Active

No Search Results

SAM Search Results
List of records matching your search for :

Search Term : Paul Rainwater*
Record Status: Active

No Search Results

SAM Search Results
List of records matching your search for :

Search Term : Leo James Odom*
Record Status: Active

No Search Results

STATE OF ~~TEXAS~~ LOUISIANA
~~COUNTY~~ OF EAST BATON ROUGE
PARISH

§
§
§

AFFIDAVIT

BEFORE ME, the undersigned authority, on this day personally appeared David F. Odom known to me to be the person whose name is subscribed to the following, who, upon oaths says:

"I am the Manager, Secretary, or other Agent or Officer or the Principal of the Proposer in the matter of the proposal to which this affidavit is attached, and I have full knowledge of the relations of the Proposer with the other firms in this same line of business, and the Proposer is not a member of any trust, pool or combination to control the price of the services in this proposal, or to influence any person to submit a proposal or not to submit a proposal thereon.

I further affirm that the Proposer has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with the submitted proposal."

AFFIANT FURTHER SAYETH NAUGHT



AFFIANT

SWORN TO AND SUBSCRIBED BEFORE ME by the above Affiant, who, on oath, states that the facts contained in the above are true and correct, this 25th day of June, 2020.



NOTARY PUBLIC - STATE OF ~~TEXAS~~

Proposer: X Signed By: David F. Odom
Title: President and CEO
Address: _____ Phone: 1800 City Farm Drive, Building Four, Suite B
Baton Rouge, LA 70806
_____ Fax: Phone: 225-757-5344
_____ Email: Fax: 225-407-4742
Email: david.odom@plexosgroup.com

LOUISIANA
Lyn S. Savoie
La. Bar Roll No. 28754
My commission expires at death.

NOTE: PROPOSALS NOT ACCOMPANIED BY THIS AFFIDAVIT WILL NOT BE CONSIDERED

San Leon MUD is an Affirmative Action/Equal Opportunity Employer. The District does not discriminate on the basis of race, color, national origin, sex, sexual orientation, gender identity, religion, age or handicapped status in employment or the provision of services. Section 3 Residents, Minority Business Enterprises, Small Business Enterprises, Women Business Enterprises, and labor surplus area firms are encouraged to submit proposals

CERTIFICATE OF INTERESTED PARTIES

FORM 1295

1 of 1

Complete Nos. 1 - 4 and 6 if there are interested parties.
 Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.

**OFFICE USE ONLY
 CERTIFICATION OF FILING**

1 Name of business entity filing form, and the city, state and country of the business entity's place of business.
 Plexos Group, L.L.C.
 Baton Rouge, LA United States

Certificate Number:
 2020-638462

Date Filed:
 06/30/2020

Date Acknowledged:

2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.
 San Leon Municipal Utility District

3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.
 RFP-20201-CDBG-MIT
 Professional Consulting Services

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary

5 Check only if there is NO Interested Party.

6 UNSWORN DECLARATION

My name is _____, and my date of birth is _____.

My address is _____, _____, _____, _____, _____.
(street) (city) (state) (zip code) (country)

I declare under penalty of perjury that the foregoing is true and correct.

Executed in _____ County, State of _____, on the _____ day of _____, 20____.
(month) (year)

 Signature of authorized agent of contracting business entity
 (Declarant)

CONFLICT OF INTEREST QUESTIONNAIRE
Form CIQ

CONFLICT OF INTEREST QUESTIONNAIRE		FORM CIQ
For vendor doing business with local governmental entity		
<p><small>This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session. This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a). By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code. A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.</small></p>	OFFICE USE ONLY	
<p>1 Name of vendor who has a business relationship with local governmental entity. Plexos Group, L.L.C.</p>	Date Received 	
<p>2 <input type="checkbox"/> Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)</p>		
<p>3 Name of local government officer about whom the information is being disclosed. Not Applicable _____ Name of Officer</p>		
<p>4 Describe each employment or other business relationship with the local government officer, or a family member of the officer, as described by Section 176.003(a)(2)(A). Also describe any family relationship with the local government officer. Complete subparts A and B for each employment or business relationship described. Attach additional pages to this Form CIQ as necessary.</p> <p align="center">Not Applicable</p> <p>A. Is the local government officer or a family member of the officer receiving or likely to receive taxable income, other than investment income, from the vendor? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer or a family member of the officer AND the taxable income is not received from the local governmental entity? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>		
<p>5 Describe each employment or business relationship that the vendor named in Section 1 maintains with a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more.</p> <p align="center">Not Applicable</p>		
<p>6 <input type="checkbox"/> Check this box if the vendor has given the local government officer or a family member of the officer one or more gifts as described in Section 176.003(a)(2)(B), excluding gifts described in Section 176.003(a-1). Not Applicable</p>		
<p>7 _____ David F. Odom 06/25/2020 Signature of vendor doing business with the governmental entity Date</p>		

Request for Taxpayer Identification Number and Certification

Give Form to the
 requester. Do not
 send to the IRS.

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

Print or type. See Specific Instructions on page 3.	<p>1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. Plexos Group, L.L.C.</p> <p>2 Business name/disregarded entity name, if different from above n/a</p> <p>3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.</p> <p><input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate</p> <p><input checked="" type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ <u>S</u></p> <p><small>Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</small></p> <p><input type="checkbox"/> Other (see instructions) ▶</p>	<p>4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>Preparer to account and/or other available in U.S.</small></p>
	<p>5 Address number, street, and apt. or suite no. See instructions. <i>Request Address</i> 1800 City Farm Drive, Building Four, Suite B</p> <p>6 City, state, and ZIP code Baton Rouge, LA 70806</p> <p>7 List account number(s) here (optional)</p>	<p>Requester's name and address (optional)</p>

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number								
or								
Employer identification number								
4	5	-	5	0	4	0	7	9

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ▶	Name ▶ David F. Odom	Date ▶ 06/25/2020
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1099-I (income mortgage interest), 1099-E (student loan interest), 1099-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.