

ARPA COMPLIANCE MONITORING AND CAPACITY BUILDING

SONOMA COUNTY, CALIFORNIA

Date: October 6, 2022 2:00pm

A. PROPOSAL COVER SHEET AND CHECKLIST (FORM A)

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Proposal Form A

Sonoma County Human Services Department
ARPA Monitoring Services
Request for Proposals

PROPOSAL COVER SHEET AND CHECKLIST (PAGE 1 OF 2)

Agency or Individual's Legal Name:

Witt O'Brien's, LLC

Mailing Address:

818 Town & Country Blvd, Suite 200
Houston TX 77024

State Employer Tax #:

27-2783923

Agency Unique Entity Identifier (UEI) (Formally Agency DUNS #)

962763277

Executive Director Name, Phone Number, and Email Address:

Matt Hanson, 602 377 7960, mhanson@wittobriens.com

Program Contact Name, Phone Number, and Email Address:

Matt Hanson, 602 377 7960, mhanson@wittobriens.com

Fiscal Contact Name, Phone Number, and Email Address:

Organization Type:

- ☐ Private Not-For-Profit
☒ Private For-Profit
☐ Public Non-Profit

Certification

To the best of my knowledge and belief, all information in this proposal is true and correct. The document has been duly authorized by the Governing body of the Proposer and the Proposer will comply with all of the requirements of the RFP if an agreement is awarded.

Cheryl Joiner

Typed Name of Authorized Representative

Cheryl Joiner

Signature

Director, Contracts & Compliance

Title

10/5/2022

Date

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Proposal Form A

Sonoma County Human Services Department
ARPA Monitoring Services
Request for Proposals

PROPOSAL COVER SHEET AND CHECKLIST (PAGE 2 OF 2)

All items must be included in response to the Request for Proposals in order to meet minimum qualifications unless otherwise noted. Please organize proposal materials in the order listed below.

- | | |
|--|-------------------------------------|
| A. Proposal Form A: Proposal Cover Sheet and Checklist (these 2 pages) | <input checked="" type="checkbox"/> |
| B. Table of Contents | <input checked="" type="checkbox"/> |
| C. Proposal Narrative (10-page limit) | <input checked="" type="checkbox"/> |
| D. Scope of Work and Costs | <input checked="" type="checkbox"/> |
| E. Proposal Form B: Attestation Regarding County Contract | <input checked="" type="checkbox"/> |
| F. Proposal Form C: Living Wage Ordinance Solicitation Form | <input checked="" type="checkbox"/> |
| G. Signed Addenda Cover Sheet(s) | <input checked="" type="checkbox"/> |
| H. Miscellaneous Attachments(s), limited to 5 pages
excluding Letters of Intent | <input checked="" type="checkbox"/> |

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COVER LETTER

October 6, 2022

Amanda Gayda
Program Planning & Evaluation Analyst
Sonoma County Human Services | Contracts & Procurement
575 Administration Drive, #116b
Santa Rosa, CA 95403

RE: ARPA Compliance Monitoring and Capacity Building

Dear Amanda Gayda and the Selection Committee:

Sonoma County (the County) is the recipient of federal funds to include monies available under the \$1.9 trillion American Rescue Plan Act 2021 (ARPA). Witt O'Brien's, LLC has the experience and skills capable of ensuring the County meets all relevant compliance requirements and reporting metrics established by the U.S. Department of Treasury (Treasury) and collects appropriate recipient/subrecipient data for the duration of its ARPA program projects.

While the proliferation of vaccinations has enabled the reopening of local economies nationwide, the financial impact of the COVID-19 pandemic continues to plague households, businesses, schools, and healthcare providers, among many others, as they seek to recover from the crisis. The ARPA federal assistance provides a historic opportunity to dedicate needed funds to both immediate recovery programs as well as other critical areas including long-term resiliency, enhancing investments in infrastructure, workforce development, housing, economic diversification, and broadband expansion.

Witt O'Brien's is a global leader in crisis and emergency management and brings more than two decades of experience navigating complex federal assistance programs on behalf of hundreds of state, local, and private-sector organizations, nationwide. To date, we have helped clients maximize the use of more than \$50 billion in federal funds.

When you partner with Witt O'Brien's, you receive:

- ***Demonstrated program and grants management expertise.*** Today, we are actively assisting more than 100 state, local, and territorial governments to manage and administer more than \$15 billion in federal funding. Our services cover the entire lifecycle of grants management—from policy advisory services through grants application, administration, and closeout. We maintain a dedicated policy team that tracks federal initiatives and notices of funding opportunities, so ***we can advise our clients of key funding opportunities based on their funding needs and priorities.***
- ***Perspective from across the funding cycle.*** Our world-class team of experts includes former local and city administrators and program managers with first-hand

experience on the frontlines of grants management, providing oversight of matrixed organizations including subrecipients and contractors. We also have staff who served in senior positions across nearly 25 federal grantor organizations and agencies and understand the complexities of these programs.

- ***Comprehensive, integrated solutions delivery.*** Our tailored solutions are designed to support our clients through every step of the federal grants research, pursuance, and implementation process. We help you make informed decisions and maximize programmatic impact to your organization. We provide grants management training and technical assistance, reporting, and compliance support among the many other areas required for successful program stand-up, including rapid development of community partnerships.

Witt O'Brien's reserves the right to negotiate terms and conditions applicable to any final Agreement, and, if selected, will negotiate in good faith with the County to enter into a mutually agreeable formal written Agreement.

For questions related to our services, please contact Matthew Hanson, Associate Managing Director, at mhanson@wittobriens.com with a copy to contractrequests@wittobriens.com. We look forward to an impactful partnership with your office and the County.

Respectfully,
Witt O'Brien's, LLC

Cheryl Joiner

Cheryl Joiner
Director, Contracts and Compliance

B. PROPOSAL NARRATIVE

B.1 PROGRAM ACTIVITIES

To implement and meet all required contractor responsibilities identified in the RFP, Witt O'Brien's proposes to work with Sonoma County to develop and deliver a Subrecipient Management Plan (the Plan). The Plan will encompass the 24 private and public non-profit and government agencies serving as fiscal leads for the 27 programs/projects awarded ARPA/CLFR funds by Sonoma County. At the core of the Plan is a subrecipient management toolkit that includes compliance guidance and tools and templates for conducting monitoring activities. The toolkit is customizable and relevant to Sonoma County as the recipient, as well as each of the subrecipient/fiscal leads and their downstream subawards. Below we describe how we will use the Plan to meet the specific program activities identified in the proposal instructions.

WITT O'BRIEN'S SUBRECIPIENT TOOLKITS

Witt O'Brien's has developed toolkits and guidance materials to help recipients and subrecipients effectively manage and monitor ARPA-funded projects.

For example, the "ARPA Monitoring Plan" can be tailored for use by subrecipients for monitoring their own specific projects and programs.

WITT O'BRIEN'S

Witt O'Brien's American Rescue Plan Monitoring Plan

*for implementation of and use by (Client) for
programs and projects funded by the American
Rescue Plan Act (ARPA)*

CDFA: 21.027 - CORONAVIRUS STATE AND LOCAL
FISCAL RECOVERY FUNDS

Fiscal and Program Compliance Monitoring

Witt O'Brien's approach to fiscal and program compliance monitoring for the County's subrecipients will consist of the following activities:

- **Initial Risk Assessment:** Witt O'Brien's will conduct an initial risk assessment to determine the level of compliance, conformance, and performance risk of each Subrecipient. This will frame the scope of monitoring to be conducted. Our approach to the risk assessment is discussed in detail in the next section on Technical Assistance and Capacity Building.
- **Monitoring and Compliance:** After the risk assessment, we will use our monitoring template to develop monitoring plans for each subrecipient to ensure alignment with the project goals, monitor fund allocations, and provide regular updates on monitoring status.
- **Progress Updates:** As the engagement progresses, the team will develop for the County a tracking system that provides dashboards on monitoring status, deficiencies, and recommendations, and follow up training and capacity building. Specifically, we will compile monitoring results for Sonoma County in a tracking system that will be available at any time. This information will also be used to determine training and capacity-building needs (discussed in the next section).
- **Reporting:** For subrecipients that have data collection requirements, we will develop the appropriate materials and provide training necessary for the successful submission of all programmatic and financial reports required by the Treasury.

Each recipient's monitoring plan will outline the core components of fiscal and program management including risk assessment and scoring, fiscal and program monitoring, performance reporting (including checklist exhibits), and other relevant tools and templates.

Each plan will outline monitoring activities such as compliance review; audit support; financial controls; and detection and prevention of fraud, waste, and abuse and of duplication of benefits. These activities may be virtual or on site, depending upon the results of the risk assessment rating and other factors outlined in the Plan.

We propose the approach of monitoring using a sample set of project documents from each subrecipient. A sample set compliance review seeks to test a sampling of documents (e.g., grants files, administration processes, transactions, etc.) to ensure compliance alignment with both local and federal rules and regulations. We will work with the County to determine the size of the sample, which is typically 10% for low-risk subrecipients, more for higher-risk subrecipients.

We will then work with the County to develop a tailored methodology for selecting the sample set to be reviewed for compliance based on program/project type and risk rating of the subrecipient. We will customize our approach based on initial assessments conducted with the County relative to programmatic status and any observed concerns.

Sampled documents might include:

- Application review process/scoring/determination documents and notes
- Beneficiary household income and size verifications
- Payroll, invoices, and receipts to support services provided under the program
- Overall administration process and procedures for subrecipients, pass-throughs, and subcontractors

Our review team will analyze the sample documentation using a non-exhaustive list of considerations. Upon completion, we will document findings in a memorandum. To provide the greatest benefit from these sample compliance reviews, memoranda will include:

- Legislation/statutory application and resources detailing audit requirements
- A timeframe for requested recommendations/improvements
- Resubmission requests for inaccurate or incomplete documentation
- Comprehensive listing of recommended file components
- A copy of the reviewer's sample compliance review notations
- Capacity building and training recommendations specific to the subrecipient

As part of the sample monitoring, we will identify **internal control weaknesses** centered around audit and closeout. We will help close remaining gaps in compliance identified in the sample set compliance reviews and assist with developing proactive measures and solutions to mitigate any outstanding potential non-compliance issues. We will review prior audits and identify areas of non-compliance that may be strong indicators of weaknesses within current programming and assist with proactive approaches for the prevention or mitigation of repeating past mistakes.

In addition to the initial risk assessment and sample set compliance reviews, we will examine **financial systems and policies, noting material weaknesses and non-compliance.**

Review elements include the general review of financial reports by grants managers as well as a review of grants expenditures compared to the approved budget, and further compared to reported expenditure to the County and Treasury. This will include a monitoring of compliance with financial guidelines and general accounting practices, as well as provide determinations on the allowability of expenditures. We will assist subrecipient finance staff and provide technical assistance to support financial monitoring reviews.

Throughout the monitoring process as outlined in the Plan, we will assist the County in **building the capacity** of local subrecipients through the following activities:

- Reviewing and making recommendations for adequate management systems, policies, and procedures
- Discussing pre-award risk assessments and monitoring plans to identify areas of weakness
- Clarifying subrecipient monitoring responsibilities
- Reviewing subrecipient financial and internal controls
- Training County staff and subrecipients on key audit deficiency indicators
- Documenting internal processes for program/project delivery and closeout

As specified in the RFP Contractor Responsibilities, Witt O'Brien's will conduct **annual monitoring visits** to affirm adherence to the federal requirements. These visits may be virtual or in-person depending upon the results of the initial or prior evaluations. We will prepare quality improvement plans for County approval to then be provided to each subrecipient. We will provide each of the 24 subrecipients with a report describing the monitoring process, their results, and a Quality Improvement Plan, if applicable.

As the recipient, the County will be responsible for ARPA/CLFR funds **reporting to the U.S. Treasury.** We will assist the County by evaluating the data provided by the subrecipient to the County for completeness and conformance to Treasury requirements. We will provide technical assistance for any deficiencies in reporting to the Treasury.

Technical Assistance and Capacity Building

To build County and subrecipient capacities and capabilities in compliant program management, Witt O'Brien's will provide county-wide training on subrecipient management and quality review monitoring.

Witt O'Brien's has already developed comprehensive subrecipient trainings that cover a wide variety of topics including roles and responsibilities, Federal Uniform Guidance (2 CFR 200), risk assessment, monitoring, and record collection/retention. The trainings are rich in content and provide real-life examples, best practices, and quizzes to test comprehension throughout the course. These have been delivered for other clients as a two-part, online recorded course that can be taken by subrecipients on their schedule.

We have learned from experience in conducting our trainings that there is no one-size-fits-all training for building capacity or capability. Each subrecipient comes with varying levels of understanding and experience with administering a federal award. Therefore, we first need to gain an understanding of the lay of the land for each of the 24 subrecipients and their partners. The nature and scope of county-wide and direct technical assistance to subrecipients will be outlined in each subrecipient's monitoring plan to meet their unique characteristics.

Witt O'Brien's first step would be to complete a **risk assessment for each subrecipient** based on a questionnaire and supporting documentation provided by the subrecipient. In the bidders meeting, the County indicated that pre-award risk assessments may not have been conducted on the subrecipients. This initial assessment will help us to understand the project/program implementation, including their use of subrecipients, subcontractors, or direct beneficiary delivery. When evaluating capacity and capability, we will also consider any audit results, current grants, and current grants administration processes. Using the initial review, we will work in partnership with the County to develop the framework of subrecipient training and direct subrecipient technical assistance and capacity building.

Our team will then meet with subrecipients and key staff/partners to **assess the program** or project's existing policies and procedures, their risk assessments, communication and outreach plans, subcontracts, grants agreements, and business processes. This assessment will establish a baseline for how the subrecipient is adhering to relevant program and federal requirements.

In parallel, we will **provide tools and templates** to guide the subrecipient in how to determine whether they are in compliance with standard relevant 2 CFR 200 provisions, including: risk assessment, subrecipient monitoring, ongoing internal controls, allowable cost principles, general monitoring functions, financials, general grants administration/management, and preparation for single audit and closeout. We will provide real, actionable examples of what is "good" policy, processes, and documentation compared to examples that do not meet federal requirements.

We will look to leverage a subrecipient's existing accounting systems and/or grants policies and procedures as the foundation for compliance. If such guidance documents do not directly pertain to the program/project or were not utilized, we will quickly develop template drafts for adoption that is followed by a robust staff training program around these new expectations.

We will **provide technical assistance (TA)**, including controls training to fiscal leads as well as their subrecipients. Depending on scope, we may assign TA directly to certain projects to assist subrecipients with risk identification and mitigation, compliance reviews, and development of financial controls and fraud detection processes tailored to the project.

Our team will provide monitoring, technical assistance, and capacity building supports concurrently when working with the subrecipient/fiscal leads in order to provide meaningful and actionable feedback to their specific circumstances.

Interpreting Compliance Requirements to Unfamiliar Audience

We understand from our experience that many subrecipients are inexperienced with managing federal funding and can be confused or overwhelmed by their role and responsibilities. We have learned working with organizations new to federal requirements that fear or embarrassment about lack of knowledge are often the barriers to successful capacity building. Creating an environment that allows for open, honest communication and a trusting relationship is more successful than training, tools, or templates combined. Below we describe how our training options and other engagement services will be used to assist these subrecipients in overcoming challenges and increase their ability to work with and manage federally funded programs like ARPA.

- **Subrecipient Training.** The subrecipient training described in the previous section will be delivered in plain, non-jargon terms that provide clear understanding of federal requirements. The training materials will use “real-world” examples that are relevant to the 27 awards so that subrecipients can identify with and better understand what is required and how they can meet the requirements. The training will also have a “check your learning” component that will help identify gaps in the attendees’ understanding. Follow-on guidance for subrecipients throughout the monitoring process will provide scalable tailored support after the group training.
- **Learning Circles.** Witt O’Brien’s proposes to follow up the on-site federal requirements training event with optional events called “learning circles”. These are regularly scheduled meetings of topics that take a deeper dive into requirements that are often more confusing or routinely flagged as a deficiency at audit. Each learning circle would be approximately 45 minutes with a 15-minute Q&A session.
- **“Office Hours”.** In addition to learning circles, Witt O’Brien’s has found it effective in holding “office hours” calendar events. These are standing calendar meetings that any subrecipient can join and ask questions that have come up in managing their subawards and/or subcontractors. Having regularly scheduled office hours allows the subrecipient to sit in and learn from others’ questions and solutions, where they otherwise may be reluctant to ask the question. Both learning circles and office hours would have written summaries that would be posted at an online central location for future reference by the County team and the subrecipients or they may be distributed to them via email.

Providing Service Through Lens of Racial Equity and Cultural Humility

We stand side-by-side with government leaders in taking a firm stance on equity. Witt O’Brien’s will take a racial equity and cultural humility approach throughout our engagement with the County, building on systems we have developed and tested in federal, state, and local governments, as well as through partnership efforts in regional contexts. Much of the ARPA funding is geared toward poverty alleviation efforts, so it will be important to define the situations for the disadvantaged populations, including low-income and extremely low-income individuals and the homeless. Many of these same communities have been disproportionately impacted by other emergencies and disasters, exacerbating the need for assistance.

Our diversity and experience enable us to tailor our approach to the local demographics, constraints, and client needs. We will similarly customize solutions to the County's specific circumstances and nuances—the local economy, demographics, and socio-economic (e.g., health) factors—bringing leaders and resources directly to the community at a time when they are most needed. Allowing the community to be a part of its recovery shifts the balance of power directly to the residents of the County and guides greater outcomes.

As a culturally diverse organization, Witt O'Brien's intentionally centers on racial equity, assessing the impact of our corporate actions on the Black, Indigenous, and other communities of color to create better outcomes that are felt and experienced by our employees and the clients we serve. It is through these partnerships that we learn about and advocate for the community we are serving and through the collective humanity of everyone that we can do the work we do and impact the lives of so many, often in the most critical of times.

B.2 ORGANIZATIONAL CAPACITY AND QUALIFICATIONS

For more than 20 years, Witt O'Brien's has led and supported disaster response and grants management efforts across the country, including critical grants implementation and oversight following nearly every major natural or human-caused disaster during this timeframe. Today, we are actively assisting more than 100 state, local, and territorial governments—from policy advisory services through the full lifecycle of grants management, from management and administration through closeout. We currently manage and administer more than \$15 billion in COVID-19-related funding.

Federal Grants Requirements Experience

Our world-class team of experts are former federal emergency managers and local and city administrators with firsthand experience working on the frontlines of grants management. Our senior leadership have dedicated their careers to the grants management lifecycle—from research and pursuance to application development, program design, implementation, and closeout.

We have in-depth legal and regulatory knowledge of the \$1.9 trillion ARPA Coronavirus Preparedness and Response Supplemental Appropriations Act, which provides \$8.3 billion in relief government-wide, the CARES Act, the ERA and the HAF programs. We also are adept at applying the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, and related authorities including 44 CFR, 2 CFR, 24 CFR, 31 CFR and the Disaster Recovery Reform Act



of 2018. And we are now supporting planning for funding through the Investment Infrastructure and Jobs Act (IIJA). Witt O'Brien's maintains a dedicated policy team that tracks federal initiatives and notices, so we can advise our clients of evolving or changing requirements.

We are currently providing grants management consulting to 13 states, more than 30 counties, and more than 50 local government agencies, helping them maximize their ability to access and effectively utilize the available federal funding, including ARPA. Witt O'Brien's has developed a methodology and approach centered around planning, assessment, coordination, guidance, ongoing grants management, monitoring, compliance, and technical assistance. This includes assisting our clients with developing comprehensive internal controls, policies and procedures, and monitoring strategies. Taking this a step further, we conduct subrecipient management and monitoring including staff augmentation when highly skilled expertise is needed and local resources are unavailable. Specific examples of our deep experience include:



King County Since 2020, Witt O'Brien's has been fully engaged with King County (WA) to address their evolving grants management requirements. We worked with them to maximize the whole-community benefits of FEMA, Coronavirus Relief Act, and ARPA funds to enable COVID-19 response and recovery. We have helped them establish the procedures, systems, and controls to mitigate future audit risk by meeting compliance requirements. We were initially engaged through a two-year contract, but the County has retained our services for an additional year to provide capacity building services for the new grants compliance unit formed in 2022. monitoring



Harris County Harris County (TX) engaged Witt O'Brien's to provide ARPA management and compliance support. This has included developing a comprehensive funding strategy that carefully evaluates all potential eligible expenses alongside all potentially available funding sources. We then assisted in identifying the limitations and requirements of each funding source to optimize available funding. For funded projects, we provide federal assistance compliance, monitoring, reporting, and audit preparation services.



Abington Township Since 2021, Witt O'Brien's has been fully engaged with Abington Township (PA) leadership and regional stakeholders to maximize the benefit of ARPA funds to enable COVID-19 response and recovery. Our team of program and policy experts, grants managers, and technical assistance providers are working closely with Township staff to establish the procedures, systems, and controls to mitigate future audit risk by meeting compliance requirements.



Shawnee County Since May 2020, Witt O'Brien's has supported Shawnee County (KS) with advisory and grants management services for funding streams through ARPA and CRF. Specifically, we have provided support that includes project allowability considerations, compliance reviews, calculating lost revenue, and overall support of the \$34.3 million in COVID-19 relief funds received by the county through ARPA.

Experience with Appropriate Accounting, Financial, and Other Policies

Witt O'Brien's has a team of experts dedicated to subrecipient management, pre-audit compliance reviews, and developing and executing monitoring procedures to ensure that funds are appropriately managed and documented in compliance with Treasury ARPA requirements. Below is a description of fiscal monitoring and other support services that we have provided to King County, WA; Harris County, TX; Jefferson County, AL; and others:

- **Reimbursement Request Review:** Ensured the agencies submitted reimbursement requests in the correct format; tested reimbursement request backup to ensure costs were allowable; verified that proper support and documentation were included in submission; assisted with fund re-budgeting requests; provided support for technical- and financial-related questions.
- **Risk Assessment:** Created tools to document grantee risk assessment and related monitoring procedures expected to be performed; performed risk assessment on grantee.
- **Fiscal Monitoring and Assistance:** Ensured financial and technical reports were documented; confirmed that program managers had documentation that monitors progress of the project; ensured that subrecipient invoices were reviewed and approved before payment; assisted in verifying that invoices (1) adhered to budget; and (2) followed costing principles that are reasonable, allowable and allocable; helped to ensure that all project reporting deliverables (financial and programmatic) were submitted timeously; facilitated the incorporation of any approved modifications; collaborated with program managers and subrecipients to facilitate the timely resolution of issues with subrecipient invoices; summarized financial reporting details received from subrecipients.
- **Monitoring Assistance:** Created fiscal monitoring tools based on applicable monitoring standards for program; planned and coordinated fiscal reviews, as well as providing updates during the fiscal reviews; completed on-site or desk fiscal monitoring reviews, including completion of the fiscal monitoring tool and a review of all relevant fiscal documents for each subrecipient. This included ensuring the reliability of current fiscal data, and the degree of compliance with subrecipient contracts, applicable policies, laws, regulations, and the adequacy of internal controls; following through on findings, concerns, and corrective actions noted during the procedures; based on outcomes from each fiscal review, developing a list of observations, findings, and recommendations to be submitted in a report to the client.

Auditing Subrecipients for Fiscal and Program Compliance

Witt O'Brien's has conducted pre-audit compliance assessments for many federally funded programs. Below are some relevant examples:



King County

In 2020, we defined assumptions and conducted the assessment for 80 distinct projects across 19 agencies totaling \$267 million of CARES Act CRF. In 2021, we conducted Eligibility and Compliance Assessments for 104 projects across 15 agencies totaling \$437 million of ARPA CLFR. Witt O'Brien's is providing King County subrecipient management training and Quality Review Monitoring county-wide to build agency

and subrecipient capacities and capabilities to deliver federally compliant programs and projects. For 2020 and 2021 SEFA audits, King County received clean reports with no deficiencies of CRF and CLFR expenditures and controls supported by Witt O'Brien's technical assistance.



Witt O'Brien's assisted Pinellas County, Florida, in designing and documenting their CARES Act programs, which included providing financial assistance to individuals; workforce development and job assistance; and food, behavioral health, and eviction mitigation assistance. The work involved support for 64 subrecipients and more than 8,000 beneficiaries within the County for reimbursement of CARES act-related expenses totaling over \$38 million. As part of the effort, our team created and conducted monitoring plans for each of the above-described programs to identify potential subrecipient issues and take corrective actions.



In support of the State of Kansas Governor's Office of Recovery, Witt O'Brien's has a team of professionals providing strategic analysis and technical assistance support to numerous State agencies for COVID-19 recovery support services. This effort includes reviewing, aggregating, and formatting reporting and expense data collected for federal compliance reporting. Witt O'Brien's is responsible for submitting compliance reports on behalf of the State of Kansas to the U.S. Treasury.

Approach to Providing Technical Assistance to First-Time Subrecipients

Witt O'Brien's approach to providing technical assistance to first-time subrecipients involves the following elements:

- **Training.** As described in Section C.1, Witt O'Brien's has developed a comprehensive subrecipient management training that is tailored to the level of understanding of each audience. We will ensure that this training is available (and required) for those with program and fiscal responsibilities. Witt O'Brien's will work closely with the County to approve training content and collaborate on the best online delivery mechanism available to achieve the objectives.
- **Templates and Tools.** We will ensure that subrecipients have all the templates and tools they need to comply with documentation requirements. These materials will provide subrecipients with the necessary foundational tools and knowledge about grants and how to comply with the bureaucratic requirements of federally funded programs.
- **Monitoring.** As required by Uniform Guidance, we will conduct monitoring of financial systems, internal controls, programmatic policies, and procedures to determine whether they are in conformance with federal requirements. If not, we will provide them with recommendations, including draft content to assist with becoming compliant.

Capacity-Building Training

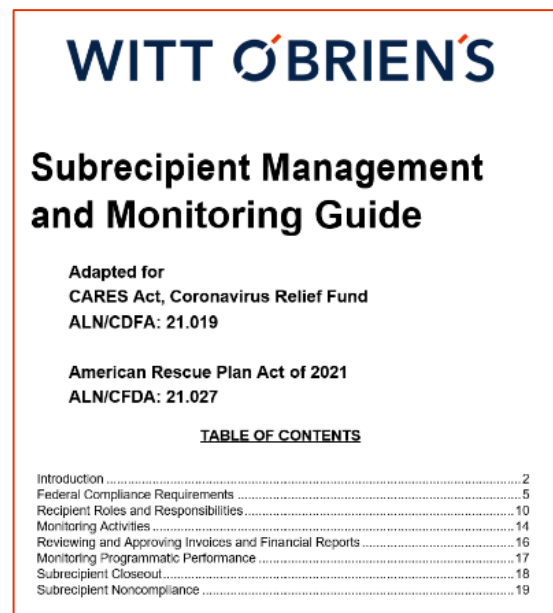
Witt O'Brien's has been fully engaged with leadership and regional stakeholders across the country to address their evolving capacity-building requirements. We work with them to

maximize the whole-community benefits of ARPA funds to enable COVID-19 response and recovery. We are routinely selected to provide training of COVID-19 response and recovery funding at national association events including NACo, where Witt O'Brien's is a trusted partner.

Witt O'Brien's has provided a multi-tiered scope of capacity-building services to its clients—covering thousands of grantees and subgrantees and hundreds of thousands of direct and indirect beneficiaries, project and program closeout services with audit-ready files, and staff augmentation to ensure their capacity to meet the needs of the various programs. And we are proud of the process we have been able to implement to maximize not just equity of opportunity, but equity of access to the programs.

Examples of the capacity-building training services we are providing or have provided:

- Assisted in ongoing eligibility review, program design, audit response, and subrecipient monitoring and reporting needs. Our team was instrumental in helping King County, WA, facilitate compliance monitoring of its subrecipients.
- Developed training modules for King County WA; Harris County, TX; and Jefferson County, AL that helped mitigate the steep learning curve for subrecipients, many of which are small non-profits with little to no federal grants experience. This involved developing county-wide subrecipient trainings that were both live and self-directed online courses. Followed up by engaging with subrecipients directly, helping them understand compliance requirements, and coaching them through the monitoring process.
- Created consolidated communications packages with job aids, schedules, and plans to minimize back-and-forth during monitoring activities, reduce confusion, and ultimately reduce effort and stress for the subrecipients and their subawards/subcontractors. Through this experience, Witt O'Brien's created a Subrecipient Management and Monitoring Guide for CRF and CLFR.



Subcontractors

Witt O'Brien's does not anticipate the use of subcontractors for this engagement.

B.3 SCOPE OF WORK AND COSTS

This section includes the required information regarding cost of services, timelines, and responsible parties for the RFP Section 2.II, Task A (Fiscal and Program Compliance Monitoring) and Task B (Technical Assistance and Capacity Building). Consistent with our plan of execution, we have grouped the RFP activities in Tasks A and B as follows:

- **Tasks A.1 and A.2: Monitoring and Technical Assistance Plan Development**, which includes development of the Plan and other processes, guidelines, and capacity building for risk assessment and fiscal and program monitoring.
- **Tasks A.3, A.4, and B.1: Direct Monitoring and Technical Assistance**, which includes the following: risk assessments (Task A.3); compliance reviews (Task A.3 and B.1); conformance and Performance Reviews (Task A.3 and B.1); and reporting (Task A.4)
- **Task B.2: Countywide Training**

Summary of Costs

The table below presents our overall costs for labor and expenses (e.g., travel, supplies) for the task groupings described above. This includes the requirement to provide the cost for one county-wide training.

Task Description	Hours	Labor Costs	Travel & Supplies	Total Cost
Monitoring and Technical Assistance Plans Development (RFP Tasks A.1 and A.2)	562	\$27,725		\$27,725
Direct Monitoring and Technical Assistance (RFP Tasks A.3, A.4, and B.1)	3,704	\$632,750	\$48,000	\$680,750
Uniform Guidance Training (RFP Task B.2)	444	80,400	\$7,000	\$87,400
Total Cost Proposal		\$740,875	\$55,000	\$795,875

Details regarding the buildup of our cost proposal, including hourly rates, level of effort, travel costs, and other assumptions are provided as confidential information following this section.

Timeline for Execution

The schedule for execution of the specific activities is shown in the exhibit on the following page. We have assumed a 30- to 36-month time period. The timeline includes a crosswalk between our defined activities and the individual elements in Tasks A and B, as described above.