

THIS AGREEMENT ("Agreement"), dated as of this 14th day of January, 2013, between the City of New York, acting through the Office of Management and Budget (the "City" or "OMB"), with offices located at 255 Greenwich Street, New York, NY 10007 and Hagerty Consulting, Inc. ("Contractor"), with offices located at 1618 Orrington Avenue, Suite 201, Evanston, IL, 60201.

WITNESSETH:

WHEREAS, the General Services Administration ("GSA") has entered into a contract with Contractor contained in Federal Supply Schedule 874 (MOBIS) and Schedule 520 (FABS) containing Disaster Recovery Special Item Numbers ("SINs") (the "Federal Contract"); and

WHEREAS, the Federal E-Government Act of 2002 and related GSA regulations authorize local governments, including cities, to purchase Disaster Recovery services off of the Federal Contract for the use of the local governments in accordance with the terms and provisions of the Federal Contract; and

WHEREAS, the City has determined that there is a need for the said Disaster Recovery services, Contractor has agreed to provide said Disaster Recovery goods and/or services related to Federal Disaster Recovery Programs related to Superstorm Sandy (the "Storm"), and the parties have agreed to enter into an Agreement to purchase these Disaster Recovery goods and/or services in accordance with the Federal Contract and in accordance with the terms and conditions set forth below;

NOW, THEREFORE, the parties hereto agree as follows:

**ARTICLE I. TERM, TERMINATION, AND MODIFICATION OF AGREEMENT**

- 1.1 This Agreement shall commence on January 14, 2013, and terminate on January 13, 2014.
- 1.2 OMB may terminate this Agreement in writing with 30 days' notice, or at any time with the mutual consent of both parties. If such termination occurs, OMB will pay contractor for all services rendered through the termination date.
- 1.3 This Agreement may also be modified through the mutual written consent of both parties.
- 1.4 Contractor represents that it has followed FEMA's Public Assistance contract (HSFEHQ-12-D-0882) protocol and filed a Conflict of Interest Mitigation Plan with its Prime Contractor, NISTAC, a joint venture between URS Corporation and Dewberry, on January 9, 2013. Contractor explicitly agrees that it will not assist in the development of any Project Worksheets for the City of New York under the HSFEHQ-12-D-0882

contract. City acknowledges that it received FEMA's acceptance of Contractors Conflict of Interest Mitigation Plan on January 30, 2013.

## **ARTICLE II. PAYMENT**

- 2.1 OMB shall pay Contractor an amount not exceeding \$5,000,000.00 for the services set forth in this Agreement, at the hourly rates set forth on Exhibit 1 hereto. The City may amend this ceiling, if necessary; however, the Contractor shall not exceed this amount without a fully executed Amendment from the City.
- 2.2 In accordance with New York City Administrative Code section 6-107.1, if the amount in Article 2.1 exceeds \$25,000, Contractor agrees to accept payments under this Agreement from the City by electronic funds transfer. An electronic funds transfer is any transfer of funds, other than a transaction originated by check, draft, or similar paper instrument, which is initiated through an electronic terminal, telephonic instrument or computer or magnetic tape so as to order, instruct, or authorize a financial institution to debit or credit an account. Prior to the first payment made under this Agreement, Contractor shall designate one financial institution or other authorized payment agent and shall complete the "EFT Vendor Payment Enrollment Form" available from the Agency or at [http://www.nyc.gov/html/dof/html/services/services\\_vendors\\_eft.shtml](http://www.nyc.gov/html/dof/html/services/services_vendors_eft.shtml) in order to provide the commissioner of the Department of Finance with information necessary for Contractor to receive electronic funds transfer payments through the designated financial institution or authorized payment agent. The crediting of the amount of a payment to the appropriate account on the books of a financial institution or other authorized payment agent designated by Contractor shall constitute full satisfaction by the City for the amount of the payment under this Agreement. The account information supplied by Contractor to facilitate the electronic funds transfer shall remain confidential to the fullest extent provided by Law.
- 2.3 Billing and Expenses: Contractor shall provide time cards by employee for OMB to review and approve. Time cards shall describe work performed by each individual. OMB will not be charged separately for the firms' administrative time/costs in collecting/summarizing data and preparing and supporting bills.

Travel costs will be in accordance with the Federal Travel Regulations which can be found at: <http://www.gsa.gov/portal/content/104790>. Specifically, Contractor will follow Temporary Duty Allowances (TDY) found in Chapter 301.

Federal Per Diem rates for hotels, meals and incidentals will be in accordance with the rates listed for the City on <http://www.gsa.gov/portal/category/100120>.

OMB will pay for weekly or monthly Metrocards as required by contractor for travel around the City.

OMB will pay for out of pocket expenses at cost such as an Amazon Cloud subscription and Intuit Quickbase if the expenses have been approved in advance and in writing by OMB. City and Contractor acknowledge that Contractor's proprietary project management system, Perfolio®, has been previously developed by Contractor and is wholly owned by Contractor and that all work performed by Hagerty related to Perfolio will be technical, maintenance, and support related. It's acknowledged by all parties that no project funds will be used for system development. All data and files entered into the Perfolio system will be hosted by a third party, Amazon S3 (Simple Storage Service) and Hagerty will establish a separate Instance for the City. The City will establish all the information/documentation management protocols. The Amazon S3 Service Agreement applies to the data stored on the Amazon server (<http://aws.amazon.com/s3/>). All data and documents in the system are owned by the City.

### **ARTICLE III. CONFLICTS AND TERMS OF AGREEMENT**

During the term of the Agreement, conflicts between the various documents shall be resolved in the following order of precedence, such documents constituting the entire Agreement between the parties:

- This document, including Exhibit 1: Proposed Prices – Attachment 1
- Federal Contract (Numbers GS-10F-0329S - MOBIS {874-7RC} and GS-23F-0027V- FABS { 520-13RC})
- Exhibit 2: Scope of Services listed in Article IV
- Exhibit 3: Contractor's Proposal – Attachment 2

### **ARTICLE IV. SCOPE OF SERVICES**

Contractor shall provide the following Disaster Recovery goods and/or services to OMB:

The Contractor will assist the City (through OMB) and individual City agencies and related organizations as determined by OMB (the "Agencies") in strategically managing the City's claims development and administration under Federal Disaster Programs related to Superstorm Sandy. The Contractor will also provide grant accounting/administration support as needed to the Agencies.

The Contractor will perform a variety of technical, project-specific functions, including, but not limited to the work listed below. The Contractor acknowledges that the services are being provided on an emergency basis and during an emergency period. Accordingly, the Contractor shall be available to provide these services beyond normal business hours and, within reasonable limits under the circumstances, on an as-needed basis.

1. Provide extensive knowledge, experience and technical competence in dealing with Federal regulations, specifically including the Stafford Act.
2. Proactively identify and resolve issues that may arise related to the funding of work completed or to be completed.
3. Provide specialized assistance to address unique needs in connection with grant development.
4. Assist in identifying opportunities for hazard mitigation programs to reduce or eliminate risk from future events.
5. Provide technical assistance to the Agencies as requested.
6. Provide architecture and engineering services ("A&E"). In this capacity, the Contractor shall offer advice and consultation regarding the broad strategy for the work in response to the Storm focusing on such questions as which parts of Agency facilities, should be restored to their condition prior to the Storm and which should be rebuilt to enhance their ability to withstand a future casualty or to improve their efficiency and usefulness including the design and implementation of permanent reconstruction solutions for the damaged elements of the damaged facilities.
7. Meet as necessary with OMB staff and other City/State/Federal representatives in connection with the programmatic, financial, contracting and accounting services necessary to meet Federal and State regulations.
8. Assist in providing interagency (Federal, State, City) coordination and technical support, as well as identifying funding resources that may be available to assist in the long term recovery process.
9. Assist the City, in partnership with applicable Federal and State agencies and personnel, to develop a process/system to efficiently submit Federal grant applications, capture costs, prepare cost reports, reconcile invoices, and close-out projects.
10. Advise OMB and Agencies, as to how contractors, engaged by the City to perform work necessitated by the Storm should best invoice the City; what kinds of controls to put in place to regulate the costs and fees of the contractors; and which kinds of professionals and supplementary services the City might engage to assist with the response to the Storm.
11. As directed by OMB, provide oversight of contractors' billing to ensure that they invoice Agencies properly and are only compensated for work actually performed, and that all costs eligible for FEMA funding are documented and claimed.
12. As directed by OMB, review invoices submitted by the contractors performing disaster - related services to ensure that they are FEMA compliant and, where necessary, provide guidance to such contractors.
13. Advise the City on FEMA's rules, practices and procedures and advise the City how to track and account for the work of the contractors and the professionals retained by the City to respond to the Storm.
14. Perform the following financial management services and/or guide and provide tools and procedures to Agencies to enable them to perform them: Obtain, analyze and gather field documentation, including gathering all relevant records in order to extract pertinent information necessary for submittal including timekeeping and staff assignment records.
  - o Perform data summarization to efficiently submit Federal grant applications, capture costs, prepare cost reports, reconcile invoices, and close-out projects

- Review for clarity and completeness, as well as consistency and accuracy, all data and supporting documentation
- Scan electronically and save all data and documentation for FEMA's review and approval of the assigned PW.

Contractor shall include on its team a certified engineering firm to provide engineers as needed to conduct damage assessments; identify hazard mitigation opportunities; prepare hazard mitigation proposals; evaluate hazard mitigation proposals; provide teams to conduct certified A/E studies to either identify damage, determine scope of repair, and/or calculate costs estimates for repairing / rebuilding damaged infrastructure.

Contractor may also include on its team other subcontracted firms to carry out the scope of services.

#### **ARTICLE V. COMPLIANCE WITH LOCAL LAWS**

- 5.1 Pursuant to Local Law 34 of 2007, Contractor shall complete the Doing Business Data Form attached hereto as Attachment A and return it to OMB within 10 days of execution of this Agreement if Contractor is not currently included in the New York City Doing Business Database.
- 5.2 In accordance with Local Laws 30 and 33 of 2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, respectively,
  - 5.2.1 Contractor shall not take an adverse personnel action with respect to an officer or employee in retaliation for such officer or employee making a report of information concerning conduct which such officer or employee knows or reasonably believes to involve corruption, criminal activity, conflict of interest, gross mismanagement or abuse of authority by any officer or employee relating to this Agreement to (i) the Commissioner of the Department of Investigation, (ii) a member of the New York City Council, the Public Advocate, or the Comptroller, or (iii) the City Chief Procurement Officer, ACCO, Agency head, or Commissioner.
  - ~~5.2.2.~~ If any of Contractor's officers or employees believes that he or she has been the subject of an adverse personnel action in violation of Article 5.2.1 of this Agreement, he or she shall be entitled to bring a cause of action against Contractor to recover all relief necessary to make him or her whole. Such relief may include but is not limited to: (i) an injunction to restrain continued retaliation, (ii) reinstatement to the position such employee would have had but for the retaliation or to an equivalent position, (iii) reinstatement of full fringe benefits and seniority rights, (iv) payment of two times back pay, plus interest, and (v) compensation for any special damages sustained as a result of the retaliation, including litigation costs and reasonable attorney's fees.
  - 5.2.3 Contractor shall post a notice provided by the City (Attachment B) in a prominent and accessible place on any site where work pursuant to the Agreement is performed that contains information about:

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2/15/13

- 5.2.3.1 how its employees can report to the New York City Department of Investigation allegations of fraud, false claims, criminality or corruption arising out of or in connection with the Agreement; and
- 5.2.3.2 the rights and remedies afforded to its employees under New York City Administrative Code sections 7-805 (the New York City False Claims Act) and 12-113 (the Whistleblower Protection Expansion Act) for lawful acts taken in connection with the reporting of allegations of fraud, false claims, criminality or corruption in connection with the Agreement.
- 5.2.4 For the purposes of this Article, “adverse personnel action” includes dismissal, demotion, suspension, disciplinary action, negative performance evaluation, any action resulting in loss of staff, office space, equipment or other benefit, failure to appoint, failure to promote, or any transfer or assignment or failure to transfer or assign against the wishes of the affected officer or employee.
- 5.2.5 This Article is applicable to all of Contractor’s subcontractors having subcontracts with a value in excess of \$100,000; accordingly, Contractor shall include this rider in all subcontracts with a value in excess of \$100,000.
- 5.3 Article 5.2 is not applicable to this Agreement if it is valued at \$100,000 or less. Articles 5.2.1, 5.2.2, 5.2.4, and 5.2.5 are not applicable to this Agreement if it was solicited pursuant to a finding of an emergency. Article 5.2.3 is neither applicable to this Agreement if it was solicited prior to October 18, 2012 nor if it is a renewal of a contract executed prior to October 18, 2012.

**ARTICLE VI. INSURANCE [for use if Contractor will do work on-site]**

- 6.1 Contractor shall maintain Commercial General Liability Insurance covering Contractor as Named Insured and the City as an Additional Insured in the amount of at least \$1,000,000 per occurrence and an aggregate limit of at least \$2,000,000. Such insurance shall protect the City and Contractor from claims for property damage and/or bodily injury, including death that may arise from any of the operations under this Agreement. Coverage under this insurance shall be at least as broad as that provided by the most recently issued Insurance Services Office (“ISO”) Form CG 0001. There is no obligation that ISO Form CG 0001 itself be used, provided that Contractor can demonstrate that the alternative form or endorsement contained in its policy provides coverage at least as broad as the specified form.

Such Commercial General Liability Insurance shall name the City, together with its officials and employees, as an Additional Insured with coverage at least as broad as the most recently issued ISO Form CG 2010. There is no obligation that ISO Form CG 2010 itself be used, provided that Contractor can demonstrate that the alternative form or

endorsement contained in its policy provides coverage at least as broad as the specified form.

- 6.2 Contractor shall maintain, and ensure that each subcontractor maintains, Workers' Compensation Insurance, Disability Benefits Insurance, and Employer's Liability Insurance in accordance with the law on behalf of, or with regard to, all employees providing services under this Agreement.
- 6.3 All required insurance policies shall be maintained with companies that are authorized to issue the policy and have an A.M. Best rating of at least A- / "VII" or a Standard and Poor's rating of at least A, unless prior written approval is obtained from the City Law Department.
- 6.4 All insurance policies shall be primary (and non-contributing) to any insurance or self-insurance maintained by the City.
- 6.5 Certificates of Insurance or certified copies of policies for insurance required in this Article must be submitted to and accepted by OMB prior to or upon execution of this Agreement. ACORD forms are not acceptable proof of Workers' Compensation Insurance. All such Certificates of Insurance shall be accompanied by either a duly executed "Certification by Broker" in the form contained Attachment C or copies of all policies referenced in such Certificate of Insurance as certified by an authorized representative of the issuing insurance carrier.
- 6.6 Contractor shall provide the City with a copy of any policy required under this Article upon the demand for such policy by the OMB or the New York City Law Department.

**ARTICLE VII. INDEMNIFICATION**

- 7.1 Indemnification. Contractor shall defend, indemnify and hold the City harmless from and against any and all claims, suits, damages, judgments, liabilities, and losses because of or related to injuries to persons (including death) or damage to property resulting from the negligence, gross negligence, or intentional torts of Contractor. This indemnification provision shall not be limited in any way by any obligation of Contractor to obtain insurance as provided under this Agreement.
- 7.2 Intellectual Property Indemnification. Contractor shall defend, indemnify and hold the City harmless from and against any and all claims, suits, damages, judgments, liabilities, and losses because of or related to any claim that any deliverable, the delivery of any deliverable, or the performance of any work under this Agreement infringes or violates the copyright, trademark, or any other property or personal right of any third party.

**ARTICLE VIII. VENUE**

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The parties agree that any and all claims asserted by or against the City arising under this Agreement or related thereto shall be heard and determined either in the courts of the United States located in New York City ("Federal Court") or in the courts of the State of New York ("New York State Courts") located in the City and County of New York.

**[THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK.]**

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IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the dates appearing by their respective signatures.

**HAGERTY CONSULTING, INC.**  
**CONTRACTOR**

Corporate Contractor  
Affix Corporate Seal:

BY: *Stephen J. Hagerty*

TITLE: *President*

*37-1431085*

FED. EMPLOYER I.D. NO. OR SOC. SEC. NO.

DATE: *2/15/13*



**THE CITY OF NEW YORK**  
**OFFICE OF MANAGEMENT AND BUDGET**

BY: *Mark Page*  
Mark Page

TITLE: Director

DATE: *2/21/13*

Approved as to Form  
Certified as to Legal Authority

\_\_\_\_\_  
Acting Corporation Counsel

**CORPORATION COUNSEL CONTRACT APPROVAL**

Agency OMB

E-PIN 00213E0003001

Contractor HAGERTY CONSULTING INC. HAGERTY CONSULTING HAGERTY CONSULTING

Approved as to form

Certified as to legal authority

Electronically Signed By STEVEN CUSHMAN

Date 02/22/2013 10:29

**Acting Corporation Counsel**

STATE OF NEW YORK )  
 )ss.:  
COUNTY OF NEW YORK )

On this 21<sup>st</sup> day of March, 2013, before me personally came Mark Page, personally known to me or proved to me on the basis of satisfactory evidence to be Director of ~~the~~ Management & Budget of the CITY OF NEW YORK, the person described in and who is duly authorized to execute the foregoing instrument on behalf of the Commissioner, and s/he acknowledged to me that s/he executed the same for the purpose therein mentioned.

  
\_\_\_\_\_  
NOTARY PUBLIC FOR THE STATE OF NY

**Prescott D. Ulrey**  
**Notary Public, State of New York**  
**No. 31-02UL5049524**  
**Qualified in New York County**  
**Commission Expires: 4-26-~~2010~~ 2014**

STATE OF NEW YORK )  
 )ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of the \_\_\_\_\_, 20 \_\_\_\_\_, before me personally came \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the **INDIVIDUAL** described in and who executed the foregoing instrument, and acknowledged to me that s/he executed the same for the purposes therein mentioned.

\_\_\_\_\_  
NOTARY PUBLIC FOR THE STATE OF \_\_\_\_\_

STATE OF NEW YORK )  
 )ss.:  
COUNTY OF \_\_\_\_\_ )

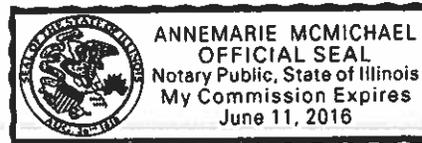
On this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_, before me personally came \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence, who, being duly sworn by me, deposed and said that s/he is an officer of \_\_\_\_\_, the **PARTNERSHIP** described in and which executed the above instrument, and that s/he is authorized to execute said instrument on behalf of said partnership.

\_\_\_\_\_  
NOTARY PUBLIC FOR THE STATE OF \_\_\_\_\_

STATE OF Illinois )  
 )ss.:  
COUNTY OF Cook )

On this 15<sup>th</sup> day of February, 2013 before me personally came Stephen H. Hagerty, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument, who, being by me duly sworn, did depose and say that s/he is the President of Hagerty Consulting, Inc., the **CORPORATION** described in and which executed the above instrument; that s/he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation; and that s/he signed her/his name thereto by like order.

Annemarie McMichael  
NOTARY PUBLIC FOR THE STATE OF Illinois



**Attachment A**  
**Doing Business Data Form**

*[Faint handwritten signature]*



# Doing Business Data Form

To be completed by the City Agency prior to distribution			
Agency: <u>OMB</u>		Transaction ID: <u>EPIN 00213E0003</u>	
Check One:	Transaction Type (check one):		
<input type="checkbox"/> Proposal	<input type="checkbox"/> Concession	<input type="checkbox"/> Contract	<input type="checkbox"/> Economic Development Agreement
<input checked="" type="checkbox"/> Award	<input type="checkbox"/> Franchise	<input type="checkbox"/> Grant	<input type="checkbox"/> Pension Investment Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

Please return the completed Data Form to the City Agency that supplied it. Please contact the Doing Business Accountability Project at [DoingBusiness@cityhall.nyc.gov](mailto:DoingBusiness@cityhall.nyc.gov) or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

## Section 1: Entity Information

Entity Name: Hagerty Consulting, Inc.  
 Entity EIN/TIN: 37-143-1085

<b>Entity Filing Status (select one):</b> <input checked="" type="checkbox"/> Entity has never completed a Doing Business Data Form. <i>Fill out the entire form.</i> <input type="checkbox"/> Change from previous Data Form dated _____. <i>Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.</i> <input type="checkbox"/> No Change from previous Data Form dated _____. <i>Skip to the bottom of the last page.</i>
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Entity is a Non-Profit:  Yes  No  
 Entity Type:  Corporation (any type)  Joint Venture  LLC  Partnership (any type)  
 Sole Proprietor  Other (specify): \_\_\_\_\_

Address: 1618 Orrington Avenue, Ste. 201  
 City: Evanston State: IL Zip: 60201  
 Phone: 847-492-8454 Fax: 847-859-1710  
 E-mail: steve.hagerty@hagertyconsulting.com

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

**Section 2: Principal Officers**

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

**Chief Executive Officer (CEO) or equivalent officer** This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: Stephen MI: H Last: HagertyOffice Title: President

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): 11.15.68 Home Phone #: 847-425-1072Home Address: 2662 Orrington Avenue, Evanston, IL 60201 This person replaced former CEO: \_\_\_\_\_ on date: \_\_\_\_\_**Chief Financial Officer (CFO) or equivalent officer** This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: Keith MI: \_\_\_\_\_ Last: KingOffice Title: Finance Director

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): 3.15.64 Home Phone #: 847-924-5286Home Address: 7530 North Claremont Avenue, Apt. 1 Chicago, IL 60645 This person replaced former CFO: \_\_\_\_\_ on date: \_\_\_\_\_**Chief Operating Officer (COO) or equivalent officer** This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

 This person replaced former COO: \_\_\_\_\_ on date: \_\_\_\_\_

**Section 3: Principal Owners**

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, own or control 10% or more of the entity. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do not need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

**There are no owners listed because (select one):**

- The entity is not-for-profit
- There are no individual owners
- No individual owner holds 10% or more shares in the entity
- Other (explain): \_\_\_\_\_

**Principal Owners (who own or control 10% or more of the entity):**

First Name: Stephen MI: H Last: Hagerty  
 Office Title: President  
 Employer (if not employed by entity): \_\_\_\_\_  
 Birth Date (mm/dd/yy): 11 15 68 Home Phone #: 847-425-1072  
 Home Address: 2662 Orrington Avenue, Evanston, IL 60201

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_  
 Office Title: \_\_\_\_\_  
 Employer (if not employed by entity): \_\_\_\_\_  
 Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_  
 Home Address: \_\_\_\_\_

First Name: \_\_\_\_\_ MI: \_\_\_\_\_ Last: \_\_\_\_\_  
 Office Title: \_\_\_\_\_  
 Employer (if not employed by entity): \_\_\_\_\_  
 Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_  
 Home Address: \_\_\_\_\_

**Remove the following previously-reported Principal Owners:**

Name: _____	Removal Date: _____
Name: _____	Removal Date: _____
Name: _____	Removal Date: _____

**Section 4: Senior Managers**

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

**Senior Managers:**

First Name: STEPHEN MI: H Last: HAGERTY

Office Title: President

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): 11/15/68 Home Phone #: 847-425-1072

Home Address: 2662 Orrington Avenue, Evanston, IL 60201

First Name: N/A MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

First Name: N/A MI: \_\_\_\_\_ Last: \_\_\_\_\_

Office Title: \_\_\_\_\_

Employer (if not employed by entity): \_\_\_\_\_

Birth Date (mm/dd/yy): \_\_\_\_\_ Home Phone #: \_\_\_\_\_

Home Address: \_\_\_\_\_

**Remove the following previously-reported Senior Managers:**

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

Name: \_\_\_\_\_ Removal Date: \_\_\_\_\_

**Certification**

I certify that the information submitted on these four pages and \_\_\_\_\_ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: Stephen H. Hagerty

Signature: *Stephen H. Hagerty* Date: 12/11/12

Entity Name: Hagerty Consulting, Inc.

Title: President Work Phone #: 847-492-8454

**Return the completed Data Form to the agency that supplied it.**

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

**Attachment B**  
**Whistleblower Protection Expansion Act Notice**

1. In accordance with Local Law Nos. 30-2012 and 33-2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, respectively,

- (a) Contractor shall not take an adverse personnel action with respect to an officer or employee in retaliation for such officer or employee making a report of information concerning conduct which such officer or employee knows or reasonably believes to involve corruption, criminal activity, conflict of interest, gross mismanagement or abuse of authority by any officer or employee relating to this Contract to (i) the Commissioner of the Department of Investigation, (ii) a member of the New York City Council, the Public Advocate, or the Comptroller, or (iii) the City Chief Procurement Officer, ACCO, Agency head, or Commissioner.
- (b) If any of Contractor's officers or employees believes that he or she has been the subject of an adverse personnel action in violation of subparagraph (a) of paragraph 1 of this rider, he or she shall be entitled to bring a cause of action against Contractor to recover all relief necessary to make him or her whole. Such relief may include but is not limited to: (i) an injunction to restrain continued retaliation, (ii) reinstatement to the position such employee would have had but for the retaliation or to an equivalent position, (iii) reinstatement of full fringe benefits and seniority rights, (iv) payment of two times back pay, plus interest, and (v) compensation for any special damages sustained as a result of the retaliation, including litigation costs and reasonable attorney's fees.
- (c) Contractor shall post a notice provided by the City in a prominent and accessible place on any site where work pursuant to the Contract is performed that contains information about:
  - (i) how its employees can report to the New York City Department of Investigation allegations of fraud, false claims, criminality or corruption arising out of or in connection with the Contract; and
  - (ii) the rights and remedies afforded to its employees under New York City Administrative Code sections 7-805 (the New York City False Claims Act) and 12-113 (the Whistleblower Protection Expansion Act) for lawful acts taken in connection with the reporting of allegations of fraud, false claims, criminality or corruption in connection with the Contract.
- (d) For the purposes of this rider, "adverse personnel action" includes dismissal, demotion, suspension, disciplinary action, negative performance evaluation, any action resulting in loss of staff, office space, equipment or other benefit, failure to appoint, failure to promote, or any transfer or assignment or failure to transfer or assign against the wishes of the affected officer or employee.
- (e) This rider is applicable to all of Contractor's subcontractors having subcontracts with a value in excess of \$100,000; accordingly, Contractor shall include this rider in all subcontracts with a value a value in excess of \$100,000.

2. Paragraph 1 is not applicable to this Contract if it is valued at \$100,000 or less. Subparagraphs (a), (b), (d), and (e) of paragraph 1 are not applicable to this Contract if it was solicited pursuant to a finding of an emergency. Subparagraph (c) of paragraph 1 is neither applicable to this Contract if it was solicited prior to October 18, 2012 nor if it is a renewal of a contract executed prior to October 18, 2012.



## **REPORTING INFORMATION TO THE NEW YORK CITY DEPARTMENT OF INVESTIGATION**

If you have information of any corrupt or fraudulent activities or unethical conduct relating to a New York City funded project or contract, contact:

**Department of Investigation (DOI) Complaint Bureau  
212-825-5959**

**or by mail or in person at:**

**DEPARTMENT OF INVESTIGATION  
80 MAIDEN LANE, 17th FLOOR  
NEW YORK, NEW YORK 10038  
Attention: COMPLAINT BUREAU**

**or file a complaint on-line at:  
[www.nvc.gov/doi](http://www.nvc.gov/doi)**

*All communications are confidential.*

### **THE LAW PROTECTS EMPLOYEES OF CITY CONTRACTORS WHO REPORT CORRUPTION**

- Any employee of a contractor or subcontractor that has a contract with the City or a City contractor of more than \$100,000 is protected under the law from retaliation by his or her employer if the employee reports wrongdoing related to the contract to the DOI.
- To be protected by this law, an employee must report information about fraud, false claims, corruption, criminality, conflict of interest, gross mismanagement, or abuse of authority relating to a City contract over \$100,000 to DOI or to certain other government officials all of whom must forward the report to DOI.
- Any employee who has made such a report and who believes he or she has been dismissed, demoted, suspended, or otherwise subject to an adverse personnel action because of that report is entitled to bring a lawsuit against the contractor and recover damages.



**Attachment C**  
**Broker's Certification Form**

*attached*

**BROKER'S CERTIFICATION**

[Note to Contracting Agency: Every Certificate of Insurance must be accompanied by either the following certification by the broker setting forth the following text and required information and signatures or certified copies of all policies referenced in the Certificate of Insurance.]

**CERTIFICATION BY BROKER**

The undersigned insurance broker represents to the City of New York that the attached Certificate of Insurance is accurate in all material respects, and that the described insurance is effective as of the date of this Certification.

Hays Companies of Wisconsin

[Name of broker (typewritten)]

1200 North Mayfair Road, Suite Milwaukee, WI 53226

[Address of broker (typewritten)]

dsapiro@hayscompanies.com

[Email address of broker (typewritten)]

(414) 259-8400 / (414) 259-8448

[Phone number/Fax number of broker (typewritten)]

*Daniel J. Sapiro*

[Signature of authorized official or broker]

Daniel J. Sapiro, President

[Name and title of authorized official (typewritten)]

State of ...Wisconsin.....)

) ss.:

County of ...Milwaukee.....)

Sworn to before me this 07 day of January 20 13

*Jeannel L. Fortino*  
NOTARY PUBLIC FOR THE STATE OF Wisconsin



**Attachment 1**  
**Price Schedule**

**ATTACHMENT 1**  
**Revised: January 11, 2013**

Please fill out the two tables below. If you are proposing to be either the Program Consultant or the Financial Services Firm but not both, please fill out only the corresponding table below.

**PROGRAM MANAGEMENT: MOBIS 847-7RC:**

<b>CATEGORY RATES PER HOUR</b>			
<b>Project Executive</b>	\$ 190.00	% of time	25-35%
<b>Subject /Industry Matter Specialist</b>	\$ 185.00	% of time	100%
<b>Project Manager</b>	\$ 154.00	% of time	100%
<b>Senior Management Consultant</b>	\$ 135.00	% of time	100%
<b>Management Consultant</b>	\$ 121.00	% of time	100%
<b>Analyst</b>	\$ 98.50	% of time	100%
<b>Project Administrator</b>	\$47.50	% of time	100%

GSA #GS-10F-0329S

**FINANCIAL SERVICES FIRM:**

<b>CATEGORY RATES PER HOUR</b>			
<b>Partner/Principal/Executive Director</b>	\$ 190.00	% of time	25-35%
<b>Senior Manager</b>	\$ 185.00	% of time	100%
<b>Manager</b>	\$ 154.00	% of time	100%
<b>Senior</b>	\$ 135.00	% of time	100%
<b>Staff</b>	\$ 121.00	% of time	100%
<b>Project Leader</b>	\$ 154.00	% of time	100%
<b>Project Manager</b>	\$ 154.00	% of time	100%
<b>Task Leader</b>	\$ 135.00	% of time	100%
<b>Senior Accountant/ Auditor</b>	\$ 135.00	% of time	100%
<b>Staff Accountant/ Auditor</b>	\$ 121.00	% of time	100%
<b>Quality Control/Assurance</b>	\$ 154.00	% of time	100%
<b>Industry Specialist</b>	\$ 185.00	% of time	100%

**SPECIALIZED TECHNICAL SERVICES: FABS 520-13RC**

<b>CATEGORY RATES PER HOUR</b>			
<b>Project Executive</b>	\$ 221.16	% of time	25-35%
<b>Subject Matter Expert</b>	\$ 222.19	% of time	100%
<b>Project Manager</b>	\$ 177.85	% of time	100%
<b>Financial Analyst III</b>	\$ 177.85	% of time	100%
<b>Financial Analyst II</b>	\$ 142.83	% of time	100%
<b>Financial Analyst I</b>	\$ 94.46	% of time	100%

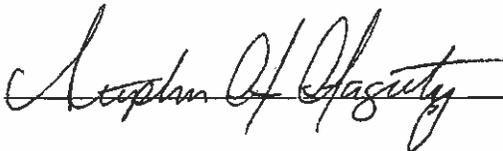
GSA #GS-23F-0027V

## ATTACHMENT 1 (continued)

Note: As per the City's request, we have amended our original Attachment 1 to include Specialized, Ancillary Technical Services using Hagerty's GSA FABS 520-13RC Schedule. Labor category descriptions can be found in Section 1(c) of the relevant Hagerty GSA Schedule. Staff engaged on this project will meet the minimum labor skill description requirements of the labor category for which they are assigned.

Name: Stephen H. Hagerty

Firm: Hagerty Consulting, Inc.

Signature:  Date: 1/11/13

EXHIBIT

HAGERTY

partners for public sector excellence



HURRICANE SANDY RECOVERY PROGRAM AND  
FINANCIAL SERVICES

DECEMBER 11, 2012

NEW YORK CITY

GSA MOBIS SCHEDULE 874 #GS-10F-03295

GSA FABS SCHEDULE 520 #GS-23-F-0027V

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HAGERTY CONSULTING  
1618 ORRINGTON AVE., SUITE 201  
EVANSTON, IL 60201 847.492.8454

CHICAGO WASHINGTON D.C.

HAGERTYCONSULTING.COM

December, 11, 2012

City of New York  
Office of Management and Budget  
255 Greenwich Street  
New York, New York 10007-2146

**Subject: Program Consultant & Financial Service Firm Consultant for Hurricane Sandy Recovery**

Dear Selection Committee:

We are pleased to submit a proposal to help the City of New York with technical, administration, data collection and reporting requirements associated with program management and federal reimbursements as a result of Hurricane Sandy. Hagerty Consulting (TIN #37-1431085) has extensive and successful experience in this area both on the Federal side and the local side, most recently completing a 5-year, \$12M, 25-person financial recovery effort for the City of New Orleans after Hurricane Katrina. Due to our experience in both FEMA Public Assistance and financial management we are submitting this one, 5-page proposal for both the Program Consultant and Financial Services work.

Since Hagerty incorporated in 2002, we have successfully completed more than 100 projects, ranging in size from \$10,000 to \$12 million. A sampling of our projects include successfully: (1) Managing the \$7.4B 9/11 federal recovery effort; (2) Managing the financial management functions for the City of New Orleans \$1B reconstruction program, (3) Managing the \$1.3B Congressionally created Special Community Disaster Loan (SCDL) after Katrina, (4) Serving in lead quality control roles for the Mississippi Katrina \$2.5B PA program, (5) Conducting improper payment act and A-123 Internal Controls Review for DHS; and (6) Serving in senior Public Assistance Program advisor roles to clients.

Our work quality is evidenced by the fact that there have been no known adverse audit findings on major projects led by Hagerty (e.g., 9/11 and Katrina Special CDL); many of our innovations such as the Incremental Cost Approach, the Baseline Cost Generator, and NOLA Quickbase Disaster Financial Management System have been recognized as best practices; in formal client evaluations since May, 2009, 94% of our clients have rated us exceptional or higher than expected, with the other 6% rating us fully as expected (Source: Perfolio®); and we regularly team with and are sought after by top consulting and engineering firms such as the PricewaterhouseCoopers, Grant Thornton, Accenture, Deloitte, URS, Tetra Tech, CH2M Hill, and others.

We hope we'll have the opportunity to apply our talents and knowledge to your recovery efforts and help you obtain a full, complete, and speedy reimbursement of federal funds. If you have any questions about the attached proposal please don't hesitate to call me at (847) 492-8454, ext. 110 or (847) 571-6403 (cell), or email me at [steve.hagerty@hagertyconsulting.com](mailto:steve.hagerty@hagertyconsulting.com).

Sincerely,



Stephen H. Hagerty  
President

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## Introduction

The Hagerty team knows first-hand how time consuming, complex, and challenging it is for applicants to recover after a major disaster, particularly one of historic proportions. There are complex federal regulations that must be complied with, supporting documentation that must be submitted and retained, financial reports that must be submitted for each project, timelines that must be adhered to, and cash flow models that must be maintained. Relative to Hurricane Sandy and NYC, many questions will likely arise, such as:

- How should FEMA's insurance rule for "obtain and maintain" apply when the City is self-insured?
- How should code and standard upgrades be applied to damaged elements?
- How will asbestos abatement and mold remediation be handled in older, eligible facilities?
- Should the City purchase or lease equipment for emergency response?
- What about latent water damage due to salt water intrusion?
- What about reimbursement to Private-non-Profits (PNPs) that serve the City in an almost quasi-governmental way?
- What's the best way to track Program Management and Disaster Administrative Costs?
- How will invoices be reconciled, costs captured, and reimbursements reflected in the underlying accounting records?

Issues related to these and other questions will inevitably arise as the recovery process begins. Having a consultant who has a long and deep understanding of the Program and is a smart, thoughtful, strategic thinker will allow the City to obtain funding quickly, completely, and in compliance with all the applicable rules and regulations. It will also allow the City to understand and intelligently adopt 404 and 406 Hazard Mitigation opportunities and make informed decisions on improved versus alternate projects. For the following reasons we believe Hagerty is best positioned to help the City.

1. We spent two years working with the City after 9/11. We understand the professionalism, philosophy, and practical and reasonable approach the City takes to addressing issues and positioning itself in a manner to completely and fully qualify for reimbursements under all federal programs.
2. We know through our work in Katrina and elsewhere how the FEMA rules have been applied in different situations.
3. Our full-time project leadership – **Liam O'Keefe** and **Anthony Trasatti** – have prior experience working with NYC and extensive and widely respected experience in FEMA Public Assistance and post-disaster financial management.
4. Our leadership is supported by an extensive team of experienced professionals including: **Steve Hagerty**, **Chris Lopez**, **Jim Smith** and other professionals with backgrounds in engineering, insurance, accounting, and other disciplines.
5. We bring to this project proven procedures, processes, and systems used successfully in New Orleans and with the FEMA CDL to manage the financial functions of billion dollar programs.
6. We believe in properly and strategically planning the project in collaboration with our clients and FEMA and then mobilizing the additional professionals needed to execute the plan.
7. Lastly, many of us spent 1-2 years helping NYC recover after 9/11 and feel a personal sense of obligation to help again if given the opportunity.

## Successful Relevant Experience

Hagerty Consulting is a 75-person management consulting firm that helps clients prepare for and recover from disasters. For more than 10 years we have served as leaders within FEMA's Public Assistance Program working on and successfully solving some of the most complex, politically sensitive issues. Our professionals have prepared thousands of high quality grant applications (e.g., PWs) exceeding \$5B for all categories of work and types of disasters, including multiple, major hurricanes. We have worked on more than 30 presidential declared disasters and have professionals with expertise involving all FEMA Categories of work (A-G), including those dealing with insurance, mitigation, alternate, and improved projects. We have specifically been called upon on multiple occasions to develop, reconcile, and review large federal grants and loans in excess of \$250M; to in essence serve as the reasonable third party when disputes arise between FEMA and the Grantee or Sub-grantee. We have consistently developed and implemented successful innovative solutions to difficult PA problems (e.g., Incremental Cost Approach, Baseline Cost Generator, and NOLA Quickbase Disaster Financial Management System). We have been involved in all phases of the PA process from developing detailed damage descriptions, scopes of work and costs estimates, to programmatically and financially closing out projects.

Specifically we have:

- Managed the implementation of the \$7.4B Federal World Trade Center recovery program, including the FEMA PA and the 9/11 Associated Costs program. This included developing and implementing the Expedited Closeout Process, which enabled FEMA to programmatically close out all World Trade Center disaster PWs within two years of the disaster event.
- Designed and implemented the Incremental Cost Approach, which efficiently reimbursed New York applicants for approximately \$500 million in emergency force account costs immediately following the WTC disaster.
- Managed the financial management functions for the \$1B reconstruction of New Orleans after Hurricane Katrina, including conducting an internal controls review, developing audit checklists, and reconciling PW estimates to actual costs.
- Re-engineered, coordinated, implemented, and maintained the \$1.3 Billion Special Community Disaster Loan program after Hurricane Katrina.
- Analyzed Second Appeal requests and provided recommendations to FEMA on the disposition of these appeals based on our knowledge of the Robert T. Stafford Act, the 44 Code of Federal Regulations, and applicable FEMA policies and OMB circulars.
- Completed A-123 Internal Controls Review and Improper Payment Act Reviews of Department of Homeland Security programs.
- Provided training to City of Philadelphia employees and national associations on record-keeping and financial management to ensure full reimbursement of eligible FEMA PA claims.
- Developed and helped implement new financial management, grant management, and accounting protocols and processes to help the City of New Orleans effectively manage billions of dollars in Federal recovery grants, including the FEMA PA and the HUD Community Development Block Grant.
- Reconciled a \$127 Million Expedited Project Worksheet for the University of Texas Medical Branch after Hurricane Ike.

- Conducted an Eligibility and Financial Review of the \$300M Houston 403 Katrina Sheltering Program in order to avoid subsequent FEMA OIG adverse audit findings.
- Provided professionals with programmatic and technical expertise to help FEMA prepare Public Assistance (PA) grants to state and local governments related to infrastructure and alternate and improved projects following the 2010 Severe Storms and Flooding in the State of New York.
- Served as project manager for a \$25 million insurance claims recovery including business interruption and extra expense costs to continue operations. Developed FEMA allocation of insurance proceeds between insured FEMA eligible costs and FEMA ineligible costs.
- Served as an insurance advisor and grantee liaison with FEMA for the Chippewa Cree Tribe, ensuring compliance with 44 CFR 206.205-253, evaluating all PWs for appropriate insurance deductions, and determining appropriate and reasonable insurance requirements for Section 406 work.
- Advised multiple clients on grant management business process improvements, including grant approval processes and PW cost documentation protocols.
- Completed a study of disaster debris costs and developed and implemented recommendations for FEMA to better control costs for debris removal activities following disasters.

While we have many more examples of the work we have done for clients, we believe the bullets above demonstrate that we meet the minimum requirements for the Program Consultant and Financial Services Firm qualifications.

## Organizational Capability

Recovering from a disaster, especially one as large as Hurricane Sandy, is critical in order for the residents of NYC to resume normal routines and for the economy to continue to grow. We take very seriously the important role we play as advisors, consultants, collaborators, and implementers. Our success is directly tied to our client's success so ensuring we have the organizational capability to deliver is essential to us. To ensure that, we generally ask 5 questions:

1. Do we have the right people to lead the effort?
2. Can we call upon additional resources to staff the operation and serve in key technical roles, as needed?
3. Have we successfully performed this work in the past?
4. Do we have strong business partners we can reach out to if we need to bring on subcontractors with technical specialties?
5. Is there a local talent pool we can tap into to train and run transactional activities?

**We have the right people available to lead this effort.** We have assembled a strong management team to lead the Program Consulting and Financial Management work streams of this project. **Liam O'Keefe will serve as the on-site PA Program Consultant Subject Matter Expert.** Liam joined Hagerty in 2003 after starting his career at NYC OEM. He subsequently went on to serve as a Public Assistance Coordinator, Deputy Public Assistance Officer of Quality Control and PA Policy Advisor in

Alexandra Norton, Project Delivery  
Director, City of New Orleans

"A mix of exceptionally talented, responsive and appropriately qualified staff with excellent responsiveness."

Mississippi after Katrina, and has worked PA operations on more than 10 federal disasters around the country. He has a keen intellect, a deep understanding of the PA Program, and a working understanding of NYC. Liam also served as the Deputy Director and Director of Philadelphia's Office of Emergency Management for 5 years, recently returning to Hagerty in May 2012.

**Harrison Boyd, Recovery Director  
City of New Orleans**

"The personnel provided by Hagerty were extremely committed and functioned as an integrated component in a multi-faceted recovery management team. Hagerty personnel performed critical financial and accounting functions associated with the City of New Orleans management of the \$1.9 billion dollar recovery program implemented in response to the devastation associated with hurricanes Katrina and Rita. Led by Anthony Trasatti and James Pineda the Hagerty team provided the City of New Orleans with critical financial management and technical expertise which enabled the City to manage over 1100 PWs and 600 projects. "

**Anthony Trasatti will serve as the full-time, on-site Financial Management Subject Matter Expert.** Anthony is a PwC trained accountant who most recently spent the last 5 years overseeing a team of 25 people responsible for all the financial functions related to the \$1B reconstruction of New Orleans, funded through FEMA's Public Assistance Program and HUD's Community Development Block Grant. Prior to that, Anthony served as the lead FEMA accountant on the NY/NJ Port Authority claims after 9/11. He is technically adept at developing, reconciling, and reviewing large federal claims, managing large teams and large recovery efforts, and implementing efficient processes and smart technology systems.

**Paul Schwartz  
FEMA Program Manager,  
\$6.5M FEMA Gap Program**

"The performance of the Hagerty team was exceptional. Hagerty's specialty is combining talented management consultants who understand how technology can be smartly used to improve emergency management related systems, with the right kind of subject matter expertise for the task at hand. Hagerty consistently provided the program with professional high quality analysis, recommendations, and reports. Its personnel had a superior work ethic and a strong commitment to customer satisfaction."

Depending on NYC's needs we will consider mobilizing additional advisors/specialists as needed. Examples of these individuals include: **Chris Lopez** the former Federal Coordinating Officer (FCO) for the Northridge Earthquake and a key consultant who worked with NYC after 9/11; **Jim Smith**, one of the top insurance specialists in the country who was instrumental in addressing complex insurance issues after 9/11; **Steve Hagerty**, the President of Hagerty Consulting, and a key leader in the 9/11 recovery effort as well as the implementation of the \$1.3B Special Community Disaster Loan program created by Congress after Katrina.

We have an extensive multi-disciplinary cadre to choose from to staff the project. We understand that the FEMA Recovery Program requires multiple disciplines. For that reason we invest heavily in human resources and currently have an active cadre of more than 100 professionals, including Accountants, CPAs, Financial Analysts, Cost Estimators, Engineers, Hazard Mitigation Specialists,

Insurance Specialists, Senior PA Policy Advisors, Report Analysts, Database Developers, and Former FEMA Attorneys. Provided in Attachment A are resumes of the individuals named above.

**We have successfully performed this work before.** As mentioned above in Section 1, we have extensive experience with managing the Public Assistance Program and financial functions after a disaster.

**We have strong business partners we can reach out to.** If we encounter highly complex, technical or programmatic issues for which others are better equipped to address, we have an extensive network of business partners we have worked with in the past – including firms that specialize exclusively in accounting, engineering, mitigation, etc. Once our labor rates are agreed to we would look to bring any future business partners on-board under those labor categories, obtaining the City’s approval prior to bringing any other firm on board.

**We would look to tap into the local talent pool for transactional work.** If we identify transactional work that can be performed by less expensive junior level accountants or administrative specialists we will work with NYC to either hire locally or use one of the City’s existing temporary support contracts. We used a similar approach in New Orleans and it was a highly, cost-effective solution.

## Proposed Approach

In executing both the Program Management and Financial Management aspects of this project Hagerty will seek to collaborate with the City to achieve the following outcomes:

1. Develop an implementation strategy that applies best practices from past disaster recoveries, leverages existing City processes, and is efficient, effective, and compliant with Federal requirements;
2. Develop an approach to managing the PA Grant Program that captures the City and our direct administrative costs and assigns them to specific Project Worksheets, and captures indirect costs (i.e., management costs) related to the City’s PA Program that cannot be allocable to a specific project;
3. Ensure that the City applies for and receives reimbursement for all eligible work and costs;
4. Ensure that the City complies with federal and state requirements, eliminating or reducing the potential for future appeals and deobligations;
5. Confirm that Project Worksheets are clear, accurate, and complete;
6. Maximize opportunities to apply for 404 and 406 Hazard Mitigation funding, whenever possible;
7. Obtain federal reimbursement as quickly as possible, recognizing the time value of money;
8. Establish a professional, respectful, and effective relationship between the City, State, and FEMA on all matters; and
9. Leverage our experience with FEMA’s Long-Term Recovery Program and National Flood Insurance Program, and HUD’s CDBG program to identify any other funding opportunities for the City.

### HOW HAGERTY DEFINES PROJECT SUCCESS

NYC quickly obtains all funds it’s entitled to under the FEMA PA Program in a collaborative, efficient, and compliant manner, and meets the objectives it sets at the start-up of this project.

Our approach to reimbursement will include:

- Orient and train all relevant parties on financial management/reimbursement procedures
- Develop and circulate audit checklists
- Prepare federal grant applications
- Address issues raised
- Financially and programmatically closeout Program
- Define upfront eligible scope or work (SOW)
- Seek FEMA’s confirmation on SOW
- Identify and classify all costs that emanate from that SOW
- Identify issues that will likely arise and develop mitigation strategy
- Develop streamlined mechanism to submit reimbursement
- Develop processes and systems (if necessary) to capture, track and report expenses

## **Price Proposal**

### **Corporate Registration**

Hagerty's DUNS is 143-52-9720, and the CAGE code is 3X0K7. Hagerty's EIN is 37-1431085.

### **Designation(s)**

Hagerty is a federally qualified small business under NAICS Code 541611.

### **GSA MOBIS and FABS Schedule & Recovery Purchasing**

Hagerty holds a GSA MOBIS and FABS Schedule. Our MOBIS Contract Number is GS-10F-0329S, Schedule 874-1, 874-2, and 874-7. Our FABS schedule is GS-23F-0027V, Schedule 520-11 (Accounting Services) and 520-13 (Financial Management Services). We are proposing to do this work, both the Program Management and Financial Management, under the MOBIS schedule because the financial management work is ancillary to the Program Management work and the rates on our MOBIS schedule are less than the rates on our FABS Schedule.

Our MOBIS and FABS schedules are authorized for Disaster Recovery Purchasing. Public Law 109-364 authorized the General Services Administration to provide for the use of Federal Supply Schedules by State and local governments for the purchase of products and services from major disasters, terrorism, or nuclear, biological, chemical, or radiological attacks.

### **Percentage of Staff Time**

With the exception of the Project Executive (s) and the Subject/Industry Matter Specialists we've allocated 100% to all other labor categories. Until we meet with the City, assess the workload and issues, and collaboratively develop a work plan, we are unable to provide certainty around the level of effort we will need for each category.

### **Contract Terms**

Hagerty understands that this is a Time and Materials, Not-To-Exceed contract in which Hagerty will be paid for its productive, billable hours plus associated travel costs. We will comply with the Federal Travel Regulations unless the City requests that we comply with a different set of travel regulations.

### **Time & Expense Tracking**

Hagerty understands that the City is seeking reimbursement from FEMA for all work associated with program management and financial management associated with its eligible disaster related projects and Public Assistance administration responsibilities and that Hagerty will be expected to develop and implement a time tracking system to account for all such costs.

**Status Reports**

At the outset of the project, the Project Executive and Project Manager(s) will meet with NYC to agree upon the frequency and components of in-person or written status reports. Because this project is dynamic and evolving, we will provide NYC with, at a minimum, a monthly report on our activities, accomplishments, hours, and expenses so that all parties can closely track the effort and expenses of this project.

**Staffing and Labor Categories**

Prior to mobilizing anyone onto the project outside of those presented in this proposal, we will classify them into one of Hagerty's approved GSA labor categories. A bio of the professional and their assigned labor category will be provided to NYC's Program Manager in the regular, agreed-upon status report.

**Organizational Conflict of Interest**

FEMA is aware that Hagerty is pursuing this opportunity and if we win we will work with all parties to ensure there is an acceptable organizational Conflict of Interest (COI) Mitigation plan.

**Invoicing and Payment Terms**

Hagerty issues invoices for the proceeding thirty-day period on the 10th of the following month. Hagerty's payment terms are net 30 days.

**Remittance Address**

By Electronic Transfer:  
Bank: Citibank  
ABA # 021272655  
Credit to: Hagerty Consulting, Inc.  
Account No. 1019237037  
Address:  
111 Sylvan Avenue  
Englewood Cliffs, NJ 07632  
Phone #: 201-227-2900

By Check remit to:  
Smith Barney  
Attention: Bill Currie  
C/O Hagerty Consulting  
130 East Seneca Street, Suite 500  
Ithaca, NY 14850

**Validity Period**

This proposal shall remain valid for 30 days following date of submission, after which it will expire unless extended in writing by Hagerty.

**Client Feedback**

The City of New York understands and agrees that Hagerty will seek feedback on its project performance from key project stakeholders. The client agrees to provide Hagerty with such written feedback. The feedback will be obtained through Hagerty's client feedback system, Perfolio®, and help Hagerty to monitor and share with others its performance, understand what we're doing well, and in what areas, if any, we need to improve.

## **Entire Bid**

Hagerty's proposal and prices cover both the program management and financial management. Based on our experience, we feel strongly that the relationships between these two activities within the PA Program is so strongly correlated that the work should remain under one firm, assuming that firm can perform the work on a cost-effective basis.

## **Authorized Negotiator**

Stephen H. Hagerty  
President  
Hagerty Consulting, Inc.  
1618 Orrington Avenue  
Evanston, IL 60201  
Phone: (847) 492-8454  
[steve.hagerty@hagertyconsulting.com](mailto:steve.hagerty@hagertyconsulting.com)

ALL REVISED  
Attachment 1

### ATTACHMENT 1

Please fill out the two tables below. If you are proposing to be either the Program Consultant or the Financial Services Firm but not both, please fill out only the corresponding table below.

**PROGRAM CONSULTANT:**

CATEGORY RATES PER HOUR			
Project Executive	\$ 190.00	% of time	25-35 %
Subject /Industry Matter Specialist	\$ 185.00	% of time	100 %
Project Manager	\$ 154.00	% of time	100 %
Senior Management Consultant	\$ 135.00	% of time	100 %
Management Consultant	\$ 121.00	% of time	100 %
Analyst	\$ 98.50	% of time	100 %
Project Administrator	\$ 47.50	% of time	100 %

**FINANCIAL SERVICES FIRM:**

CATEGORY RATES PER HOUR			
Partner /Principal/Executive Director	\$ 190.00	% of time	25-35 %
Senior Manager	\$ 185.00	% of time	100 %
Manager	\$ 154.00	% of time	100 %
Senior	\$ 135.00	% of time	100 %
Staff	\$ 121.00	% of time	100 %
Project Leader	\$ 154.00	% of time	100 %
Project manager	\$ 154.00	% of time	100 %
Task Leader	\$ 135.00	% of time	100 %
Senior Accountant/ Auditor	\$ 135.00	% of time	100 %
Staff Accountant/ Auditor	\$ 121.00	% of time	100 %
Quality Control/Assurance	\$ 154.00	% of time	100 %
Industry Specialist	\$ 185.00	% of time	100 %

Name: Stephen H. Hagerty

Firm: Hagerty Consulting, Inc.

Signature: *Stephen H. Hagerty* Date: 12.11.12

Hagerty Consulting  
Hurricane Sandy

Program and Financial Management Crosswalk

MOBIS Labor Category	Financial Services Firm	Rate	Professionals
Project Executive	Partner/Principal/Exec. Director	\$ 190.00	Hagerty, Lopez
Subject/Industry Matter Specialist	Senior Manager/Industry Specialist	\$ 185.00	O'Keefe, Trasatti, J. Smith,
Project Manager	Manager/Project Leader/Project Manager/Quality Control-Assurance	\$ 154.00	DellaVolpe
Senior Management Consultant	Senior/Task Leader/Senior Accountant-Auditor	\$ 135.00	TBD
Management Consultant	Staff/Staff Accountant-Auditor	\$ 121.00	J. Johnson
Analyst	Analyst	\$ 98.50	TBD
Project Administrator	Project Administrator	\$ 47.50	TBD

## Attachment 2: Resumes

STEPHEN H. HAGERTY ◆	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>Steve Hagerty is a management consultant, entrepreneur, and business executive with more than 17 years of professional experience managing large federal programs and improving the public sector. He has served as a strategic planning, process improvement, quality control, change management, and financial consultant for a variety of clients including the Federal Emergency Management Agency (FEMA), the U.S. Department of Homeland Security (DHS), the City of Los Angeles, the U.S. House of Representatives, the California Department of Forestry, the U.S. Patent Trademark Office, the U.S. Forest Service, Fluor Corporation, IBM, and PricewaterhouseCoopers (PwC).</p> <p>Throughout his career Mr. Hagerty has been looked upon to reengineer, manage, and lead large, complex, politically sensitive federal programs, including the outsourced \$7.4B federal recovery effort after 9/11 and the \$1.4B Special Community Disaster Loan (CDL) Program established by Congress after Hurricane Katrina. In both of these roles, Mr. Hagerty was singled out for his commitment to excellence, evidenced by his knowledge of federal regulations, thoroughness, and fact that neither program experienced any known adverse audits by the Office of Inspector General (OIG); and his ability to implement new approaches that streamlined the grant process yet still complied with the Government's regulations. As a result of his focus on quality, Mr. Hagerty has twice been asked by Fortune 500 companies to develop quality control plans for large \$100M+ federal contracts they hold.</p> <p>Prior to starting Hagerty Consulting in September 2001, Mr. Hagerty served as a staff consultant, senior consultant, manager, and senior manager at Price Waterhouse, and subsequently PricewaterhouseCoopers, Office of Government Services between 1993 and 2001. He developed experience in the areas of large scale project management; financial and program reviews; federal grant management; organizational assessments; process design; strategic planning; and performance improvement. During his tenure at PwC, he contributed significantly to the development of the firm's public sector practice, particularly in regard to FEMA; participated in the firm's e-business council; and actively participated in the firm's recruiting, mentoring, training, and staff evaluation process. Mr. Hagerty was regularly recognized as one of the top-performing consultants in the Office of Government Services.</p> <p>As the President of Hagerty Consulting, Mr. Hagerty's focus is on providing his executives and managers with the resources, tools, and training needed to deliver outstanding results. He is a member of the GSA Professional Services Industry Government Council, Board President of the Evanston Chamber of Commerce, member of the Connections for the Homeless Advisory Council, member of the Chicagoland Chapter of the Young Presidents Organization (YPO), and a frequent guest at Syracuse University's Maxwell School of Citizenship and Public Affairs, where he gave the Convocation Address to the 2007 graduates.</p>	<ul style="list-style-type: none"> <li>◆ Oversaw \$7.4B outsourced FEMA 9/11 Recovery Operation for two years</li> <li>◆ Coordinated \$1.3B Federal Government Loan Program from 2005-2010</li> <li>◆ Led Hagerty's role on 5-year, \$500M FEMA Public Assistance contract</li> <li>◆ Led Hagerty's role on \$50M Housing Assistance contract and \$40M DHS CFO contract</li> <li>◆ Reengineered federal loan program to reduce in take from 8 to ~1 week</li> <li>◆ Created Incremental Cost Approach (ICA) to speed reimbursement of \$500M to governments after 9/11</li> <li>◆ Subject Matter Expert on FEMA's Public Assistance Program – Instructor, Deputy PAO, Advisor, PAC, PO</li> <li>◆ Subject Matter Expert on FEMA's Community Disaster Loan Program</li> <li>◆ Developed 3-1-1 implementation strategy for City of Los Angeles</li> <li>◆ Conducted workload analysis to justify California Department of Forestry budget increase</li> <li>◆ Helped establish the Federal Government's Long-Term Recovery Framework</li> </ul>
<p><b>EDUCATION</b></p>	<ul style="list-style-type: none"> <li>◆ Masters of Public Administration, Maxwell School of Citizenship and Public Affairs, Syracuse University, 1993</li> </ul>

STEPHEN H. HAGERTY ◆

◆ Bachelor of Science (Consumer Studies), Syracuse University, 1991

**RELEVANT WORK EXPERIENCE****President, Hagerty Consulting, Inc., 2001-Present**

- Provide executive-level support under various federal contracts including FEMA Public Assistance, FEMA Individual Assistance, FEMA Hazard Mitigation Technical Assistance Program (HMTAP), DHS EAGLE, FEMA Disaster After Action Review and Technical Services (DAARTS), FEMA Joint Housing Solutions Group (JHSG).
- Serve as a subject matter expert in the areas of public assistance, disaster housing, long-term recovery, and community disaster loans.
- Provide executives, managers, and staff with the resources, tools, and training to identify the right people, mobilize quickly to meet client needs and deliver outstanding client results.
- Developed quality control plans for two Fortune 500 Companies; one for a \$100M federal contract and the other for a \$500M federal contract.
- Oversaw the implementation of a \$1.4B congressionally mandated Community Disaster Loan Program after Hurricane Katrina to local governments in Mississippi and Louisiana, and subsequently Texas and Iowa after Hurricane Ike. Streamlined the application and cancellation process, while still complying with Federal regulations, and processed more than 150 applications.
- Served as the Chief Operating Officer for FEMA's \$7.4B outsourced recovery operation in NYC following 9/11. Responsible for all aspects of the operation, including producing over 1,500 grants valued in excess of \$7.4B, managing a staff of 75 professionals, quality control, strategic planning, resource management, assessing individual and team performance, working on the most complex federal grants, and establishing an environment that fostered innovation.

**Senior Manager, Manager, Senior Consultant, Consultant, Price Waterhouse (subsequently PricewaterhouseCoopers), Office of Government Services, Washington, D.C. 1993-2001**

- Identified, developed, and managed multi-million dollar consulting projects in areas of grant management, strategic planning, financial and policy analysis, process and performance improvement, and organizational change.
- Developed and managed a ~15 person, multi-million dollar FEMA practice for the firm.
- Participated in the recovery of more than 20 disaster events (e.g., Hurricanes Andrew and Marilyn, 1993 Midwest Floods, CA Fires); working closely with state and local governments to determine federal reimbursement.
- Developed strategic plans for the creation of a 3-1-1 system in the City of Los Angeles and having a federal agency assume control of ".us," the United State's top-level domain.
- Conducted multiple organizational assessments for FEMA, U.S. Forest Service, and other clients that examined issues related to people, process, organization, and performance.
- Re-engineered processes for several clients to eliminate inefficient steps, including the patent and trademark process and the process to award post-disaster grants for earthquake damaged buildings.

- Conducted multiple performance audits, including an audit of the U.S. House operations.
- Performed multiple financial, program, and eligibility reviews on multi-million dollar federal grants awarded to state and local agencies.

LIAM O'KEEFE ♦	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>Liam O'Keefe has over ten years of experience as an emergency management professional who has been recognized for his ability to effectively lead programs that address emergency preparedness, protection, security, response, recovery and mitigation by building collaborative relationships with federal agencies, state and local governments, regional authorities, business and industry groups, and volunteer organizations. He has personally prepared over one hundred Public Worksheets (PWs) in all categories of work (A-G). He is also certified to teach FEMA's Public Assistance Operations 1 and 2, Project Worksheet Development, and Preliminary Damage Assessment courses.</p> <p>Most recently, Mr. O'Keefe has served as Director of Emergency Management for the City of Philadelphia. In this role, he oversaw a complete transformation of the City of Philadelphia's emergency management program including the creation of an entirely new administrative infrastructure, a 6 fold increase in staffing (from 4 to 27), creation of a 24/7 all hazards watch unit, acquisition of advanced technology and equipment to support citywide emergency response and planning efforts, and secured millions of dollars in external funding to expand and sustain agency operations. Prior to this, Mr. O'Keefe served as a Management Consultant to the Federal Emergency Management Agency (FEMA) following ten major disaster declarations including World Trade Center (9/11), Hurricanes Katrina, Charley, Frances, Jeanne, Ivan, Dennis, Marilyn, and Super Typhoons Pongsona and Paka (Guam). Following Hurricane Katrina, he designed, implemented, and managed a \$2 billion grant quality control unit involving a team of ten technical specialists responsible for performing program, policy, and accounting reviews of over 7000 Public Assistance Grants. Also while supporting FEMA, Mr. O'Keefe personally prepared Federal grants valued in excess of \$800 million for restoration of critical infrastructure and for costs associated with government response and recovery efforts. Liam O'Keefe also played a critical role in authoring various sections of the World Trade Center Disaster Digital Library, a document highlighting the funding issues encountered and dealt with by FEMA in the wake of the World Trade Center Disasters. Prior to serving as a Management Consultant, Mr. O'Keefe worked with the New York City Office of Emergency Management as an Emergency Preparedness Specialist. In this role, he assisted in the management and coordination of \$4.75 billion in Public Assistance grant funding. He partnered with city agencies, to account for eligible disaster related costs, gather supporting documentation, provide policy support, and develop methodologies to streamline reimbursement to the City.</p>	<ul style="list-style-type: none"> <li>♦ Served as Director of Emergency Management for the City of Philadelphia</li> <li>♦ Personally prepared over 100 Project Worksheets (PWs) in all categories of work (A-G)</li> <li>♦ Personally prepared Federal grants valued in excess of \$800 million</li> <li>♦ Supported NYC in the management and coordination of \$4.75 billion in PA grant funding</li> <li>♦ Following Hurricane Katrina, he designed and implemented a \$2 billion grant quality control unit reviewing over 7,000 PA Grants</li> <li>♦ Served as a Consultant to FEMA following ten major disasters</li> <li>♦ Oversaw complete overhaul and expansion of the emergency management program within the City of Philadelphia by establishing an organizational structure to meet planning and operational needs of the City</li> </ul>
<p><b>EDUCATION</b> ♦ Bachelor of Arts (Psychology), College of the Holy Cross, 2001</p>	

**RELEVANT WORK EXPERIENCE****Management Consultant, Hagerty Consulting, 2003-2007, 2012-Present**

- Served as a Management Consultant to FEMA following ten major disasters declarations including the World Trade Center (9/11), Hurricanes Katrina, Charley, Frances, Jeanne, Ivan, Dennis, Marilyn, and Super Typhoons Pongsona and Paka (Guam).
- Designed, implemented and oversaw a \$2 billion federal grant quality control unit following Hurricane Katrina and managed a ten person team of technical specialists responsible for performing program, policy, and accounting reviews of over 7000 Public Assistance grants.
- Personally prepared Federal grants valued in excess of \$800 million for the restoration of critical infrastructure and for costs associated with government response and recovery efforts.
- Authored various sections of the World Trade Center Disaster Digital Library, a document highlighting the funding issues encountered and dealt with by FEMA in the wake of the World Trade Center disaster.
- As first employee of the firm, was responsible for internal business development activities including contract administration, recruiting, and staff administration. Helped grow the firm to 60 employees.
- Policy Analysis & Formulation: Served as a Policy Program Advisor responsible for providing policy and program guidance to FEMA Management and to field staff in the aftermath of Hurricane Katrina. Reporting directly to FEMA's Infrastructure Branch Chief in Mississippi, addressed complex and unique policy issues through comprehensive research and analysis of federal rules, regulations, procedures and policies, coordination with FEMA headquarters, and through the preparation of numerous disaster specific policy guidance and internal policy documents. Regularly addressed program and policy questions from management and field staff and consulted staff on programmatic issues including process, protocols, deadlines, statutes and regulations, and requirements unique to the Hurricane Katrina disaster event. Served as lead in responding to inquiries from Congress and the Senate regarding FEMA policy, program progress, and applicant specific project issues.
- Disaster Program Management: Designed, implemented and oversaw a \$2 billion federal grant quality control unit. In this capacity, managed a ten person team of technical specialists responsible for performing financial, program, and policy reviews of over 7,000 Public Assistance grants to local, state, and private not for profit organizations. Monitored the quality of work submitted from the field and identified methods to streamline the administration and processing of grant funding while ensuring that grants were of superior quality and could withstand an audit or Inspector General review. Performed analysis of program processes and service delivery practices to identify reasonable and efficient quality measurements for FEMA disaster programs. Served as a FEMA instructor in the delivery of disaster program management and operation training sessions for federal, state, and local employees, and contracting staff.
- Financial & Grant Management: Managed numerous disaster projects which required the ability to collect, analyze, and summarize financial data, review procurement and payroll procedures, perform financial documentation review (invoices, purchase orders, requisitions, proof of payments, contracts, etc.) and develop tools and methodologies to accurately account for eligible and ineligible disaster costs. Projects include the development of \$300 million in World Trade Center disaster grants based on

a mandate by Congress; cancellation of a multi-million dollar Community Disaster Loan to the US Virgin Islands following Hurricane Marilyn; and execution of an audit of the Guam Power Authority following Super Typhoon Paka in Guam.

- **Training and Course Development:** Served as a FEMA Instructor and trained hundreds of disaster recovery workers in areas such as Public Assistance, Hazard Mitigation, Debris Removal, Damage Assessment & PW Development. FEMA's disaster cadre at disaster locations. Managed the development of numerous multi-day training courses for FEMA Headquarters.

**Director of Emergency Management, City of Philadelphia, 2010-2012**

**Assistant Managing Director of Emergency Management, City of Philadelphia, 2007-2010**

- Oversaw complete overhaul and expansion of the emergency management program within the City of Philadelphia by establishing an organizational structure to meet planning and operational needs of the City.
- Developed and stood up a 24/7 all hazards watch unit responsible for monitoring, analyzing, and disseminating information to critical stakeholders.
- Established formal agency liaison relationships with over 500 organizations including federal agencies, state and local governments, regional authorities, business and industry groups, volunteer organizations, and healthcare facilities.
- Through dramatic enhancements in Philadelphia's emergency management program, was successful in obtaining Tier 1 Urban Area Security Initiative (UASI) status for the City of Philadelphia; resulting in a 50% increase in homeland security grant funds to the region.
- **Executive Level Administration:** 1<sup>st</sup> in command of the Philadelphia Office of Emergency Management and principal advisor to the Mayor and Mayor's cabinet on emergency management and select homeland security issues. Oversaw the day-to-day direction, management and monitoring of agency programs, activities, and resources, resolution of conflicts and problems, and guide emergency response and recovery activities for the agency. Coordinated development and implementation of strategic, operating, and budget plans and activities and evaluate performance of organization. Coordinated financial management of the agency including analysis, compliance and reporting associated with budget and grants. Represented the agency and the city to media and an array of task forces and workgroups at the state and federal levels. Serve as Vice-Chair of Southeastern Pennsylvania Counterterrorism Task Force Executive Board; a body responsible for overseeing the management of over \$20M in Homeland Security grant funding allocated to the region annually.
- **Foster Collaboration & Build Consensus:** Lead agency efforts to establish and/or enhance relationships with emergency management stakeholders including federal agencies, state and local governments, regional authorities, business and industry groups, volunteer organizations, and healthcare facilities (established formal liaison relationship with over 500 organizations). Leverage external relationships to foster collaboration within the emergency preparedness community and increase engagement in the development, review, and evaluation of citywide and regional emergency preparedness, response, and recovery plans.
- **Policy Formulation & Implementation:** Managed formulation and implementation of entirely new administrative infrastructure for the agency including the development and implementation of internal administrative policies that address emergency response, personnel, security, conduct, timekeeping,

accountable property, communication, information technology, vehicle use, project management and information sharing. Analyzed and evaluated emergency preparedness planning and policy initiatives to determine appropriateness of impact and policy effectiveness.

- **Preparedness Plan Development:** Oversaw development and updates of response, recovery, and mitigation plans for emergencies arising from natural or man-made disasters, terrorism, industrial accidents, or other causes and provide guidance to agency staff and partner organizations in the development, review, and evaluation of preparedness plans. Proposed program initiatives and allocate resources to meet agency mission and objectives. Spearheaded all critical infrastructure / key resource planning and reporting initiatives for the city and developed and maintained the City's Critical Infrastructure / Key Resource Compendium – a planning tool which provided detailed information on facilities that are critical to the economic viability and safety of the city.
- **Coordinating Emergency Response and Recovery Operations:** Coordinated management of emergency response operations, such as information gathering to support response, deploying personnel to incidents to facilitate interagency coordination, or activating and managing the Emergency Operations Center during major emergencies and large planned special security events. Supported the establishment of an Operations Division within the organization to coordinate large-scale emergency responses and a 24 X 7 capacity to respond on-scene or via the Emergency Operations Center within one hour. Lead agency effort to ensure information gathering, analysis, and dissemination, decision making, and resource allocations are carried out effectively.

**Emergency Preparedness Specialist, New York City Office of Emergency Management, 2001-2003**

- Assisted in the management and coordination of \$4.75 billion in Public Assistance grant funding allocated to the City of New York following the World Trade Center disaster (9/11).
- Assisted in coordination of debris sorting and removal efforts at the site of the World Trade Center and the debris processing area in Staten Island.
- **Disaster Program Management:** Assisted in the management and coordination of \$4.75 billion in Public Assistance grant funding allocated to the City of New York following the World Trade Center disaster (9/11). Partnered with City agencies, to account for eligible disaster related costs, gather supporting documentation, provide policy support, and develop methodologies to streamline reimbursement to the City.
- **Emergency Plan Development:** Developed comprehensive emergency management plans necessary to support the City's response and recovery from catastrophic emergencies including acts of terrorism, explosions, coastal storms, power outages, citywide transportation strikes and other contingencies. Partnered with representatives from city, state, and federal agencies and the private sector to develop recovery protocols addressing all phases of the recovery process, including debris management, federal disaster assistance, structural building assessment, and the coordination of the SBA Economic Injury Disaster Loan processes for small businesses.
- **Emergency Response & Recovery Coordination:** Assisted in the coordination of the World Trade Center (WTC) disaster response and recovery efforts of city, state, and federal agencies. Choreographed debris sorting and removal effort at the site of the World Trade Center and the debris processing area in Staten Island. Partnered with city, state, and federal entities to ensure streamlined repair and restoration of the city's infrastructure including roadways, transit, and underground utilities. Served as OEM's

infrastructure and transportation coordinator/liaison during activation of the city's Emergency Operations Center, a central point for information coordination, resource requests, and decision-making in times of crisis.

### TEACHING EXPERIENCE

- St. Joseph's University, Visiting lecturer for various masters courses, 2011
- Public Assistance Operations 1, FEMA, Various Disaster Locations, 2005-2006
- Public Assistance Operations 2, FEMA, Various Disaster Locations, 2005-2006
- Project Worksheet Development Course, FEMA, Various Disaster Locations, 2005-2006
- Preliminary Damage Assessments, FEMA, Various Disaster Locations, 2005-2006
- Hazard Mitigation 406, FEMA, Various Disaster Locations, 2005-2006
- Operations Security (OPSEC), Philadelphia OEM, 2009-2011
- Business Continuity Workshop, Philadelphia OEM, 2009-2011
- General Emergency Preparedness, Philadelphia OEM, 2007-2011

### TRAINING ACTIVITIES

#### NIMS

- ICS 100 – Introduction to Incident Command System (*Homeland Security*)
- ICS 200 – ICS for Single Resources and Initial Actions (*Homeland Security*)
- ICS 300 – Intermediate ICS for Expanding Incidents (*Homeland Security*)
- ICS 400 – Advanced ICS for Command & Staff for Complex Incidents (*Homeland Security*)
- IS 700 – National Incident Management System (*Homeland Security*)
- IS 800 – National Response Plan (*Homeland Security*)
- IS 701a – NIMS Multi-agency Coordination Systems (*Homeland Security*)
- IS 703a – NIMS Resource Management
- IS 704 – NIMS Communication and Information Management

#### Emergency Management / Programmatic

- IS 139 – Exercise Design
- IS 230 – Fundamentals of Emergency Management
- IS 235 – Emergency Planning
- IS 240 – Leadership and Influence
- IS 241 – Decision Making and Problem Solving
- IS 242 – Effective Communication
- IS 244 – Developing and Managing Volunteers
- IS 775 – Emergency Operations Center (EOC) Management and (*Homeland Security*)
- IS 546 – Continuity of Operations (COOP) Awareness Course (*Homeland Security*)
- IS 547 – Introduction to Continuity of Operations (*Homeland Security*)
- IS 548 – Continuity of Operations (COOP) Manager (*Homeland Security*)
- IS 860 – Introduction to the National Infrastructure Protection Plan (*Homeland Security*)
- IS 821 – Critical Infrastructure and Key Resources (*Homeland Security*)
- Public Assistance Operations 1 (*Homeland Security*)
- Public Assistance Operations 2 (*Homeland Security*)
- Debris Removal Operations (*Homeland Security*)
- Hazard Mitigation 406 (*Homeland Security*)

- Project Worksheet Development (*Homeland Security*)
- Preliminary Damage Assessment (*Homeland Security*)

#### Counterterrorism

- Operations Security (OPSEC) Counterterrorism Training Program (*5 Training Days - Federal Law Enforcement Training Center – Homeland Security*)
- Physical Security Training Program (*10 Training Days - Federal Law Enforcement Training Center – Homeland Security*)
- Emergency Response to Terrorism: Train the Trainer (*US Department of Justice*)
- Planning for Nuclear and Radiological Terrorism (*US National Nuclear Security Agency*)
- Surveillance Detection Field Course (*Homeland Security*)
- Vehicle Born Improvised Explosive Device Awareness Training (*Homeland Security*)
- VBIED/IED Recognition/Response for Passenger Vessels and Terminals (*Homeland Security*)
- Private Sector Counterterrorism Awareness (*Homeland Security*)
- Chemical Terrorism Vulnerability Information (CVI) User Training (*Homeland Security*)
- Terrorist Threat Training (*US Department of Justice*)
- Emergency Planning (*New York State Emergency Management Office*)
- IS-1 Emergency Program Manager (*Homeland Security*)
- IS-5 An Introduction to Hazardous Materials (*Homeland Security*)

#### Other

- Emergency Vehicle Operations Course (*Philadelphia Police Department*)
- Rail Safety for Emergency Responders (*CSX, Amtrak, PATCO*)

#### **CERTIFICATIONS**

- PEMA, County Coordinator – Basic Certification, June 2011
- PEMA, Deputy County Coordinator – Basic Certification, June 2010
- Department of Homeland Security, Protected Critical Infrastructure Information Authorized User, May 2009
- Department of Homeland Security, Chemical-terrorism Vulnerability Information Authorized User, May 2009

#### **HONORS AND AWARDS**

- Ranked #21 within the government category in **Security** magazine's 2011 "Security 500" list – a ranking of the top 500 security organizations in the nation.
- U.S. Army Corps of Engineers Commander's Certificate of Appreciation (COL J. O'Dowd)
- U.S. Army Defense Coordinating Element (5<sup>th</sup> Army) Certificate of Appreciation (COL J. Mathis)
- Federal Emergency Management Agency Certificates of Appreciation (WTC Disaster & Hurricane Katrina)
- Acknowledgement in "WTC Building Code Task Force Report" & "WTC Building Performance Study"
- Emerging Leader Award (Big City Emergency Managers / Target Corporation)

CHRIS LÓPEZ ◆	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>Chris Lopez has more than 16 years' professional experience effectively managing highly complex federal disaster programs. She is skilled in program management, strategic planning, facilitation, performance improvement, and innovative policy development, all in the context of highly visible emergency management projects. Throughout her FEMA career, Ms. Lopez was repeatedly sought after to facilitate discussions that involved a multitude of stakeholders for the purposes of developing creative and effective outcomes to complex issues.</p> <p>Ms. Lopez served as the Project Executive and lead facilitator and moderator of a series of tabletop exercises (TTXs) for the City of Philadelphia. For these exercises, Ms. Lopez facilitated planning conferences, developed situation manuals, served as the moderator for each exercise, and led the development of After Action Reports which included the identification of corrective actions needed to improve the City's emergency response capabilities. Ms. Lopez was responsible for ensuring that each exercise effectively tested the City's emergency response plans and was compliant with NIMS and HSEEP.</p>	<ul style="list-style-type: none"> <li>◆ Project Executive and lead facilitator for a series of emergency response exercises for the City of Philadelphia</li> <li>◆ Project Executive on the FEMA New Madrid Seismic Zone Catastrophic Planning project</li> <li>◆ Led the design and implementation of innovative processes to successfully close-out the \$7.4 Billion disaster recovery operation following the World Trade Disaster</li> </ul>
<p>Ms. Lopez also led a Hagerty engagement to assess FEMA's post-disaster housing operations on the Gulf Coast, and to devise recommendations to speed the transition of families from interim housing to more permanent housing solutions. Ms. Lopez led teams of consultants that conducted reviews of FEMA operations in AL, LA, MS, and TX, and presented the teams' findings and recommendations to the Assistant Administrator for Gulf Coast Recovery.</p>	<ul style="list-style-type: none"> <li>◆ Developed unique policy allowing for \$2 Billion transfer in FEMA funds to the FTA for redevelopment of the lower Manhattan transportation system</li> <li>◆ FCO experience in the Northridge Earthquake recovery operation</li> <li>◆ Highly skilled and demonstrated success at large scale project management; strategic planning; organizational and process assessments and reengineering reviews; and facilitation</li> </ul>
<p>Following 9/11, the Federal Recovery Officer (FRO) charged Ms. Lopez with the development of a policy approach that would allow FEMA to play a significant role in funding the redevelopment of the lower Manhattan transportation system. Ms. Lopez' work resulted in a Congressionally-approved white paper that allowed the transfer of \$2 billion in FEMA funds to the FTA for redevelopment efforts. Ms. Lopez also designed and oversaw the implementation of an expedited close-out process for \$7.4 billion in grants issued in the recovery process. Within one month, she successfully oversaw the process mapping, the development of standard operating procedures, training materials, and forms; and the training and orientation of both FEMA staff and applicants on the close-out program.</p>	<ul style="list-style-type: none"> <li>◆ Recipient of FEMA Director's Award for Individuals</li> </ul>
<p>As a result of her work on various operations, Ms. Lopez received the FEMA Director's Award for Individuals, presented to those who have demonstrated extraordinary and innovative performance in support of the Agency's Strategic Plan.</p>	

**RELEVANT WORK EXPERIENCE****Independent Consultant, Hagerty Consulting, Inc., 2010 – Present****Vice President and Project Executive, Hagerty Consulting, Inc., 2005 – 2010**

- Ms. Lopez served as a Vice President at Hagerty Consulting, where she served as Project Executive on many of Hagerty's most critical projects and managed key aspects of Hagerty's internal operations.
- 2009 – 2010, Project Executive, FEMA's New Madrid Seismic Zone Catastrophic Disaster Readiness Planning and Technical Assistance Project. The goal of the work has been to help FEMA and its stakeholders implement an effective, integrated planning system that coordinates local, State, and Federal plans and provides a blueprint for a flexible, integrated response to catastrophic events.
- 2009 – 2010, Project Executive, City of Philadelphia Office of Emergency Management Exercises. Lead planning, development and delivery of a series of progressive exercises for the City of Philadelphia OEM. The exercises aimed to test the City's mass casualty, mass care and sheltering, evacuation, and incident management emergency operations plans. A primary focus of the exercises was to help the Philadelphia OEM forge improved operational relationships across multiple public and private stakeholders. For this project, Hagerty successfully delivered two workshops, two TTXs, and a functional exercise, with each exercise building on lessons learned from the preceding exercises. All are designed and delivered in compliance with HSEEP guidelines
- 2008, Project Executive, City of Philadelphia Office of Emergency Management Exercises. Ms. Lopez lead in the planning, development and delivery of three TTXs focused on the City's then newly developed mass evacuation plans. For these exercises, Ms. Lopez facilitated planning conferences, developed situation manuals, served as the moderator for each exercise, and led the development of After Action Reports which included the identification of corrective actions needed to improve the City's emergency response capabilities. Ms. Lopez was responsible for ensuring that each exercise effectively tested the City's emergency evacuation plans and was compliant with NIMS and HSEEP.
- 2007 – 2008, Project Executive, FEMA's Gulf Coast Recovery Office Housing Action Plan Support Contract. Served as the Project Executive on Hagerty's contract with FEMA to assess, reengineer, and streamline the GCRO's HAP processes. The purpose of this effort was to streamline the transitioning of the 40,000+ applicants in Gulf Coast states residing at that time in travel trailers and mobile homes. Ms. Lopez coordinated three teams of Hagerty professionals placed in FEMA's Transitional Recovery Offices (TROs) in Louisiana, Mississippi, Texas and Alabama. These teams analyzed information gathered from the TRO's housing activities to develop a set of detailed recommendations for the GCRO executive team. The analysis included conducting interviews with managers and staff from all departments involved in the direct housing mission, participating in shadowing activities with staff to gain understanding of how staff interacted with applicants and other Federal agencies, creating process maps to chart the functions of different departments, and conducting a comprehensive review and analysis of data management and reporting systems used by FEMA's housing operations to determine ease of use and applicability to direct housing operations.
- 2006, Project Manager & Lead Facilitator, Middle Rio Grande Endangered Species Act Collaborative Program, US Department of Interior Bureau of Reclamation, Albuquerque, NM

- In June 2007, the Federal and non-Federal signatories to the Middle Rio Grande Endangered Species Act Collaborative Program (MRG CP) found themselves at cross-purposes regarding critical MRG CP issues such as the core purpose of the MRG CP and how budget, organizational and process issues were being addressed. The U.S. Bureau of Reclamation, the primary sponsor of the MRG CP, solicited contractor support to facilitate a 2-day July 2007 retreat with MRG CP representatives aimed at addressing and reaching consensus on as many of the issues as possible. Ms. Lopez had just one month to coordinate and complete all tasks associated with the execution of the project. These tasks included reading all background materials provided by the Government; developing a draft agenda, including retreat purpose, ground rules and group processes/decision making tools and time frames to be used during the retreat; obtaining and integrating feedback from the Program Manager and Executive Committee co-chairs prior to the retreat; during the 2-day retreat, facilitating group communications, maintaining focus on objectives and agenda, enforcing ground rules, improving relationships, and enhancing the decision-making process; following the retreat, providing a document summarizing the consensus decisions and common understandings reached during the retreat. The project was completed on schedule and within the specified budget.
- 2005 – 2007, Hurricane Katrina and Rita Hagerty Recovery Staff Oversight. Oversaw the day-to-day operation of 40+ Hagerty consultants working within FEMA's Public Assistance and Individual Assistance recovery operations in Louisiana, Mississippi and Texas for Hurricanes Katrina and Rita. She was responsible for ensuring outstanding delivery of services to FEMA and applicants, served as a sounding board for questions regarding FEMA policies and funding eligibility, met with FEMA executives to respond to requests for staff for special projects and provided feedback to Hagerty consultants seeking to present unique policy ideas to FEMA management.
- 2005 – 2006, Advisor, PricewaterhouseCooper's Louisiana Recovery Authority Public Health & Healthcare Subcommittee, New Orleans, LA. On behalf of Hagerty, Ms. Lopez worked with PWC and the Louisiana Recovery Authority's Public Health and Healthcare Subcommittee to provide strategic advice on the State of Louisiana's pursuit of FEMA funds and legislative relief for work needed to restore Louisiana's damaged health care facilities.

#### **Consultant, Senior Policy Advisor and Senior Project Manager, Fluor Corporation, 2000-2005**

- Oversaw a series of complex, high-dollar and high-visibility project.
- 2003 California Wildfires, San Diego County and 2005 California Winter Storms, Santa Barbara and Ventura Counties. Served as FEMA official in San Diego County and Santa Barbara and Ventura Counties, respectively, in the aftermath of wildfires and winter storms that impacted hundreds of thousands of individuals and extensive public areas. In both instances, responsible for establishing and implementing strategic and organizational plans to address the policy, staffing and community issues brought about by the disasters.
- 2001 – 2003, Senior Policy Advisor, 9/11 World Trade Center Attacks, New York, NY. Deployed by FEMA to the WTC recovery operation to serve as lead representative to several critical New York City agencies. In 2002, was asked by the Federal Recovery Officer (FRO) to design innovative criteria and uses for funds designated for emergency transportation projects. These successful multi-agency projects represented over \$2B of the \$8.5B allocated to FEMA in response to the WTC event. In 2003, was asked by the FRO to return to New York to lead the development of an expedited closeout strategy for the over 1,500 grants written by FEMA. With a team of 40+ staff members implementing the strategy and working successfully with various City, State and private non-profit organizations, FEMA awarded and programmatically closed out all grants within two years of the WTC event, which

compares favorable for much longer close out timelines for most large scale disaster recovery operations.

- 2000 – 2001, Acting Deputy Director, Cerro Grande Fires, Los Alamos, NM. Responsible for initiating the policies, fiscal oversight, community relations operations, staffing and operational structures necessary to fulfill the requirements of the Cerro Grande Fire Assistance Act. This special legislation appropriated \$450 Million to assist those communities and individuals impacted by the 2000 fires in Los Alamos, NM.

#### **Federal Emergency Management Agency, 1995 – 2000**

- 1999 – 2000, Director, Earthquake Policy Review Team, Pasadena, CA. Following her FCO work for the Northridge Earthquake, Ms. Lopez was tasked by the former FEMA Director to direct a special project analyzing the unique set of complex response and recovery challenges presented by catastrophic earthquakes to recommend revised Federal policies that could be used in the aftermath of a next declared earthquake in California.
- 1998 – 1999, Federal Coordinating Officer, Northridge Earthquake, Pasadena, CA. In 1998 Ms. Lopez was appointed by the former Director of FEMA as the Federal Coordinating Officer for the Northridge DFO to formulate an aggressive closedown strategy for a \$6+ billion disaster field operation. She effectively established the policies, downsized and reorganized the staff structure, and led complicated negotiations that allowed for the rapid resolution of issues with applicants on over \$800 million of outstanding Public Assistance projects. As a result of her achievements, the then Director of FEMA awarded her in 2000 with the Director's Award for Individual Achievement within the Response and Recovery Directorate.
- 1995 – 1998, Director, Intergovernmental Outreach, Northridge Earthquake, Pasadena, CA. Ms. Lopez was initially brought into FEMA's Northridge Disaster Field Office to design a congressional and intergovernmental outreach program for an operation with highly visible and controversial issues. She designed an staffing and operational structure that is now still used in disaster field offices throughout the country. She is also crediting with successfully serving as the liaison between the former Director of FEMA and elected officials in California.

#### **Consultant, Project Director, Highland Consulting, 2004**

- Through Highlands Consulting, Ms. Lopez worked as a consultant to the California Military Department, serving as the Project Director overseeing the design and implementation of a series of tabletop exercises conducted with four state agencies and four California counties. All exercises were required to be designed around scenarios based on weapons of mass destruction. The purpose of the project was to identify areas of weaknesses in the entities' continuity of government and continuity of business plans, and present reports identifying methods by which the plans could be improved. The agencies and counties included the California Highway Patrol, the California Department of Social Services, the California Emergency Medical Services Authority, and Butte, Shasta and Yolo counties.

ANTHONY TRASATTI ◆	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>Anthony Trasatti has more than 18 years of accounting, auditing, and consulting experience at the national and international levels. He specializes in large-scale program management, operational analyses, and financial and eligibility audits. He has served in a variety of operational and advisory roles for client projects.</p> <p>Mr. Trasatti is currently engaged by the City of New Orleans assisting with the financial management of their \$2 billion recovery program, which includes numerous funding sources from federal and state agencies. In addition, he oversees the financial compliance unit that provides fiscal monitoring of the \$411 million grant the City received from disaster Community Development Block Grants (CDBG). He manages a team comprised of over 30 professionals from financial management, accounting, and engineering backgrounds.</p> <p>Mr. Trasatti was engaged previously supporting FEMA's Individual Assistance (IA) programs at the Louisiana Transitional Recovery Office. As the Project Manager, Mr. Trasatti was responsible for the overall delivery of client services and execution of program deliverables. Mr. Trasatti provided reporting and program analysis for senior management in the delivery and administration of the Hurricane Katrina temporary housing program in Louisiana. He has overseen technical support to all IA systems and databases, including the FEMA Response and Recovery Applicant Tracking System, Work In Progress, Maintenance Deactivation Contractor Tool, and WebAR. Mr. Trasatti supported the 2004 Florida Hurricane Disaster Recovery as a FEMA technical specialist and FEMA's response to the September 11, 2001 attack on the World Trade Center as a financial specialist.</p> <p>Prior to joining Hagerty Consulting, Mr. Trasatti spent six years as a senior manager at PricewaterhouseCoopers in their international offices of Moscow, Russia, and Kyiv, Ukraine. He advised the Russian State Property Committee on legislative and operational reform and implementation of Russia's Mass Privatization Program. Mr. Trasatti was also a principal party responsible for practice development and establishing the Kyiv office (growing the staff and client base, increasing service and technical capabilities).</p> <p>Mr. Trasatti also spent five years with the Price Waterhouse Office of Government Services, where he focused on federal government audits, internal control reviews, compliance reviews and auditable surveys.</p>	<ul style="list-style-type: none"> <li>◆ Project Management experience with the City of New Orleans financial disaster recovery and disaster CDBG grants</li> <li>◆ Experience with FEMA's Individual Assistance, Public Assistance, and Community Disaster Loan programs</li> <li>◆ Project Manager in support of data management for the temporary housing mission at the LA TRO</li> <li>◆ Public Assistance Coordinator during the 9/11 World Trade Center disaster recovery</li> <li>◆ Federal financial management and auditing experience</li> <li>◆ Significant experience with large-scale project management, practice development and leadership roles</li> <li>◆ Experience working with governments of Ukraine and Russia on privatization and other issues</li> <li>◆ Member of the American Institute of Certified Public Accountants (AICPA)</li> </ul>
<p>EDUCATION</p>	<ul style="list-style-type: none"> <li>◆ Bachelor of Business Administration, Concentration in Accounting, James Madison University, 1990.</li> <li>◆ Member of American Institute of Certified Public Accountants, 1991</li> </ul>

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## RELEVANT WORK EXPERIENCE

### **Vice President for Field Operations, Hagerty Consulting, April 2003 – present**

Mr. Trasatti directs Hagerty's large-scale field operations in the Gulf Coast. He provides project management and subject matter expertise to Community Development Block Grant (CDBG) and FEMA programs, including FEMA's Individual Assistance Program and CDBG's disaster assistance grants.

### **City of New Orleans (City Hall), CDBG and FEMA Specialized Services**

Project Executive/Manager, March 2008 – Present

Mr. Trasatti oversees the technical, financial, and grants management support for the City of New Orleans' \$400M CDBG program. The program was established after Katrina to spur housing initiatives, economic development, and other community programs. Mr. Trasatti's team assists the City to administer and monitor the individual project grants funded by CDBG. Specifically, the team establishes financial reports and analysis of CDBG funds including cash flows, budgets, projections, and reconciliation of funded amounts. The team also helps to establish program monitoring techniques and checklists of eligible activities for matters of compliance. Our team will also provide technical assistance to sub-recipients and sub-grantees to train and provide guidance regarding CDBG requirements and reporting practices.

Mr. Trasatti also assists the City of New Orleans' Finance Department track all financial transactions related to the City's Infrastructure Recovery Program. The team developed a web-based database solution that tracks over 200 capital recovery projects, 300 FEMA Project Worksheets (PWs) (i.e., grant applications) currently totaling over \$200 million, PW versions, version requests, expenditures, and reimbursements. In addition, the team is responsible for recommending funding strategies for each recovery project and providing cash flow models of the various funding sources. Hagerty also performs an operational role by processing vendor invoices; submitting reimbursement requests and versions; and routing contracts and contract amendments.

### **Federal Emergency Management Agency (FEMA) – Individual Assistance Program**

New Orleans Transitional Recovery Office (TRO), Louisiana July 2006 – Present

Baton Rouge Joint Field Office, Louisiana September 2005 – July 2006

Orlando Joint Field Office, Florida September 2004 – August 2005

Mr. Trasatti serves as the principal point of contact supporting the Individual Assistance Program and direct housing mission at the LA TRO in New Orleans. Mr. Trasatti also serves as the lead program analyst responsible for creating reports and analysis to monitor and evaluate the activities of the IA direct housing program. In this capacity, he oversees the development of reporting tools and the review of program procedures to facilitate the achievement of program objectives. Mr. Trasatti helped create a database management information system used to improve the quality of the data and to direct the workload of hundreds of FEMA personnel providing temporary housing units to applicants with urgent housing needs.

Other activities include briefings to senior management, interpretation of IA data and projections of housing activity; creation of new procedures to enhance program efficiencies, and acting as a key liaison to external parties. Mr. Trasatti's knowledge and experience with existing information systems (NEMIS, FRRATS, WIP, DARAC) and other tools (GIS, InfoView) provide analytical and technical support, and his knowledge of IA programs and eligibility requirements provide coordination and planning support. He has been

instrumental in designing reports and enhancing existing systems, including updating FRRATS and developing the WIP, that have better enabled FEMA to manage its temporary housing programs.

Following the 2004 Florida Hurricanes, Mr. Trasatti helped manage the data needs of the direct housing operation. He led a team that conducted data analysis, prepared reports, and helped advise the Federal Recovery Office on strategic and operational issues related to direct housing.

**Federal Emergency Management Agency (FEMA), Community Disaster Loan Program consultant, February 2004-June 2004.**

Mr. Trasatti performed financial reviews of loan cancellations submitted by applicants under the Community Disaster Loan (CDL) program. Mr. Trasatti conducted analysis and drafted reports allowing FEMA to make program decisions regarding the loan cancellation applications submitted by the City of Ada, MN, and the United States Virgin Islands.

**Federal Emergency Management Agency (FEMA), Public Assistance Coordinator, April 2003-February 2004.**

FEMA's Public Assistance (PA) program provided over \$8 billion in grants to State and local governments for response and recovery efforts related to the World Trade Center disaster of September 11th, 2001. Mr. Trasatti served as Public Assistance Coordinator (PAC) for the Port Authority of New York & New Jersey, one of the Agency's largest applicants eligible for federal financial assistance. He was the primary representative within FEMA responsible for managing the distribution of federal financial assistance. As a financial specialist, he reviewed project reimbursements for quality control and project compliance.

**Price Waterhouse/PricewaterhouseCoopers, Senior Manager, 1990 – 2002**

Mr. Trasatti was an experienced manager within the audit and business advisory services of the commercial practice and a lead manager of the Transaction Services group, offering specialized products and services to support the international investor community, including due diligence assignments and buy-side transactions. He also focused on federal government audits, internal control reviews, compliance reviews and auditable surveys.

JAMES SMITH ◆	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>James Smith is a subject matter expert on technical insurance coverage and claims adjusting issues such as post-disaster insurance coverages, complex insurance allocation issues related to business interruption and policy exclusion, and complicated insurance loss/damage valuations. His experience with insurance spans over 35 years.</p> <p>Most recently, Mr. Smith took on the role of Senior Insurance Specialist to assist Hagerty in preparing the statement of loss document for a Business Interruption Claim for the Rocky Boy's Health Board, Unit of Chippewa Cree Tribe in Montana.</p> <p>As a senior insurance subject matter expert for AECOM, Mr. Smith has worked in Public Assistance Insurance for multiple disasters. His insurance work in the field includes serving on teams during the NY World Trade Center Attack, LA Hurricane Katrina, LA Hurricane Rita, TX Hurricane Ike, and WA severe storms and flooding.</p> <p>Mr. Smith has strong and extensive working knowledge of the PA program including Stafford Act, Title 44 CFR 206 implementing regulations related to PA and other directives gained while working largest disasters in FEMA; WTC attack, Katrina and Ike. He has the ability to effectively train and manage large PA insurance groups capable of generating duplication of benefits deductions from insurance. He managed over \$1.1 billion deductions from over 30,000 PW's in Hurricane Katrina.</p> <p>Mr. Smith has excellent versatility and adaptability to handle multiple State PA tasks and functions such as Grant Management, policy and appeals, State Applicant Liaison, and Task Force Leader as well as insurance specialist.</p> <p>Mr. Smith has numerous professional licenses and delegations under his belt: Chartered Property and Casualty Underwriter (CPCU), Associate in Risk Management (ARM), Property &amp; Casualty Claims Adjuster, Risk Manager, and General Lines Insurance Agent.</p>	<ul style="list-style-type: none"> <li>◆ Over 35 years experience in the insurance industry</li> <li>◆ Played a major role as PA Insurance Group Lead for FEMA post-disasters: Hurricane Katrina and Hurricane Rita</li> <li>◆ Served as a PA Insurance Specialist for FEMA for the NY World Trade Center Attack</li> <li>◆ Holds Professional Licenses for: Property &amp; Casualty Claims Adjuster, Risk Manager, General Lines Insurance Agent</li> <li>◆ Knowledgeable of National Response Framework, NIMS, Incident Command System and JFO and State Grantee organizations</li> </ul>
<p><b>EDUCATION</b></p>	<ul style="list-style-type: none"> <li>◆ Business Management, Virginia Commonwealth University, Richmond, VA</li> </ul>

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**RELEVANT WORK EXPERIENCE****Independent Consultant, Hagerty Consulting, Inc., June 2011-present**

- Senior Insurance Specialist for the Business Interruption Claim for the Rocky Boy's Health Board, Unit of Chippewa Cree Tribe

**Public Assistance Insurance Experience, FEMA**

- DR-1391-NY World Trade Center Attack – (4 months) PA Senior Insurance Specialist
- DR-1603-LA Hurricane Katrina – (20 months) PA Insurance Group Lead & Advisor
- DR-1607-LA Hurricane Rita – (20 months) PA Insurance Group Lead & Advisor
- DR-1641-WA Severe Storms and Flooding – (5 weeks) PA Insurance Specialist
- HSFEHQ-07-J-0111 - Catastrophic Disaster Infrastructure Recovery Initiative – (2 months) team member
- DR-1791-TX Hurricane Ike – (10 months) Task Force Leader & PAC Crew Leader Special Considerations
- DR-1934-MO Severe Storms and Flooding – (3 months) PAC Crew Leader

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**AECOM - (FEMA Technical Assistance Contractor) , 2002-2011**

- Served as the Emergency Response Program Management Consultant (ERPMC) , specifically as senior insurance subject matter expert and Public Assistance program policy expert

**Tahoe Internet Corp d/b/a GovStar (Independent Consultant), 1999-2011**

- President and owner of a consulting firm focused on public sector risk management.
- Developed the Public Entity Risk Institute (a national data warehouse used for benchmarking public sector risk management metrics.
- Created the National League of Cities (underwriting technology solutions for 20 member risk sharing pools).
- Led strategic planning efforts for various clients.
- Operated public service web site called GovStar.com.

**Johnson & Higgins/Marsh & McLennan (Insurance Consulting Firm), 1978-1999**

- Held various senior executive positions including Managing Director of Marsh Inc. and CEO of Am GRIP, a \$25 million revenue subsidiary with over 250 employees that provided insurance consulting services focused on public sector.
- Re-engineered and privatized Nevada Workers Compensation system
- Developed the Texas Mutual Insurance Company underwriting division.
- Was recognized as a national expert and speaker on insurance & risk management issues related to public sector.

MARK DELLA VOLPE ◆	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>Mark DellaVolpe is a business and finance professional with over 5 years of experience in data analysis and financial modeling. He is a driven individual with a unique background in investment banking, management consulting and software solution development.</p> <p>Currently, Mr. DellaVolpe works as a Financial Analyst with the City of New Orleans where he assists with the systems development and financial management of their \$2 billion recovery program, which includes numerous funding sources from federal and state agencies. In addition, Mr. DellaVolpe helps manage the a \$200 million Revolving Credit Account, one of the City of New Orleans' primary funding sources for FEMA projects.</p> <p>In addition to his work with Hagerty, Mark manages an angel fund that invests in management software solution companies.</p> <p>Prior to his work with Hagerty, Mr. DellaVolpe served as an Equity Research Analyst at Johnson Rice &amp; Co., LLC Investment Services. There, he performed data analysis and financial modeling services, published research and maintained financial models on nearly 50 equity securities across the energy space. Along with a team of three other analysts, he increased Oil Service trading commissions/revenues to highest level since the 2008 market crash.</p>	<ul style="list-style-type: none"> <li>◆ Over 5 years of data analysis and financial modeling</li> <li>◆ Extensive experience in database and systems development, Public Assistance policies and procedures, and sub-grantee processing of grant documents</li> <li>◆ Developed a system to sync Louisiana's Grantee Information Management System data with FEMA NEMIS data and the City of New Orleans' accounting databases</li> <li>◆ Managed the reporting arm of hundreds of Project Worksheets and corresponding reimbursement across multiple funding sources</li> <li>◆ Helped oversee a \$200 million fund from the state of Louisiana used as a recovery cash source by the City of New Orleans</li> </ul>
<p><b>EDUCATION</b></p>	<ul style="list-style-type: none"> <li>◆ Bachelor of Science, Economics, Duke University</li> </ul>

**RELEVANT WORK EXPERIENCE****Financial Analyst, Hagerty Consulting, Inc., 2010 –Present**

- Devised funding strategies for capital projects in the City of New Orleans Recovery Program
- Produced cash flow models and expenditure reports and re-engineered/ managed business processes
- Designed and maintained a web-based database containing capital project financial data
- Mapped business processes, recommended and implemented process improvements
- Identified key performance indicators and designed suites of reports for a variety of clients. Additionally, gathered requirements, wrote technical specifications, created and implemented applications, and developed training manuals and workshops

**Founding Partner, BE Capital, 2010- Present**

- Partner in an technology focused investment company that provides advisory and merchant banking services to software developers
- Sourced, evaluated and developed deals across a variety of sectors to provide capital to local entrepreneurs. Provided due diligence for potential M&A activity, devised funding strategies and produced ROI models
- Raised and invested over \$450,000 over the last 18 month with an additional \$300,000 to close by 1Q13.
- Provided advisory services to portfolio companies on a variety of business needs. Developed financial forecast models and business plans to help clients predict revenue streams and future capital needs, created investor presentation materials on company valuations, barriers to entry and potential returns on investment, implemented systems of accountability for employee payment and bookkeeping, reviewed past financial activity for future audits and tax filings, and worked with lawyers, accountants and real estate professionals to support the growth and mitigate potential business risks

**Equity Research Analyst, Johnson Rice & Co., LLC Investment Securities, 2008-2011**

- Performed data analysis and financial modeling for a top ranked energy-focused investment bank
- Published research and maintained financial models on nearly 50 equity securities for the Exploration/Production and Oil Service industries to aid institutional clients in making well informed investment decisions. Helped increase Oil Service trading commissions/revenues to highest level since the 2008 market crash
- Developed relationships with corporate management teams regarding company specific activity to better advise institutional clients on their respective equity holdings
- Conducted ad hoc research on industry specific and macro trends across the energy and financial space

**PRIOR PROFESSIONAL EXPERIENCE**

- UBS AG Investment Bank/ Financial Services

## SPECIALIZED TRAINING

FINRA Series 7 (General Securities Representative), Series 86, Series 87 (Research Analyst)

JOMAICA JOHNSON ◆	
CAREER SUMMARY	RELEVANT HIGHLIGHTS
<p>Jomaica Johnson is a results-driven consulting professional with over five years of experience with public assistance, hazard mitigation, individual assistance, and case management.</p> <p>Johnson successfully acquired and managed over \$100,000,000 in funding for Louisiana Cities and non-profit organizations in Community Development, Economic Development, Transportation, and Industrial Development programs. She has progressive experience in local government planning, emergency planning, community development, travel, business development, and economic development activities.</p> <p>Johnson previously served as HMGP Grants Specialist for the Department of Homeland Security at FEMA-DAE where she performed complete Benefit Cost Analysis for this project, program analysis, and determined project engineering feasibility and eligibility evaluations. She also identified environmental and/or historic preservation review, as well as provided technical assistance to State officials, project applicant and sub-grantees with regards to the HMGP process. Jomaica also served as Hazard Mitigation Specialist for the DHS in Albany, New York by researching, drafting and updating State Mitigation plans while providing federal level technical assistance and review of local hazard mitigation plans. She supported Federal and State Emergency Coordination Centers in response to disasters.</p> <p>As a PA Project Specialist, Ms. Johnson worked with disaster-impacted clients and other professional emergency management staff to review payment requests for eligibility and calculations, prepare grant payments and funding approval spreadsheets, identify required funding approval documents, verify and follow-up as appropriate that all contract funding conditions are met. She prepared applicant files for closure and initiated grant closure procedures.</p> <p>Ms. Johnson holds a PhD in Public Policy &amp; Emergency Management from Walden University, as well as Bachelor and Master of Science degrees in Criminal Justice from Southern University A&amp;M.</p>	<ul style="list-style-type: none"> <li>◆ Project Worksheet Specialist</li> <li>◆ Identification and tracking of environmental, mitigation and insurance grant funding conditions</li> <li>◆ Project Closing Procedures</li> <li>◆ Funding review, approval and adjustments</li> <li>◆ HMGP Grants Specialist</li> <li>◆ Proficient in Hazard Mitigation Plans</li> <li>◆ Disaster Response Specialist</li> <li>◆ Post-disaster applicant assistance</li> <li>◆ Ample experience with HUD policies</li> <li>◆ Outstanding prioritization skills</li> <li>◆ Team building capabilities</li> <li>◆ Emergency Evacuation Specialist</li> <li>◆ Risk Assessment</li> <li>◆ Numerous FEMA Certifications</li> </ul>
<p><b>EDUCATION</b></p>	<ul style="list-style-type: none"> <li>◆ PhD in Public Policy &amp; Emergency Management, Currently, Walden University, Florida</li> <li>◆ MS in Criminal Justice, 2009, Southern University A&amp;M College, Louisiana</li> <li>◆ Public Administration – 30 hours, 2009, Southern University A&amp;M College, Louisiana</li> <li>◆ Bachelor’s Degree in Criminal Justice, 2007, Southern University A&amp;M College, Louisiana</li> </ul>

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**RELEVANT WORK EXPERIENCE****HMGP Grants Specialist, Department of Homeland Security FEMA - DAE, 2011-Present**

- Compile data for program analysis.
- Compute the amount of benefits a project produces.
- Determine project engineering feasibility.
- Complete Benefit Cost Analysis for HMGP grants.
- Manage and determine program eligibility of HMGP projects.
- Respond to inquiries from awardees concerning the allowance of expenditures and budget items.
- Make site visits to institutions representing DHS/FEMA.
- Meet with HMGP applicants and sub-grantees to address and resolve project issues.
- Provide technical assistance to State officials, project applicants and sub-grantees regarding the HMGP process.
- Identify projects that may require environmental and/or historic preservation review, and expedite reviews to facilitate rapid project determinations.

**Hazard Mitigation Planner, Department of Homeland Security and Emergency Management, 2011-2011**

- Research, draft, update, and edit State Mitigation plans.
- Provide federal level technical assistance and review of local hazard mitigation plans.
- Provide mitigation outreach, training and education to agencies, communities and citizens.
- Provide program management of sub-grants under the State's Pre-Disaster Mitigation Grant, Hazard Mitigation Grant program, and other mitigation grant programs.
- Supports Federal and State Emergency Coordination Centers in response to Disaster.

**Public Assistance Project Specialist, Department of Homeland Security and Emergency Management, 2011-2011**

- Works with disaster-impacted clients and other professional emergency management staff with responsibility to review payment requests for eligibility and calculations, prepare grant payments and funding approval spreadsheets, identify required funding approval documents, verify and follow-up as appropriate that all contract funding conditions are met.
- Reviewed funding approvals and drafted initial responses to applicants on funding approvals and adjustments.
- Verified and validated all documentation required for receipt of Public Assistance grant funds that was received from applicants.

- Prepared applicant files for closure when all projects are complete.
- Initiated applicant grant closure procedures.
- Reviewed worksheets for eligibility and calculation accuracy, tracked and processed invoice voucher payments, to and refunds from program applicants.
- Identified and tracked environmental, mitigation, and insurance grant conditions of funding in grant documents.

**Hazard Mitigation Program Analyst, Shaw Hazard Mitigation Grant Program, 2011-2011**

- Led a team of 7 Mitigation Analysts.
- Managed 800+ homeowner files.
- Exercised independent judgment in the coordination and the advice given to grant applicants.
- Gathered and reviewed the required documentation from homeowners.
- Submitted applications for review and approval by (FEMA).
- Ensured work was performed within the established guidelines.
- Expended and accounted for funds in accordance with federal and state requirement.
- Reviewed and prepared payment packages totaling over \$2,000,000.

**Disaster Housing Assistance Program Coordinator, East Baton Rouge Parish Housing Authority (HUD-Program), 2007-2009**

- Managed participation and program compliance requirements for a 300 + person caseload.
- Conducted base-line Needs Assessments and Re-assessments according to HUD recommendations/policies reporting data into Efforts to Outcome system.
- Maintained document requirements through mandatory Family Case File system for each person in case load ensuring preparedness to pass random internal/external audit checks.
- Worked with case load participants to establish an Individual Development Plan according to HUD recommendations/policies to facilitate participant toward self- sufficiency as defined by HUD-FEMA guidelines.
- Provided social service referrals relative to needs as marked on Needs Assessment/Re-assessment data.
- Performed income verification and eligibility audit checks to ensure accurate rental voucher benefit allocation.
- Gathered psychosocial data to provide emotional support and to motivate participant towards Individual Development Goals and life skills achievement.
- Linked participants with Catholic Charities and other employment/job skill resources to achieve monthly income sufficiency.
- Conducted Home Visits and Agency Site visits to ensure program compliance and/or case closure process as determined.



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**CHICAGO WASHINGTON D.C.**

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## WELCOME & OVERVIEW

Hagerty Consulting, Inc (Hagerty), a professional services business under the 541611 NAICS, *Administrative Management and General Management Consulting Services*, is a public sector management consulting firm that helps clients choose the best way forward in times of change, uncertainty or crisis. Under our MOBIS schedule, we offer operational and advisory consulting services, including business process transformation, change management, organizational assessments, facilitation and tabletop exercises, policy and procedure studies and analyses, emergency preparedness and crisis recovery services, program and project management, performance audits and evaluations, and strategic and performance management. We encourage you to visit our website at [www.hagertyconsulting.com](http://www.hagertyconsulting.com) to discover more about our service offerings, capabilities, and experience.

Since its inception in 2001, Hagerty's mission has been to work collaboratively with leading public sector agencies throughout the country to address their unique business process challenges, help make distinct improvements to their business performance, and deliver meaningful results. Hagerty's success has been marked by our ability to understand clients' needs, assemble a highly qualified team to meet those needs, develop a customized and thoughtful approach to the project, and proactively help clients define and achieve short and long-term objectives. Our firm, with the equivalent of 60 full-time professionals, has successfully completed more than 100 management consulting projects ranging in size from \$10,000 to \$10 million. Since we started measuring client feedback in May 2009, 85% of our clients have rated our project performance "exceptional;" 10% have rated it "higher than expected;" and 5% have rated it "fully as expected." (Source: Hagerty's Client Feedback System, Perfolio®)

Hagerty professionals have successfully:

- Stood-up and launched new federal emergency preparedness, operational planning, and disaster recovery programs.
- Provided project management leadership to federal, state and local emergency management initiatives.
- Reengineered Federal grant financial, accounting, and program reporting processes.
- Defined business requirements for databases and applications.
- Conducted program reviews and organizational assessments.
- Assessed and revised performance measurement systems.
- Designed and conducted scenario based training exercises and workshops.
- Led organizational transformation through business process engineering.
- Facilitated strategic planning, process improvement, performance metric, and long-term planning workshops with public, private, and non-profit stakeholders.

If you ever have a need for operational or advisory consulting services, or just want another point of view on a challenge you're trying to address, we hope you will consider reaching out to Hagerty Consulting. Similarly, if your organization is seeking professional or technical assistance, we hope you will include Hagerty Consulting on the list of companies invited to bid. We are confident we can make a significant and meaningful contribution to your organization.

## OUR SERVICES

Under our MOBIS schedule, Hagerty Consulting specializes and provides services in eight functional areas: Business Process Transformation, Facilitation, Change Management, Organizational Assessment, Policy Analysis, Preparedness and Crisis Recovery, Program and Project Management, and Strategic and Performance Management.

1. **BUSINESS PROCESS TRANSFORMATION**

Business process transformation aims to improve the efficiency of business operations by removing duplicate or unnecessary steps and automating as many processes as possible. It involves a radical rethinking of what processes are and how they can best be executed. The results can be dramatic, with demonstrable, measurable operational improvements, including lower administrative costs, reduced response times, more accurate transactions, and faster service delivery.

2. **FACILITATION**

Effective facilitators focus on meeting dynamics so that participants can concentrate on the substance of their work together. Hagerty places an upfront emphasis on meeting preparation, which reduces breakdowns in meeting management and allows the facilitator to respond flexibly to unanticipated meeting roadblocks. To encourage rapid diagnostic appraisals and brainstorming, and to distil great ideas, Hagerty professionals have experience with all facilitation technologies, from flip charts to electronic groupware.

3. **CHANGE MANGEMENT**

We understand the sensitivity of organization culture to change. Hagerty professionals coach that leadership commitment, communication, and consensus help to generate enthusiasm for the new, the different, the changed. We assess the impact of change on people and processes and develop coaching and training tools to support the new ways of doing business.

4. **ORGANIZATIONAL ASSESSMENT**

We believe organizational change is founded on a holistic view of organizational performance. Recognizing that an organization is a complex system with many interdependencies, we use a model of organizational performance to both organize and depict our diagnostic assessment and improvement recommendations. Hagerty professionals identify management processes and structures that help organizations demonstrate results to its stakeholders and customers.

5. **POLICY ANALYSIS**

Policy analysis, also known as policy studies, is the systematic evaluation of alternative means of achieving social and public policy goals. Hagerty professionals have advanced degrees in public administration, public policy, statistics, economics, and social work, and years of policy analysis experience. Our specialists have national experience in specialized policy areas and understand the quantitative and qualitative methodologies required to evaluate changes in policies and programs.

## 6. **PREPAREDNESS AND DISASTER RECOVERY**

Emergency preparedness is a crucial element of any disaster or crisis prevention and recovery plan. Hagerty will help you plan for a crisis, and if necessary, help you respond and recover with agility and confidence. To improve response and recovery operations, we provide comprehensive, effective, and intelligent business continuity and contingency planning, emergency preparedness, and disaster recovery services.

## 7. **PROGRAM AND PROJECT MANAGEMENT**

Hagerty excels at overall project planning and coordination from inception to completion. Our goal is to help you meet your requirements and make sure that your project is completed on time and within cost, and that it complies with required quality standards. Hagerty professionals have managed the implementation of a \$7.4 billion outsourced Public Assistance Program; re-engineered, coordinated, and implemented a \$1.3 billion loan program; and designed, implemented, and overseen a \$2 billion federal grant quality control unit.

## 8. **STRATEGIC AND PERFORMANCE MANAGEMENT**

Strategic and performance management creates the framework and capabilities that will align people, programs, and processes to achieve your organization's overarching goals and objectives. Hagerty will help you understand the few critical skills at which you must excel in order to achieve your objectives. As a result, your organization will have the operational focus it needs to fulfill its mandate and mission. Hagerty can help you articulate your mission, define your organizational strategy, translate strategic intent into action, and measure progress.

## **DISASTER RECOVERY PURCHASING**

Hagerty Consulting is a recognized national leader in emergency preparedness, and disaster response and recovery. Our MOBIS labor categories (SINs identified by the suffix "RC") offer State and local governments disaster recovery program management professionals. Public Law 109-364 authorized the General Service Administration to provide for the use of Federal Supply Schedules by State and local governments for the purchase of products and services to recover from major disasters, terrorism, or nuclear, biological, chemical, or radiological attacks.

Hagerty Consulting's MOBIS schedule is authorized for disaster recovery purchasing by State and local governments. We have extensive experience providing disaster recovery support services to State and local governments through the Federal Emergency Management Agency's (FEMA) Public and Individual Assistance Programs. Hagerty Consulting has mobilized its resources nationwide to facilitate Federal funding assistance to State and local governments for debris removal, restoration of infrastructure, provision of temporary housing, and long term community recovery planning. In addition, we have developed and implemented training courses on reimbursement eligibility, interim and permanent housing strategies, community recovery plans, and debris management guides.

## CUSTOMER INFORMATION

### 1 (a) MOBIS SERVICES

#### SIN 874-1: Consulting Services

Hagerty has extensive knowledge of the challenges faced by federal executives from the impacts of new mandates and evolutionary influences from our experience providing management consulting services in the federal market. Hagerty has successfully demonstrated on various projects the ability to provide valuable advice, assistance, guidance, and counseling to support an agencies' mission oriented business functions, including but not limited to:

- Business process reengineering
- Financial analysis
- Performance measurement
- Strategic and action planning
- Organizational assessment
- Change management
- Process modeling
- Productivity improvement
- Policy and procedure analysis
- Process controls
- Program audits
- Government and regulatory compliance reviews
- Change & knowledge management
- Benchmarking
- Organizational assessments
- Program audits and evaluations
- Financial management
- Infrastructure re-design
- Quality management
- Essential function continuity

#### SIN 874-2: Facilitation Services

Hagerty has extensive experience conducting facilitated sessions for diverse groups, developing solutions that meet common or divergent interests, and documenting these forums for public record. Hagerty has facilitated hundreds of forums on behalf of the federal government to effectively and efficiently assist state agencies, local governments, regional authorities, coalitions, school boards, tribal nations, and private non-profits throughout the disaster recovery process. Hagerty has significant experience in facilitating meetings of all sizes regarding sensitive topics and issues to resolve disputes, technical discussions, and briefings in a collaborative and seamless manner. Facilitation services include, but are not limited to:

- Visioning
- Problem diagnosis
- Process analysis
- Recording discussion content
- Final report preparation and dissemination
- Debriefings
- Team building
- Large and small group discussions
- Decision making
- Community engagement
- Multi-agency collaborative ventures

## SIN 874-7: Program Integration and Project Management Services

Hagerty has successfully managed and provided program management of several billion dollar programs for the government. Our success has been predicated on following our Performance Management Plan and leveraging our extensive knowledge and experience in program management and integrating financials, policies, and processes. We have demonstrated a strong track record of providing outstanding professional resources and extensive experience executing federal program management and integration. Hagerty can provide the following services:

- Program management
- Program audits
- Program oversight
- Program management planning and integration
- Budget planning and analysis
- Earned value analysis
- Scheduling
- Independent program analysis
- Financial management

### 1(b) PRICING

Government price exclusive of any quantity/dollar volume, prompt payment, or discount.

### SIN 874-1, 874-2, 874-7

#### Recovery Purchasing: SIN 874-1RC, 874-2RC, 874-7RC

Labor Category Rates (per Hour)	
<b>Project Executive</b>	<b>\$192.90</b>
<b>Subject /Industry Matter Specialist</b>	<b>\$193.92</b>
<b>Project Manager</b>	<b>\$154.49</b>
<b>Senior Management Consultant</b>	<b>\$135.18</b>
<b>Management Consultant</b>	<b>\$121.02</b>
<b>Analyst</b>	<b>\$98.80</b>
<b>Project Administrator</b>	<b>\$47.73</b>

### 1(c) LABOR SKILL DESCRIPTION

Hagerty attracts very talented and dynamic cadre of professionals who have demonstrated a commitment to excellence and have top-tier consulting experience, industry specialization, or graduated from a top school. Our clients look to Hagerty when they need top-tier professionals to help them solve a wide range of important issues. Labor skill descriptions provided by Hagerty under the MOBIS Schedule include the following:

**Project Executive:** Experience of twelve or more years with an advanced degree or fifteen years or more experience with a Bachelors degree and demonstrates senior experience in management consulting. Managing director of the MOBIS Schedule and responsible for all

assurance and specialized services on MOBIS engagements and that these services comply with applicable professional standards, professional excellence, and the firm's mission, vision, and values. Provides programmatic guidance and direction to leadership of MOBIS engagements.

**Subject/Industry Matter Specialist:** Experience of fifteen or more years in a specific subject or industry, or ten years experience and possess more than one specialized advanced degree. Provides senior level advice, guidance, and training on subject and industry matter expertise relative to MOBIS engagements and tasks. Responsible for ensuring technical accuracy of subject/industry matter topics for internal documents and submittals, adherence to subject/industry standards, and assisting Project Executive in the development of the overall MOBIS engagement approach. Interfaces with client's specialists and resolves subject/industry matter issues with the Manager.

**Project Manager:** Experience of ten or more years, or an advanced degree or registration and eight years experience. Responsible for the management and supervision of the engagement team, quality control, review and approval of internal documents and submittals, adherence to standards, and assisting Project Executive in the development of the overall MOBIS engagement approach. Provide guidance and direction of MOBIS projects to subordinates. Has overall responsibility, with input from the Project Executive, for client relations; project methodology, scope and budget; and performance of project and HCI personnel. Interfaces with the client and resolves project specific issues or elevates issues when necessary.

**Senior Management Consultant:** Experience of five years or more. An advanced degree may be substituted for equivalent years of experience. Provides analytical and program support, assists Manager in the planning of MOBIS engagements, and providing guidance on aspects of the project that are delegated by the Manager. Focused on high performance work that requires relatively more experience, supervising and reviewing subordinates, and drafting of findings and reports. Responsible in completing assigned tasks accurately, thoroughly, and within scope and budget.

**Management Consultant:** Holds a four-year degree from an accredited college/university and experience of two to five years. An advanced degree may be substituted for equivalent years of experience. Provides project support, assists Senior Consultant in executing MOBIS projects, and executing aspects of the project that are delegated by the Senior Consultant. Focused on high performance work including data collection, materials development and other tasks relevant to client projects. Responsible in completing assigned tasks accurately, thoroughly, and within the scope of the project.

**Analyst:** Holds a four-year degree from an accredited college/university and experience of less than two years. Performs the detail procedures under the supervision and review of a more experienced professional. Performs data collection, tabulation, review, limited analysis, and other tasks relevant to the aspects of the project accurately and within the scope of the project.

**Project Administrator:** Holds a four-year degree from an accredited college/university and experience of less than one year. Independently responsible for project budget financial management and analysis of supporting documentation, compilation of invoices and submission of required supporting documentation. Maintains and updates the firm's Project Performance Portfolio database - Perfolio©. Under direction of project leaders, assists in data collection, analysis and writing.

2. Maximum Order: \$500,000
3. Minimum Order: \$300
4. Geographic Coverage (Delivery Area): National
5. Point(s) of Production: Evanston, Cook County, Illinois and Washington, DC
6. Discount from List Prices: All prices listed are net prices
7. Quantity Discounts: None
8. Prompt Payment Terms: Net 30 Days
- 9(a) Notification that Government purchase cards are accepted at or below the micro-purchase threshold. N/A
- 9(b) Notification that Government purchase cards are accepted or not accepted above the micro-purchase threshold. N/A
10. Foreign Items (list items by country of origin). None
- 11(a) Time of Delivery: TBD on Each Task Order
- 11(b) Expedited Delivery: Items available for expedited delivery. Contact Hagerty for further information.
- 11(c) Overnight and 2-day Delivery: 2-Day delivery is available. Contact Hagerty for further information.
- 11(d) Urgent Requirements: For urgent requirements, contact Hagerty for more information.
12. F.O.B. point(s): Destination
- 13(a) Ordering Address(es): Hagerty Consulting, Inc., 1618 Orrington Avenue, Suite 201, Evanston, Illinois 60201. Telephone: 847-492-8454
- 13(b) Ordering Procedures: For supplies and services, the ordering procedures and information on Blanket Purchase Agreements (BPA's) are found in Federal Acquisition Regulation (FAR) 8.405-3.
- 14 Payment Address(es)

By Electronic Payment

Bank: Citibank  
ABA#: 021272655  
Credit to: Hagerty Consulting, Inc.  
Account #: 1088739399

By Check remit to

Smith Barney  
Attention: Bill Currie  
C/O: Hagerty Consulting  
130 East Seneca Street

# HAGERTY

partners for public sector excellence

111 Sylvan Avenue  
Englewood Cliffs, N.J. 07632  
(201) 227-2900

Suite 500  
Ithaca, N.Y. 14850

15. Warranty Provision: N/A
  16. Export Packing Charges, if Applicable: N/A
  17. Terms and conditions of government purchase card acceptance: N/A
  18. Terms and conditions of rental, maintenance, and repair: N/A
  19. Terms and conditions of installation: N/A
  20. Terms and conditions of repair parts indicating date of parts price lists and discounts:  
N/A
  - 20(a) Terms and conditions for any other services: N/A
  - 21 List of service and distribution points: N/A
  - 22 List of participating dealers: N/A
  - 23 Preventive maintenance: N/A
  - 24(a) Special attributes: N/A
  - 24(b) Section 508: If applicable, Section 508 compliance information on Electronic and Information Technology (EIT) supplies and services will be addressed on a task order basis. The EIT standards can be found at [www.section508.gov](http://www.section508.gov).
- 
25. Data Universal Numbering System (DUNS) Number: 14-352-9720
  26. Central Contractor Registration (CCR) Database: Hagerty Consulting is registered in the Central Contractor registration (CCR) database.
  27. Uncompensated Overtime: Not Used

**C**ontractor Information

(Vendors) [How to change your company information](#)

Contract #:	GS-23F-0027V	Socio-Economic :	Other than small business
Contractor:	HAGERTY CONSULTING, INC.	EPLS :	Contractor not found on the Excluded Parties List System
Address:	1618 ORRINGTON AVE STE 201 EVANSTON, IL 60201-3864	Govt. Contracting Officer:	Tamara J. Rountree
Phone:	(202) 887-6900	Phone:	703-605-2747
E-Mail:	perry.pockros@hagertyconsulting.com	E-Mail:	tamara.rountree@gsa.gov
Web Address:	http://www.hagertyconsulting.com	Contract Clauses/Exceptions:	View the specifics for this contract
DUNS:	143529720		
NAICS:	541219		

Source	Title	Contract Number	Contractor T&Cs /Pricelist	Contract End Date	Category		View Catalog
520	FINANCIAL AND BUSINESS SOLUTIONS (FABS)	GS-23F-0027V		Feb 19, 2014	520 11		
					520 13		

Additional Contracts held by this contractor. To view more details of a contract, click the Contract Number below.

Source	Title	Contract Number	Contractor T&Cs /Pricelist	Contract End Date	Category		View Catalog
874	MISSION ORIENTED BUSINESS INTEGRATED SERVICES (MOBIS)	GS-10F-0329S		Jul 9, 2016	874 1		
					874 2		
					874 7		

TED CONTRACT TIED

HAGERTY

partners for public sector excellence



**FINANCIAL AND BUSINESS SOLUTIONS (FABS)  
CONTRACT # GS-23F-0027V**

**GENERAL SERVICES ADMINISTRATION (GSA)  
FEDERAL SUPPLY SERVICES SCHEDULE (FSS)  
AUTHORIZED PRICE LIST - SCHEDULE 520**

**HAGERTY CONSULTING  
1618 ORRINGTON AVE., SUITE 201  
EVANSTON, IL 60201 847.492.8454**

**CHICAGO WASHINGTON D.C.**

**HAGERTYCONSULTING.COM**

## Federal Supply Service – Schedule Price List

### Schedule for:

#### Financial and Business Solutions (FABS)

*Special Item Number*

*520-11: Accounting Services*

*520-11RC: Recovery Purchasing*

*520-13: Complementary Financial Management Services*

*520-13RC: Recovery Purchasing*

**Federal Supply Group:** 520

**Federal Supply Class:** R499

**Contract Number:** GS-23F-0027V

**Contract Period:** February 20, 2009 – February 19, 2014

**Contract Administrator:** Perry Pockros (202) 887-6900

**Business Size:** Large

**DUNS Number:** 14-352-9720

#### Hagerty Consulting, Inc.

1618 Orrington Avenue, Suite 201

Evanston, Illinois 60201

Telephone: 847.492.8454

Fax: 847.859-1710

1156 15<sup>th</sup> Street, NW, Suite 850

Washington, D.C. 20005

Telephone: 202.887.6900

Fax: 202.887.6901

**Website:** [www.hagertyconsulting.com](http://www.hagertyconsulting.com)

**Email:** [gsa.fabs@hagertyconsulting.com](mailto:gsa.fabs@hagertyconsulting.com)

## WELCOME & OVERVIEW

Hagerty Consulting, Inc (Hagerty), a professional service firm under the 541611 NAICS, *Administrative Management and General Management Consulting Services*, is pleased to present its qualifications and price list for the General Services Administration's (GSA) Financial and Business Solutions (FABS) contract. Hagerty is a public sector management consulting firm that helps clients choose the best way forward in times of change, uncertainty or crisis. Under our FABS schedule, we offer the following operational and advisory accounting and financial management services: evaluating and revising accounting policies and procedures, improving accounting and financial reporting operations, performing cost-benefit, regulatory, and managerial accounting analyses, assessing internal controls and improper payments, conducting special cost studies, and managing disaster recovery grant and loan programs. We encourage you to visit our website at [www.hagertyconsulting.com](http://www.hagertyconsulting.com) to discover more about our service offerings, capabilities, and experience.

Since its inception in 2001, Hagerty's mission has been to work collaboratively with leading public sector agencies throughout the country to address their unique business process challenges, help make distinct improvements to their business performance, and deliver meaningful results. Hagerty's success has been marked by our ability to understand clients' needs, assemble a highly qualified team to meet those needs, develop a customized and thoughtful approach to the project, and proactively help clients define and achieve short and long-term objectives. Our firm, with the equivalent of 50 full-time professionals, has successfully completed more than 100 management consulting projects ranging in size from \$10,000 to \$10 million.

Specifically we have successfully:

- Helped re-engineer Federal, state, and local financial, accounting, and program reporting processes.
- Managed the implementation of a two-year \$7.4 billion Federal grant program for the City of New York for September 11<sup>th</sup> disaster recovery.
- Reengineered, coordinated, and implemented a \$1.3 billion Federal community disaster loan program after Hurricane Katrina.
- Conducted OMB A-123 Improper Payment Information Act reviews.
- Reviewed cost reasonableness and eligibility determinations of Federal grant awards.
- Performed internal controls reviews and developed accounting methodology to track municipal infrastructure reconstruction grant programs.
- Managed a Government wide Accounting Modernization Project.
- Facilitated a disaster recovery alternative housing pilot program.
- Calculated disaster related business interruption claims.

If you ever have a need for operational or advisory services, or just want another point of view on a challenge you're trying to address, we hope you will consider reaching out to Hagerty Consulting. Similarly, if your organization is seeking professional or technical assistance, we hope you will include Hagerty Consulting on the list of companies invited to bid. We are confident we can make a significant and meaningful contribution to your organization.

## CUSTOMER INFORMATION

### 1 (a) FABS SERVICES

#### **SIN 520-11: Accounting Services**

Accounting and financial reporting standards are essential for public accountability and for an efficient and effective functioning of Federal agencies. Hagerty professionals have extensive experience providing a broad range of accounting services, including:

- Transaction processing and analysis
- Improving accounting operations
- Developing performance measurement
- Developing new or revising existing accounting policies and procedures
- Resolving accounting issues
- Assessing internal controls
- Government and regulatory compliance reviews
- Classifying accounting transactions
- Resolving and implementing audit findings
- Improving operational efficiency and effectiveness

#### **SIN 520-13 Complementary Financial Management Services**

Federal financial management circulars, guidance, and, procedures present complex challenges to Federal agencies. Hagerty professionals can help analyze and resolve financial management processes, systems and reporting problems that program managers face. We offer the following services:

- Assessing and improving financial reporting, analysis and systems
- Performing cost-benefit, regulatory, and managerial cost analysis
- Developing accounting methodologies and checklists
- Resolving audit findings and recommendations
- Designing regulatory self-assessment compliance guidance
- Conducting A-123 Improper Payment Information Act reviews
- Implementing Government Performance and Results Act requirements
- Managing intergovernmental grant and loan programs
- Performing financial system business process impact analysis
- Creating strategic and operational financial plans

## DISASTER RECOVERY PURCHASING

Hagerty Consulting is a recognized national leader in emergency preparedness, and disaster response and recovery. Our FABS labor categories (SINs identified by the suffix "RC") offer State and local governments disaster recovery financial management professionals. Public Law 109-364 authorized the General Service Administration to provide for the use of Federal Supply Schedules by State and local governments for the purchase of products and services to recover from major disasters, terrorism, or nuclear, biological, chemical, or radiological attacks. Our FABS schedule is authorized for disaster recovery purchasing by State and local governments. We have extensive experience providing disaster recovery support services to State and local governments through the Federal Emergency Management Agency's (FEMA) Public and Individual Assistance Programs. Hagerty Consulting has mobilized its resources nationwide to facilitate Federal funding assistance to State and local governments for debris removal, restoration of infrastructure, provision of temporary housing, and long term community recovery planning. In addition, we have developed and implemented training courses on reimbursement eligibility, interim and permanent housing strategies, community recovery plans, and debris management guides.

### 1(b) Pricing

Government price exclusive of any quantity/dollar volume, prompt payment, or discount.

### SIN 520-11 (Accounting Services) and SIN 520-13 (Financial Management Services)

#### Recovery Purchasing: SIN 520-11RC, 520-13RC

SIN	SIN	Labor Category	Hourly Rate (2/19/09-2/18/14)
520-11	520-13	Project Executive	\$232.80
520-11	520-13	Subject Matter Expert	\$233.88
520-11	520-13	Project Manager	\$187.21
520-11		Accountant III	\$187.21
520-11		Accountant II	\$150.35
520-11		Accountant I	\$99.43
	520-13	Financial Analyst III	\$187.21
	520-13	Financial Analyst II	\$150.35
	520-13	Financial Analyst I	\$99.43

Note: Price adjustments and price escalations subject to FAR 522.216-70.

### 1(c) Labor Skill Description

Hagerty attracts a very talented and dynamic cadre of professionals who have demonstrated a commitment to public sector excellence and have in-depth accounting and financial management experience, industry specialization, or hold graduate degrees and certifications. Our clients look to Hagerty when they need top-tier professionals to help them solve complex accounting and financial management issues. Labor skill descriptions provided by Hagerty under the FABS Schedule follow.

**SIN 520-11 (Accounting Services) and SIN 520-13 (Financial Management Services)**

**Project Executive:** Experience of twelve or more years with an advanced degree or fifteen years or more experience with a Bachelors degree and senior experience in management consulting. Managing director of the FABS Schedule and responsible for all specialized services on FABS engagements and that these services comply with applicable professional standards, professional excellence, and the firm's mission, vision, and values. Maintains ultimate responsibility for technical quality and customer satisfaction for all Hagerty Consulting engagements.

**Subject/Industry Matter Specialist:** Experience of fifteen or more years in a specific subject or industry, or ten years experience and possess more than one specialized advanced degree. Provides senior level advice, guidance, and training on subject and industry matter expertise relative to applicable laws, regulations, Executive Orders, and OMB Circulars. Responsible for ensuring technical accuracy of subject/industry matter topics for internal documents and submittals, adherence to subject/industry standards, and assisting Project Executive in the development of the overall FABS engagement approach. Interfaces with client's specialists and resolves subject/industry matter issues with the Manager.

**Project Manager:** Experience of eight or more years, or an advanced degree or registration and six years experience. Responsible for the management and supervision of the engagement team, quality control, review and approval of internal documents and submittals, adherence to standards, and assisting Project Executive in the development of the overall FABS engagement approach. Provide guidance and direction of FABS projects to subordinates. Has overall responsibility, with input from the Project Executive, for client relations; project methodology, scope and budget; and performance of project and firm personnel. Interfaces with the client and resolves project specific issues or elevates issues when necessary.

**SIN 520-11 (Accounting Services)**

**Accountant III:** Ten years of applicable financial or business consulting experience, including three years of management experience. An advanced degree or certification, such as Certified Public Accountant, may be substituted for equivalent years of experience. Devises new or revised accounting policies and procedures, performs special studies to improve accounting operations, resolves audit findings or accounting issues, assesses accounting internal controls, and improves operating efficiency and effectiveness. Focuses on high performance work that requires relatively more experience, supervising subordinates, and reviewing draft findings and reports. Responsible for completing assigned tasks accurately, thoroughly, and within scope and budget.

**Accountant II:** Five years of applicable financial or business consulting experience, including two years of management experience. An advanced degree or certification, such as Certified Public Accountant, may be substituted for equivalent years of experience. Analyzes, processes, and summarizes transactions, classifies accounting transactions, resolves accounting issues, assesses accounting internal controls, and improves operating efficiency and effectiveness. Focused on high performance work that requires relatively more experience, supervising subordinates, and reviewing draft findings and reports. Responsible for completing assigned tasks accurately, thoroughly, and within scope and budget.

**Accountant I:** Holds a four year degree from an accredited college/university and has experience of one or more years. Assists in analyzing, processing, and summarizing transactions. Performs data collection, analyzes information, and provides general support to project team.

**SIN 520-13 (Financial Management Services)**

**Financial Analyst III:** Ten years of applicable financial or business consulting experience, including three years of management experience. An advanced degree, or professional certification, may be substituted for equivalent years of experience. Provides financial management, economic and/or regulatory analyses and identifies requirements of related processes and systems. Focused on high performance work that requires relatively more experience, supervising subordinates, and reviewing draft findings and reports. Responsible for completing assigned tasks accurately, thoroughly, and within scope and budget.

**Financial Analyst II:** Five years of applicable financial or business consulting experience, including two years of management experience. An advanced degree, or professional certification, may be substituted for equivalent years of experience. Assists in improving and streamlining reporting and analysis processes, and performs other specialized financial analyses. Focused on high performance work including data collection, materials development, and other analytical tasks. Responsible for completing assigned tasks accurately, thoroughly, and within scope and budget.

**Financial Analyst I:** Holds a four year degree from an accredited college/university and experience of one or more years. Assists in drafting and preparing project deliverables. Performs data collection, analyzes information, and provides general support to project team.

2. Maximum Order: \$1,000,000
3. Minimum Order: \$300
4. Geographic Coverage (Delivery Area): National
5. Point(s) of Production: Evanston, Cook County, Illinois and Washington, DC
6. Discount from List Prices: All prices listed are net prices
7. Quantity Discounts: For task or delivery orders equal to or exceeding \$500,000, Hagerty will offer discounts in the range of 5% to 12%.
8. Prompt Payment Terms: Net 30 Days
- 9(a) Notification that Government purchase cards are accepted at or below the micro-purchase threshold.  
N/A
- 9(b) Notification that Government purchase cards are accepted or not accepted above the micro-purchase threshold. N/A
10. Foreign Items (list items by country of origin). None
- 11(a) Time of Delivery: TBD on Each Task Order
- 11(b) Expedited Delivery: Items available for expedited delivery. Contact Hagerty for further information.
- 11(c) Overnight and 2-day Delivery: 2-Day delivery is available. Contact Hagerty for further information.
- 11(d) Urgent Requirements: For urgent requirements, contact Hagerty for more information.
12. F.O.B. point(s): Destination
- 13(a) Ordering Address(es): Hagerty Consulting, Inc., 1618 Orrington Avenue, Suite 201, Evanston, Illinois 60201. Telephone: 847-492-8454
- 13(b) Ordering Procedures: For supplies and services, the ordering procedures and information on Blanket Purchase Agreements (BPA's) are found in Federal Acquisition Regulation (FAR) 8.405-3.

14 Payment Address(es)

**By Electronic Payment**

Bank: Citibank  
ABA#: 021272655  
Credit to: Hagerty Consulting, Inc.  
Account #: 1087793000  
111 Sylvan Avenue  
Englewood Cliffs, N.J. 07632  
(201) 227-2900

**By Check remit to**

Smith Barney  
Attention: Bill Currie  
C/O: Hagerty Consulting  
130 East Seneca Street  
Suite 500  
Ithaca, N.Y. 14850

15. Warranty Provision: N/A
16. Export Packing Charges, if Applicable: N/A
17. Terms and conditions of government purchase card acceptance: N/A
18. Terms and conditions of rental, maintenance, and repair: N/A
19. Terms and conditions of installation: N/A
20. Terms and conditions of repair parts indicating date of parts price lists and discounts: N/A
- 20(a) Terms and conditions for any other services: N/A
- 21 List of service and distribution points: N/A
- 22 List of participating dealers: N/A
- 23 Preventive maintenance: N/A
- 24(a) Special attributes: N/A
- 24(b) Section 508: If applicable, Section 508 compliance information on Electronic and Information Technology (EIT) supplies and services will be addressed on a task order basis. The EIT standards can be found at [www.section508.gov](http://www.section508.gov).
25. Data Universal Numbering System (DUNS) Number: 14-352-9720
26. Central Contractor Registration (CCR) Database: Hagerty Consulting is registered in the Central Contractor registration (CCR) database.
27. Uncompensated Overtime: Not Used





## Liability Insurance

### Endorsement

*Policy Period*            JANUARY 1, 2013 TO JANUARY 1, 2014  
*Effective Date*            JANUARY 1, 2013  
*Policy Number*            3590-08-80 WUC  
*Insured*                    HAGERTY CONSULTING INC  
*Name of Company*        FEDERAL INSURANCE COMPANY

This Endorsement applies to the following forms:

#### GENERAL LIABILITY

Under Who Is An Insured, the following provision is added.

#### Who Is An Insured

##### *Additional Insured - Scheduled Person Or Organization*

Persons or organizations shown in the Schedule are insureds; but they are insureds only if you are obligated pursuant to a contract or agreement to provide them with such insurance as is afforded by this policy.

However, the person or organization is an insured only:

- if and then only to the extent the person or organization is described in the Schedule;
- to the extent such contract or agreement requires the person or organization to be afforded status as an insured;
- for activities that did not occur, in whole or in part, before the execution of the contract or agreement; and
- with respect to damages, loss, cost or expense for injury or damage to which this insurance applies.

No person or organization is an insured under this provision:

- that is more specifically identified under any other provision of the Who Is An Insured section (regardless of any limitation applicable thereto).
- with respect to any assumption of liability (of another person or organization) by them in a contract or agreement. This limitation does not apply to the liability for damages, loss, cost or expense for injury or damage, to which this insurance applies, that the person or organization would have in the absence of such contract or agreement.

**Liability Endorsement**  
(continued)

Under Conditions, the following provision is added to the condition titled Other Insurance.

**Conditions**

**Other Insurance –  
Primary, Noncontributory  
Insurance – Scheduled  
Person Or Organization**

If you are obligated, pursuant to a contract or agreement, to provide the person or organization shown in the Schedule with primary insurance such as is afforded by this policy, then in such case this insurance is primary and we will not seek contribution from insurance available to such person or organization.

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**Schedule**

City of New York  
Office of Management and Budget  
255 Greenwich Street  
New York, NY 10007

All other terms and conditions remain unchanged.

Authorized Representative

