CITY OF JOPLIN
COUNCIL AGENDA ITEM

ITEM
Council Bill 2024-286 Approving Amendment #3 to the March 24, 2024 contract with Alvarez & Marsal to provide additional Professional Administrative Support Services and Technical Assistance for the ARPA Community Revitalization Program.

MEETING DATE
September 16, 2024

ORIGINATING DEPT
Planning, Development & Neighborhood Services

REVIEWED BY
Dept. Head: Troy Bolander; City Attorney: Peter Edwards; City Manager: Nicholas Edwards; Finance Director: Leslie Haase

SUMMARY
This Council Bill approves a contract amendment with Alvarez & Marsal to provide additional administrative support and technical assistance for the administration of the ARPA Community Revitalization Program suite of housing projects. The Alvarez & Marsal contract was approved by Council Bill 2024-256.

BACKGROUND
The federal American Rescue Plan Act ("ARPA") of 2021 established a Coronavirus State and Local Fiscal Recovery Fund ("SLFRF") for the purpose of responding to the impact of COVID-19 and the affects felt within communities, residents, and businesses across the nation. The funding aims to provide local governments with the resources to respond to the public health emergency and its economic impacts within four allowable use categories.

The Department of Treasury awarded the State of Missouri a $2.5 billion share of federal funding after which time the Missouri General Assembly appropriated $100 million of the State Fiscal Recovery Fund to the Missouri Department of Economic Development ("DED") for community development and revitalization. The DED then established the ARPA Community Revitalization Grant Program, a competitive program that requires a 50% funding match. The City of Joplin applied to and was awarded $3.5 million with the $3.5 million local match provided through the City's local ARPA award.

The Seven Million funding stream is providing three housing projects to advance neighborhood revitalization in three distinct ways. The $3 million Joplin Homeowner's Assistance Program offers up to $40,000 in down payment and closing cost assistance; the $2 million Joplin Homeowner's Rehabilitation Program offers up to $25,000 for home repairs; and finally the $2 million Demolition Program provides funding for the demolition of vacant structures that have been deemed dangerous.

BID PROCESS SUMMARY

The Planning, Development, and Neighborhood Services department issued Request for Proposal #2023-RFP-12 for Services related to the administration of the ARPA Community Revitalization Program. Despite documented outreach to solicit responses from disadvantaged businesses across several categories, a total of two organizations responded.

The interview team independently evaluated each organization's response to questions broadly categorized as: resource allocation, compliance, project timelines, and value add. The team graded each respondent, and the average score identified Alvarez & Marsal as the winning firm.

Negotiation conversations took place in December 2023 & January 2024 to increase the level of office hours and onsite assistance for the JHAP2 program. The original proposal was submitted to council for approval with the intention of requesting additional funding as needed to closeout the programs.

The increase of Amendment #3 in the amount of $265,978 for a total not to exceed contract value of $$799,588 is still below the cost of the other organization's proposal.

EXHIBITS

"Exhibit A" - Alvarez & Marsal Contract;
"Exhibit B" - Alvarez & Marsal October 20, 2023 & January 4, 2024 Proposals

FUNDING SOURCE

This item includes a budget amendment to utilize General Fund Use Tax proceeds.

RECOMMENDATION

Staff recommends approval of this council bill for additional Professional Administrative Support Services with Alvarez & Marsal on first reading.

EXHIBIT A

Council Bill 2024-256
2-20-24

CONTRACT NO._____

ADDRESS & PHONE OF CITY
Finance Department
602 South Main Street
Joplin, MO 64801
417-624-0820

NAME, ADDRESS & PHONE OF CONSULTANT
Alvarez and Marsal Infrastructure and Capital Projects LLC
655 15th Street, NW Suite 600,
Washington, D.C. 20005

AGREEMENT

THIS AGREEMENT, made and entered into this 24 day of March, 2024, by and between the City of Joplin, a municipal corporation of the State of Missouri, hereinafter referred to as the "City" with offices at 602 South Main, Joplin, Missouri and Consultant hereinafter referred to as the "Consultant."

WITNESSETH:

WHEREAS, the City of Joplin desires to engage the Consultant to render certain services hereinafter described in Request for Proposal 2023-RFP-12 which Request for Proposal is attached hereto and incorporated herein as Exhibit A; and

WHEREAS, the Consultant submitted a proposal dated October 20, 2023 which proposal is attached hereto and incorporated herein as Exhibit B; and

WHEREAS, the Consultant has become the lowest and best value Offeror for performing the services listed in this RFP attached hereto and incorporated herein as Exhibit A;

NOW, THEREFORE, the parties to the contract agree to the following:

1. **Term:** All work tasks under this Agreement shall be completed no later than July 31, 2026, unless specifically agreed to in writing by the City and Consultant..

2. **Services:** The services of the Consultant shall commence only as authorized in writing by City purchase order or other written notice. The services provided by the Consultant (the Services") hereunder may include advice and recommendations, but A&M will not make any decisions on behalf of Client in connection the implementation of such advice and recommendations. The Client represents and warrants that it has the power and authority to execute this agreement on behalf of, and to bind, itself and its related entities.

   A. Introduction of Services: The Consultant has provided a proposal dated October 20, 2023 (Exhibit B), which outlines a range of services that the Consultant is capable of providing to the City. This proposal is intended to serve as a list of potential consulting activities from which the City may select based on its evolving needs and priorities. The City acknowledges that the actual scope of services to be provided by the Consultant will be determined on an as-needed basis, according to the City's direction and within the constraints of the City's budget and timeline. The scope outlined in the proposal shall not be construed as a binding obligation on the Consultant to perform all services listed but rather as a flexible framework from which specific tasks may be selected.
   B. Modification of Scope: The parties may agree to add to the Consultant Services or delete therefrom activities of a similar nature to those set forth in Exhibit A. All such directives and

changes shall be in written form (a "Change Order") and prepared and approved by the City and, once accepted by the Consultant, countersigned by the Consultant. The Consultant shall not be obligated to undertake such changed activities unless and until the mutual execution of a Change Order.

3. **Payment:** The City agrees to pay the Consultant in accordance with the prices and terms set forth in Exhibit B for work authorized by City purchase order or other written Notice by the City upon presentation of proper invoice and inspection by the City of work completed by the Consultant.

4. **Exchange of Data:** All information, data, and reports as are existing, available, and necessary for the carrying out of the work, shall be furnished to the Consultant without charge, and the parties shall cooperate with each other in every way possible in carrying out the scope of services.

5. The Consultant shall fully coordinate its activities in the performance of the contract with the activities of the City.

6. **Personnel/Sub-contractor:** The Consultant represents that Consultant will secure at Consultant's own expense; all personnel required to perform the services called for under this contract by Consultant. Such personnel shall not be employees of or have any contractual relationship with the City except as employees of the Consultant or sub-contractors of the Consultant. All the services required hereunder will be performed by the Consultant or under Consultant's direct supervision and all personnel engaged in the work shall be fully qualified and shall be authorized under state and local law to perform such services. Services performed hereunder by A&M's subcontractors shall be invoiced as professional fees on the same basis as Services performed by A&M's personnel, unless otherwise agreed.

7. **Termination:** Either party may terminate this Agreement without cause by giving thirty (30) days' prior written notice to the other party. In the event of termination, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs, and reports or other materials prepared by A&M under this contract shall at the option of the Client become its property; provided that any work-in-progress shall be provided on an as-is basis, without warranty or indemnity of any kind.

8. **Assignment:** Neither party shall assign any interest in this contract and shall not transfer any interest in the same (whether by assignment or novation), without prior written consent of the other party thereto. Provided, however, that claims for money due or to become due to the Consultant from the City under this contract may be assigned to a bank, trust company, or other financial institution without such approval. Notice of such assignment or transfer shall be furnished in writing promptly to the City. Any such assignment is expressly subject to all rights and remedies of the City under this Agreement, including the right to change or delete activities from the contract or to terminate the same, in each case as provided herein, and no such assignment shall require the City to give any notice to any such assignee of any actions which the City may take under this Agreement, though City will attempt to so notify any such assignee.

9. **Confidentiality of Documents:** a) All Services and Deliverables shall be solely for Client's benefit and are not intended to be relied upon by any person or entity other than Client. Client shall not disclose the Services or Deliverables, or refer to the Services or Deliverables in any communication, to any person or entity except (i) as specifically set forth in the Agreement, or (ii) to Client's contractors solely for the purpose of their providing services to Client relating to the subject matter of the engagement, provided that such contractors comply with the restrictions on disclosure set forth in this sentence, or (iii) as otherwise required by law. The parties recognize and agree that the Client, City of Joplin, is a municipal corporation organized under the laws of the State of Missouri and subject to RSMo Chapter 610 ("sunshine law"). Client, however, may create its own materials based on the content of such Services and Deliverables and use and disclose such Client-created materials for external purposes, provided that, Client does not in any way, expressly or by implication, attribute such materials to A&M or its subcontractors.

10. **Modification of Contract:** The Scope of Work to be done under the Contract shall be subject to modification and supplementation upon the written Agreement of the duly authorized representatives

of the Contracting parties. No provision in the Contract shall be changed or modified without the execution of a formal amendment to the Contract, mutually agreed to by the City and the Consultant and processed through the Division of Purchases. Upon request by the City, the Consultant shall provide an estimate of cost of any additional work or services to be incorporated by a modification to the Scope of Work and the Contract.

11. **Contract Documents:** The agreement between the City of Joplin and the Consultant shall consist of (1) The Contract form which embodies the requirements contained herein, (2) the Request for Proposal, and any amendments thereto and, (3) the proposal, as accepted, submitted in response to the Request for Proposal. In the event of a conflict in language between the documents referenced above, the provisions and requirements set forth and/or referenced in the Contract shall govern over all other documents. However, the City reserves the right to clarify any Contractual relationship in writing with the concurrence of the Consultant, and such written clarification shall govern in case of conflict with the applicable requirements stated in the Request for Proposal or the Consultant's proposal. In all other matters not affected by the written clarification, if any, the Request for Proposal shall govern.

12. **General Independent Consultant Clause:** This agreement does not create an employee/employer relationship between the parties. It is the party's intention that the Consultant will be an Independent Consultant and not the City's employee for all purposes, including but not limited to, the application of the Fair Labor Standards Act minimum wage and overtime payments, Federal Insurance Contributions Act, the Social Security Act, the Federal Unemployment Tax Act, the provisions of the Internal Revenue code, Missouri revenue and taxation laws, Missouri Workers' Compensation, and unemployment insurance laws. The Consultant will retain sole and absolute discretion in the judgment of the manner and means of carrying out the Consultant's activities and responsibilities hereunder. The Consultant agrees that it is a separate and independent enterprise from the public employer, that is has a full opportunity to find other business, that is has made its own investment in its business, and that it will utilize a high level of skill necessary to perform the work. This agreement shall not be construed as creating any joint employment relationship between the Consultant and the City, and the City will not be liable for any obligation incurred by the Consultant, including but not limited to unpaid minimum wages and/or overtime premiums.

13. **City Benefits:** The Consultant shall not be entitled to any of the benefits established for the employees of the City nor be covered by the Workers Compensation Program of the City.

14. **Certification of Non-Resident/Foreign Consultants:** If the Consultant is a foreign corporation or non-resident Consultant, it is agreed that the Consultant shall procure and maintain during the life of this contract:

    A. A certificate of authority to transact business in the State of Missouri from the Secretary of State, unless exempt pursuant to the provisions of Section 351.570 RSMo.

    B. A certificate from the Missouri Director of Revenue evidencing compliance with transient employer financial assurance law, unless exempt pursuant to the provisions of Section 285.230 RSMo.

15. **Nondiscrimination:** The Consultant agrees in the performance of this contract not to discriminate on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, age, disability, marital status, citizenship, national origin, genetic information, or any other characteristic protected by law, or political opinion or affiliation, against any employee of Consultant or applicant for employment and shall include a similar provision in all subcontracts let or awarded hereunder.

16. **Conflict of Interest:** Consultant covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services to be performed under this contract. The Consultant further covenants that in the performance of this contract no person having such interest shall be employed.

17. **Subcontracts:** In case any or all of this work is sublet, the Consultant shall require the subcontractor to procure and maintain all insurance required in section 18 hereof and in like

amounts. Consultant shall require all subcontractors with whom it enters into a contract to perform work on this project to protect the City through insurance against applicable hazards or risks and shall, upon request of the City, provide evidence of such insurance.

18. **Insurance:** Without limiting any of the other obligations or liabilities of the Consultant, the Consultant shall secure and maintain at its own cost and expense, throughout the duration of this Contract and until the work is completed and accepted by the City, insurance of such types and in such amounts as may be necessary to protect it and the interests of the City against hazards or risks of loss as hereunder specified or which may arise out of the performance of the Contract Documents. It shall be the responsibility of the Consultant to always maintain the required insurance coverage during the term of the Contract. Failure of the Consultant to maintain coverage shall not relieve it of any contractual responsibility or obligation or liability under the Contract Documents.

    The certificates of insurance shall be filed with the City within 24 hours of the time that this contract is signed by the Consultant. The required endorsements shall be provided within forty-five days after the applicable policies renew. Consultant shall provide thirty (30) days written notice prior to cancellation or non-renewal of such insurance. Such notices shall be mailed, certified mail, return receipt requested, to: City of Joplin – Planning, Development and Neighborhood Services, 602 S. Main, Joplin, MO 64801

    All policies except for the professional liability policy shall include the City as an additional insured with limits of liability not less than the sovereign immunity limits for Missouri public entities calculated by the Missouri Department of Insurance as of January 1 each calendar year and published annually in the Missouri Register pursuant to Section 537.610, RSMo. (See, http://insurance.mo.gov/industry/sovimmunity.php).

    As of January 1, 2022, the minimum coverage for the insurance referred to herein shall be as set out below:

    a. Workers' Compensation.....Statutory coverage per RSMo 287.010 et seq.
    Employer's Liability..... $1,000,000.00

    b. Commercial General Liability Insurance, including coverage for Contractual Liability. Such coverage shall apply to bodily injury and property damage on an "Occurrence Form Basis" with limits of at least Two Million Eight Hundred Four Thousand Forty- Six and no/100 Dollars ($2,804,046.00) for all claims arising out of a single accident or occurrence and at least Four Hundred Twenty Thousand Six Hundred Six and no/100 Dollars ($420,606.00) with respect to injuries and/or death of any one person in a single occurrence and an amount not less than at least $1,000,000 for all claims to property arising out of a single occurrence and at least $100,000 to any one owner with respect to damages to property. Consultant agrees to cause its insurer to include City as an additional insured on such insurance policy, and said policy shall be primary and noncontributory.

    c. Automobile Liability Insurance covering bodily injury and property damage for owned, non-owned and hired vehicles, with limits of at least Two Million Eight Hundred Four Thousand Forty- Six and no/100 Dollars ($2,804,046.00) for all claims arising out of a single accident or occurrence and at least Four Hundred Twenty Thousand Six Hundred Six and no/100 Dollars ($420,606.00) with respect to injuries and/or death of any one person in a single accident or occurrence.

19. **Liability and Indemnity :**
    a. Each party, its subsidiaries and subcontractors, and their respective personnel shall not be liable for any claims, liabilities, or expenses relating to this contract or the Services ("Claims") for an aggregate amount exceeding one times the contract fees, except to the extent resulting from the recklessness, bad faith, or intentional misconduct of A&M or its subcontractors, in which case the aforementioned limit of liability shall not apply. Except for claims subject to indemnification hereunder in no event shall either party, its subsidiaries or subcontractors, or their respective personnel be liable to the other for any loss of use, data, goodwill, revenues, or profits (whether or not deemed to constitute a direct Claim), or any consequential, special, indirect, incidental, punitive, or exemplary loss, damage, or expense relating to this engagement. In circumstances where any limitation on damages or indemnification provision

hereunder is unavailable, the aggregate liability of each party, its subsidiaries, subcontractors, and their respective personnel for any Claim shall not exceed an amount that is proportional to the relative fault that the conduct of each party bears to all other conduct giving rise to such Claim.

b. A&M shall indemnify, defend and hold harmless Client and its personnel from all Claims attributable to claims of third parties solely for bodily injury, death or damage to real or tangible personal property, to the extent directly and proximately caused by the negligence or intentional misconduct of A&M while engaged in the performance of the Services. A&M shall indemnify, defend, and hold harmless Client and its personnel from all Claims attributable to the claims of third parties for infringement by a Deliverable of any U.S. patent existing at the time of delivery and known to A&M or copyright or any unauthorized use of any trade secret, except to the extent that such infringement or unauthorized use arises from, or could have been avoided except for (i) modification of such Deliverable other than by A&M or its subcontractors or use thereof in a manner not contemplated by this Agreement, (ii) the failure of the indemnified party to use any corrections or modifications made available by A&M, (iii) information, materials, instructions, specifications, requirements or designs provided by or on behalf of the indemnified party, or (iv) the use of such Deliverable in combination with any platform, product, network or data not provided by A&M. If Client's use of any such Deliverable, or any portion thereof, is or is likely to be enjoined by order of a court of competent jurisdiction as such an infringement or unauthorized use, A&M, at its option and expense, shall have the right to (x) procure for Client the continued use of such Deliverable, (y) replace such Deliverable with a non-infringing Deliverable, or (z) modify such Deliverable so it becomes non-infringing; provided that, if (y) or (z) is the option chosen by A&M, the replacement or modified Deliverable is capable of performing substantially the same function. In the event A&M cannot reasonably procure, replace or modify such Deliverable in accordance with the immediately preceding sentence, A&M may require Client to cease use of such Deliverable and refund the professional fees paid to A&M with respect to the Services giving rise to such Deliverable. The foregoing provisions of this Section constitute the sole and exclusive remedy of the indemnified parties, and the sole and exclusive obligation of A&M, relating to a claim that any of A&M's Deliverables infringes any patent, copyright or other intellectual property right of a third party.

c. Client shall indemnify and hold harmless A&M, its subsidiaries and subcontractors, and their respective personnel from all Claims attributable to the claims of third parties solely for bodily injury, death, or physical damage to real or tangible personal property to the extent directly and proximately caused by the negligence or intentional misconduct of Client while A&M is engaged in the performance of the Services.

d. As a condition to the foregoing indemnity obligations, the indemnified party shall provide the indemnifying party with prompt notice of any Claim for which indemnification shall be sought hereunder and shall cooperate in all reasonable respects with the indemnifying party in connection with any such Claim. The indemnifying party shall be entitled to control the handling of any such Claim and to defend or settle any such Claim, in its sole discretion, with counsel of its own choosing.

20. **Entire Agreement:** This agreement, including the contract documents contained or referenced herein, constitutes the entire agreement between the parties. No modification, amendment, or waiver of any of the provisions of this agreement shall be effective unless in writing specifically referring hereto and signed by both parties.

21. **Jurisdiction.** This contract, including attachments and all matters relating to the Services shall be governed by, and construed in accordance with, the laws of the State of Missouri. Venue for any dispute shall lie exclusively in the Circuit Court of Jasper County, Missouri or the U.S. District Court, Western District of Missouri.

22. **Miscellaneous:**
    a. Substantial and meaningful involvement of management of the City is critical to the success of this engagement. The City will be responsible for ensuring that the identified City personnel

actively participate in both the planning and execution of the Services. A&M agrees to be responsible for providing management oversight of its performance under this contract.

b. The City is, and will continue to be, solely responsible for establishing and maintaining effective internal control over financial reporting, including, without limitation, systems designed to assure achievement of its control objectives and its compliance with applicable laws and regulations.

c. Consultant will not be responsible for the accuracy or completeness of any data made available to Consultant through any third-party tool, database, or software application. The City further acknowledges and agrees that Consultant will have no responsibility for evaluating the functionality of such third-party tool, database, or software application, nor for any results obtained by Consultant through the use of such third-party tool, database, or software application.

d. This is a services engagement. Except as specifically provided herein, A&M DISCLAIMS ALL WARRANTIES, EITHER EXPRESS OR IMPLIED, INCLUDING WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

23. **Client Responsibilities:** Each party shall cooperate with the other in the performance of the Services. Client will provide A&M with reasonable facilities and timely access to data, information, and personnel of Client. With respect to the data and information provided by Client to A&M or its subcontractors for the performance of the Services, Client shall have all rights required to provide such data and information, and shall do so only in accordance with applicable law and with any procedures agreed upon in writing. Client shall be solely responsible for, among other things (a) the performance of its personnel and agents; (b) the accuracy and completeness of all data and information provided to A&M for purposes of the performance of the Services; (c) making all management decisions, performing all management functions, and assuming all management responsibilities; (d) designating a competent management member to oversee the Services; (e) evaluating the adequacy and results of the Services; (f) accepting responsibility for the results of the Services; (g) establishing and maintaining internal controls, including monitoring ongoing activities; (h) timely decision making and funding of the contract.

24. **Force Majeure:** Neither party shall be liable for any delays or nonperformance directly or indirectly resulting from circumstances or causes beyond its reasonable control, including fire, epidemic or other casualty, act of God, strike or labor dispute, war or other violence, or any law, order, or requirement of any governmental agency or authority.

25. **Limitation on Actions:** Any action or cause of action brought under this contract must be brought within the timeframe permitted by the applicable statute of limitations, but in no event more than seven (7) years from the date the cause of action accrued.

26. **Independent Agent:** Each party hereto is independent of each other and neither party is, nor shall be considered to be, nor shall purport to act as, the other's agent, partner, fiduciary, joint venturer, or representative.

27. **Survival and Interpretation:** All provisions that are intended by their nature to survive performance of the Services shall survive such performance, or the expiration or termination of such performance. No affiliated or related entity of A&M, or such entity's personnel, shall have any liability hereunder to Client and Client will not bring any action against any such affiliated or related entity or such entity's personnel in connection with this contract. Each of the provisions of these terms shall fully apply of the law, whether in contract, statute, tort (such as negligence), or otherwise, notwithstanding the failure of the essential purpose of any remedy. Any references herein to the term "including" shall be deemed to be followed by "without limitation."

28. **Waiver of Jury Trial:** THE PARTIES HEREBY IRREVOCABLY WAIVE, TO THE FULLEST EXTENT PERMITIED BY LAW, ALL RIGHTS TO TRIAL BY JURY IN ANY ACTION, PROCEEDING, OR COUNTERCLAIM RELATING TO THIS CONTRACT OR THE SERVICES.

itself, or for others, any materials or processes, including those that may be similar to those produced as a result of the Services, provided that A&M complies with its obligations of confidentiality set forth hereunder.

30. **Non-solicitation:** During the term of the contract and for a period of one (1) year thereafter, each party agrees that its personnel (in their capacity as such) who had substantive contact with personnel of the other party during such engagement shall not, without the other party's consent, directly or indirectly employ, solicit, engage, or retain the services of such personnel of the other party. In the event a party breaches this provision, the breaching party shall be liable to the aggrieved party for an amount equal to thirty percent (30%) of the annual base compensation of the relevant personnel in his or her new position. Although such payment shall be the aggrieved party's exclusive means of monetary recovery from the breaching party for breach of this provision, the aggrieved party shall be entitled to seek injunctive or other equitable relief. This provision shall not restrict the right of either party to solicit or recruit generally in the media.

31. **Records and Audits:** The Consultant shall maintain accounts and records, including personnel, property, and financial records, adequate to identify and account for all costs pertaining to the Contract and such other records as may be deemed necessary by the City to assure proper accounting for all project funds. These records will be made available for audit purposes to the City or any authorized representative and will be retained for three years after the expiration of this Contract.

32. **Notices:** All notices required or permitted hereunder and required to be in writing may be given by first class mail addressed to Division of Purchases, 602 South Main, Joplin, Missouri, 64801, and the Consultant at the address indicated. The date of delivery of any notice shall be the date falling on the second full day after the day of its mailing.

IN WITNESS WHEREOF the parties have hereunto set their hands and seal the date first above written.

CITY OF JOPLIN, MISSOURI

By: _____
Troy Bolander
Director of Planning, Development and
Neighborhood Services

CONSULTANT

Alvarez & Marsal Infrastructure and Capital Projects
Company Name

By: _____
Rob Reid, Managing Director

Name: Robert Reid
Print or type

Title: Managing Director

APPROVED AS TO FORM:

_____
Peter C. Edwards, City Attorney

Exhibit B

REQUEST FOR PROPOSAL:

ADMINISTRATIVE SERVICES OF THE COMMUNITY REVITALIZATION PROGRAM

Date of Submission:
October 20th, 2023

City of Joplin
602 South Main Street
ATTN: Holly Stone, Project Coordinator
Joplin, MO 64801

Submitted by:

Alvarez & Marsal
Infrastructure & Capital Projects
655 15th Street, NW Suite 600
Washington, DC 20005

Riz Shah
Managing Director
E-mail: riz.shah@alvarezandmarsal.com
(202) 412-5066

This proposal contains information that shall not be disclosed outside of City of Joplin and shall not be duplicated, used, or disclosed in-whole or in-part for any purpose other than to evaluate this proposal. The information subject to this restriction is contained in all pages/sheets herein. This proposal does not constitute a contract to perform services. Any engagement arising out of this proposal will be subject to the execution of a formal engagement contract, including our standard terms and conditions and fees and billing rates established therein.

October 20th, 2023

City of Joplin
602 South Main Street
Joplin, MO 64801

Dear Ms. Stone,

The City of Joplin (the City) has the important task of identifying the most qualified team to provide grant administration and program management services in supporting the City's Community Revitalization Program. As your current provider for the City's broadband planning project, as well as prior experience developing and implementing the City's CDBG-DR program which included the JHAP and JHRP Round #1 workstream, our Alveraz & Marsal (A&M) Team is able to offer what no other professional services organization can – the significant institutional knowledge that comes from serving you on a daily basis, backed by the resources of an organization with the relevant qualifications and requisite local experience to exceed your expectations. The advantages of engaging A&M and its team again are numerous:

- **Advisors in navigating ARPA funding, other federal and state programs, government agencies and regulations** – A&M and our team has extensive experience advising cities, counties and states in planning and implementing ARPA-funded programs, and possess a deep understanding of the regulatory environment as it relates to federal grant funding, particularly supporting housing programs.
- **Ability to accelerate planning and implementation timeframes** – We bring first-hand knowledge of the significant challenges and leading practices related to delivering successful housing programs, including leveraging the previous work of many of our team members on JHAP and JHRP to gain maximum planning and implementation benefits for the City of Joplin.
- **Established experience and knowledge with internal and external stakeholders** – A key differentiator for our team is the deep relationships that we have established with the City of Joplin and its key stakeholders dating back to shortly after the 2011 disaster and that continues through to the present today.
- **A familiar team you know and trust** –We are excited to offer a team of experts who has significant experience serving the City of Joplin in various capacities and initiatives and who deeply understands the City and its programs, dynamics, stakeholders, and "ways of working". Further, team members from Nan McKay & Associates and other local resources who supported the JHAP #1 and JHRP #1 workstreams, will join the Team to support this important engagement.
- **Dedicated on-the-ground support** –Should A&M be selected as your advisor for this engagement, we are committed to leveraging experienced, local specialists and staff in Joplin and will seamlessly deliver services through a combination of in-person and remote work.
- **Advanced tools and technology** – Our team has developed a robust and comprehensive approach to support execution of housing projects, incorporating Geographic Information System (GIS) technology and portfolio management and scheduling software to achieve optimal execution of planning and implementation milestones for each engagement workstream.

As you know from working with members of this team for over the past 10+ years, we are your partners in advancing the City's socio-economic goals to improve your community. We strive to consistently exceed your requirements and help you achieve your goals as effectively as

possible, providing our experienced advice on vital compliance requirements, and to remain responsive and always accessible. Our team shares great pride with the City with the past success of JHAP #1, and look forward to delivering a successful JHAP #2, as well as the Home Rehabilitation & Repair Program and the Demolition for Residential Home Construction Program. We are excited to serve the City in this new and exciting engagement, leveraging the three projects and community partners to achieve positive, impactful housing results for the community. We have previously demonstrated that our team will work within the time period requested, to support the City with knowledge transfer of industry leading practices and remain focused on supporting the City achieve its overall objectives.

You have my personal commitment that we will continue to work hard to provide the City of Joplin with service of exceptional quality and value. Please feel free to contact me directly with any questions at riz.shah@alavarezandmarsal.com or (+1 202 213 2459). We look forward to hearing from you at your convenience.

Sincerely,



Riz Shah
Managing Director

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EXECUTIVE SUMMARY

The A&M Team confidently understands the City of Joplin's goal to invest in community economic recovery to improve neighborhoods and support disproportionately impacted households in the wake of COVID-19, as well as address long-term socio-economic issues, through the Community Revitalization Program. With over a decade of successful partnership and history, the A&M Team is uniquely positioned to support the City in establishing the Program, administering ARPA funds, and continuing to transform the community to achieve its goals.

Beginning six weeks following the devastating 2011 EF-5 tornado, at the request of FEMA, members of the A&M Team provided services to assist the City in its early stages of the long-term recovery process. Then in early 2013, our team members officially began a partnership with the City to support disaster recovery planning and implementation services to support economic development including the development of JHAP, JHRP, the comprehensive Capital Plan, and then the Smarter Joplin Roadmap and broadband deployment. We are excited by the prospect of continuing our longstanding partnership with the City for the administration of Community Revitalization Program: three projects that will facilitate home purchases, repair and restore affordable housing, and remove vacant, dilapidated residential units to make way for new affordable housing opportunities.

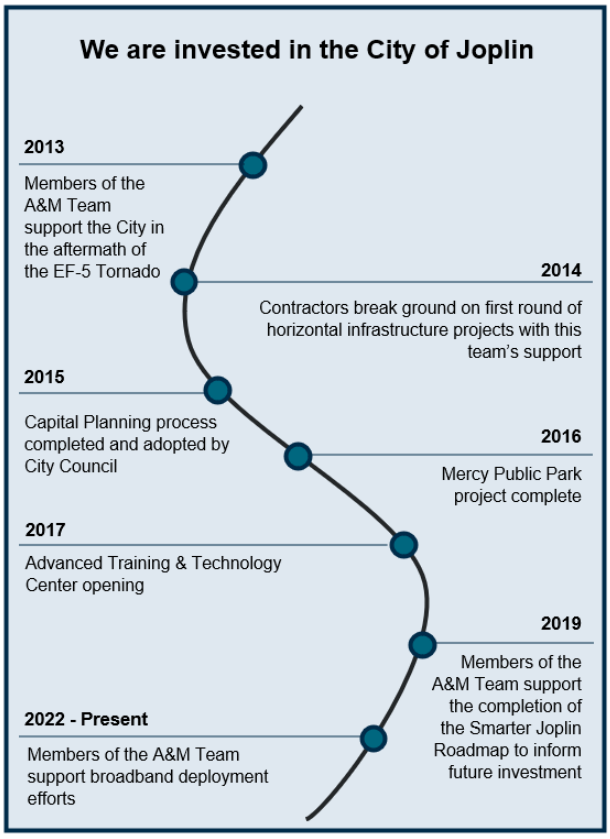


Figure 1: Sample Joplin Experience

Upon the review of this proposal, you will note that we are bringing together many of original core team that designed and implemented the City's JHAP and JHRP programs in 2013-2014. Since then, given our continued service to Joplin as well as other municipalities and counties across the U.S., we provide the right experts at the right time to manage the complexities of ARPA (American Rescue Plan Act), SLFRF (State and Local Fiscal Recovery Fund), DED (Missouri Department of Economic Development) and other federal and state regulations and funds in a compliant manner, working to administer the program closely with the City. Our seasoned professionals have worked together previously and supported the City of Joplin and many other communities across the U.S. in grant management programs. A&M team members have performed planning, program management, reimbursement, advance, appeal, monitoring/compliance, and closeout services for federal recovery programs, most recently with over thirty (30) state and local governments in the aftermath of recent disasters and crises. We are prepared to bring our record, experience, and innovative approaches to support the City of Joplin in successfully delivering the Community Revitalization Program.

Our team has direct familiarity with the previous JHAP initiative undertaken by the City, from its development in early-mid 2013 to the aggressive marketing/outreach efforts to promote the program and the associated training workshops for stakeholders, to the 'soft-start' in September of that year; including the key components that laid the foundation of the Program's success. Our deep knowledge of the City and the lifecycle process undertaken for JHAP enables us to provide direct insight into the tools, templates and processes that heralded such program success. As a team, we bring forward our lessons learned in addition to proposed novel initiatives to ensure that the Community Revitalization Program achieves the City's objectives and to support disproportionately neighborhoods of Joplin, including many impacted households in the wake of COVID-19 and the current economic inflation cycle.

In the sections that follow, we present detailed information about the A&M Team and our experienced professionals, our innovative approach, and the differentiators which we believe uniquely qualify us to be the City's trusted partner in administering the Community Revitalization Program.

1.0 COMPANY PROFILE

In 1983, Tony Alvarez II and Bryan Marsal founded A&M to provide radically different advice and hands-on support geared toward organizations facing mission-critical operational and financial hurdles—situations demanding leadership, action, clarity, objectivity, and results. They combined their skills and experience in public accounting and financial crisis environments and paved the way for a new specialty area: turnaround management, crisis management, and performance improvement for companies and governments for the benefit of their stakeholders and constituencies.

A&M is focused on the performance improvement of our government clients and delivers five key services through a pragmatic and forward-looking approach. We help our clients:

- Tackle industry-specific challenges
- Manage stakeholder expectations
- Drive financial innovation
- Strengthen service delivery
- Improve internal operations & transparency
- Execute fiduciary services over grants and other federal funds

A&M is a Bronze Partner in good standing of the National Governor's Association (NGA) Partner Program since its inception. The NGA Partner Program provides unique opportunities for companies to demonstrate their commitment to governors and to support innovative leaders solve the challenges facing governments.

A&M's Core Principles

> *"[A&M's progress] was extraordinary. I've never seen anything like it."* – **Kate Brown,** Governor of Oregon

A&M believes in the power of diverse teaming to solve complex problems, create value, and drive change and we decide to deliver projects who meet these same criteria. Our practice group humbly wants to help change the world. We see our professionals' differences as strengths and are committed to fostering a culture of inclusion guided by A&M's Core Values of Integrity, Quality, Objectivity, Fun, Personal Reward, and Inclusive Diversity. Inclusive Diversity runs through how we recruit, develop employees, conduct business, and support our client, as demonstrated below.

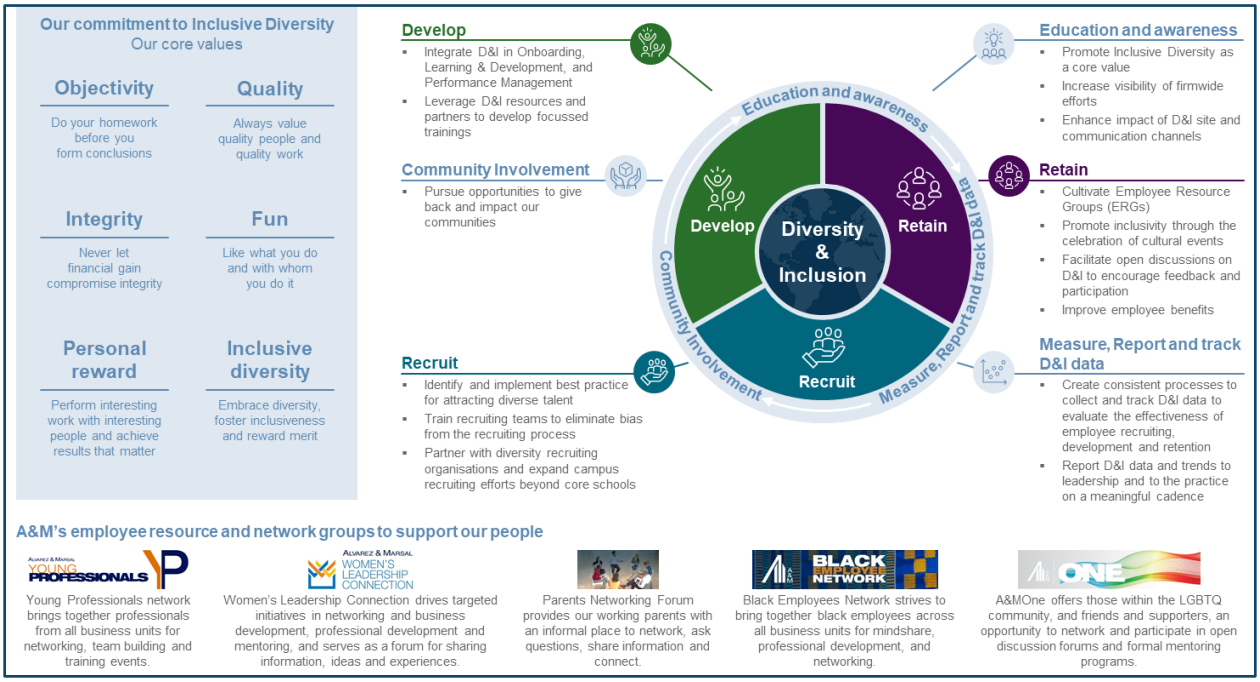


Figure 2: A&M's commitment to Inclusive Diversity

Our Team

Our ability to deliver scalable infrastructure planning and grant management to Joplin is proven through our team of skilled professionals with decades of public infrastructure planning, grants management, and technical experience both within A&M and our teaming partners. Under this charge, the A&M team has assembled itself to:

- Ensure we have **local experience** on the City's priorities and perspectives to help design the strategy and approach, always keeping the "stakeholders' lens" at the table.
- Complement A&M's experience with significant **on-the-ground presence and local expertise** to meet the needs of this program.
- Provide the City with **extensive grant management capabilities** to successfully deliver ARPA funding across the City's communities and neighborhoods.

Nan McKay (NMA) is a nationally recognized leader in community development, strengthening neighborhoods since 1980. NMA has over 600 full time and contract employees, specializing in program administration, community development strategies, and operational best practices of state and federal regulations. Our deep understanding of federal programs and grants is backed by more than four decades of practice working directly with cities, states, and localities; federal agencies, including the U.S. Department of Housing and Urban Development (HUD) and the U.S. Department of the Treasury; and public agencies nationwide. Annually, we manage $4B in federal assistance funds, conduct 500+ trainings, and perform more than 300,000 inspections throughout the country.

NMA has worked for almost two decades on grant funded projects and programs from conception to grant closeout, including but not limited to:

- American Rescue Plan Act (ARPA)

- CARES Act
- Emergency Rental Assistance (ERAP)
- Community Development Block Grant Disaster Recovery (CDBG-DR)
- Community Development Block Grants (CDBG)
- Federal Emergency Management Assistance (FEMA)

Local Expertise: Our team is pleased that several local experts will be joining us for this engagement, including Patty Heagel, Brad Baker and John Joines.

- **Patty Heagel** - Patty is a seasoned and well-respected professional with over 40 years of varied experiences in community and economic development in local governments. Patty has extensive experience supporting the development and implementation of the original JHAP and JHRP work from 2013-2016 and will serve as a Strategic Advisor for the Team.
- **John Joines** - With 25+ years serving as Economic Security Corporation's (ESC) Chief Executive Officer before his recent retirement, John was responsible for the overall management and significant growth of the Agency. During his tenure at ESC, John has developed a close and trusted relationship with the area's housing and non-profit organizations, which will greatly support the effective stakeholder engagement and project implementation for this Program.
- **Brad Baker** - Brad recently retired from U.S. Bank where he served the Joplin community for 13 years based in Joplin, MO. Brad has deep experience in delivering successful financial solutions for customers, and his excellent relationships with the area's financial and real estate sectors will help support the outreach and marketing activities for this Program's project workstreams.

In addition to our local experts, the Team will use experienced local housing-related resources to support the successful implementation of the Community Revitalization Program. This group of local experts and resources form a critical component of the team and bring firsthand knowledge of the previous JHAP and JHRP programs, and will be based in Joplin to provide the required level of on-site presence.

The A&M Team is structured in a way that we speak to the detailed technical aspects of the Community Revitalization Program, yet also have the bigger picture of grants management and integration of projects into the City's asset portfolio front-of-mind. This all is done with immense consideration given to existing strategies found in the greater Smarter Joplin Roadmap and other capital planning efforts taken on by the City to-date. We are confident that there is no better team than ours that has the capabilities, Joplin-specific and industry-leading experience, and passion for the City's community than this A&M team. It would be an honor to support Joplin in this next phase of community revitalization transformation.

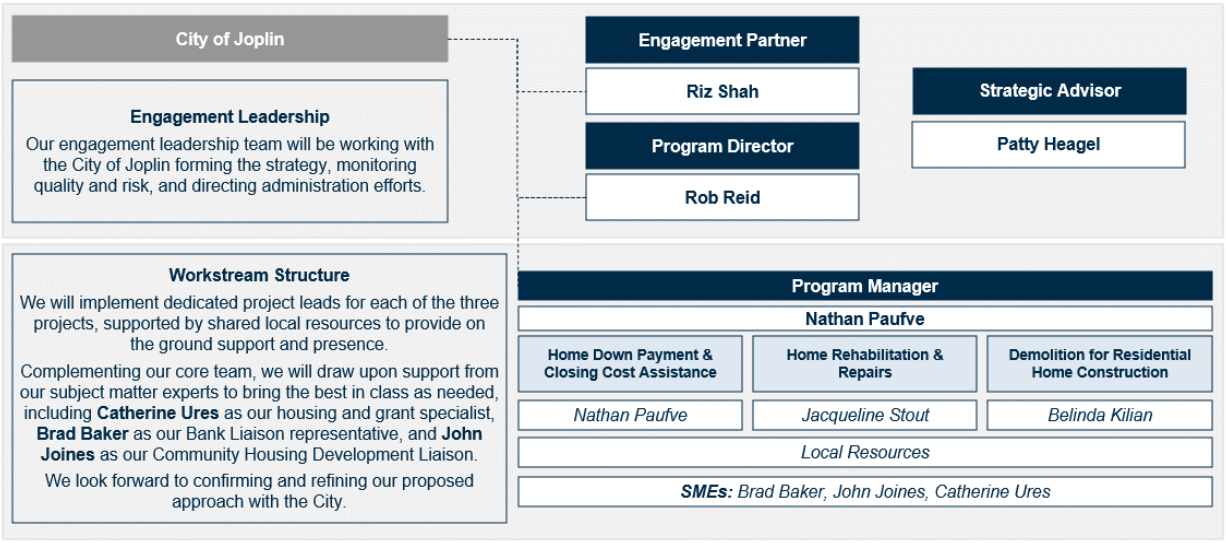


Figure 3: Proposed A&M project team

We have organized ourselves where capital planning and grants management is bolstered by using housing-related subject matter experts (SMEs) in areas that deserve specific consideration. This ensures that the City is supported through our fully integrated and experienced team of grants specialists, financial analysts, public outreach professionals, intake specialists, and more, who are prepared to seamlessly collaborate with City staff and officials.

In the table below, you will find brief bios for each of our key project team members. All the team members we propose have previously supported the City of Joplin and are highly experienced in successfully operating in dynamic environments. We trust you will find their 'always on' approach to team collaboration and developing solutions very refreshing and critical to the success of this city-wide initiative. Full resumes for engagement leadership as well as additional engagement team members are provided in the appendix.

Key Project Team Members	
Riz Shah *Engagement Partner*	For more than 20 years, Riz has been entrusted to help clients respond to unexpected crises following incredibly challenging and tragic impacts on communities and businesses. From crisis response through resilience, Riz has supported clients through the entire response and recovery lifecycle and advises clients in their immediate-, short- and long-term strategic decisions. Riz has worked with HUD CDBG-DR, FEMA PA, FHWA, FTA, EDA, and other grant programs through his support of recovery programs such as the City of Joplin, Missouri (2011 Tornado), Colorado DHSEM (2013 floods), Governor's Office of Storm Recovery New York (Hurricane Sandy), Harris County, Texas (Hurricane Harvey), Department of Economic Development, Puerto Rico (Hurricanes Maria and Irma), South Asian Earthquake Relief (2005 Earthquake), and Deutsche Bank recovery (9/11).
Rob Reid *Program Director*	With over 15 years of infrastructure experience, Rob is a Senior Director in Alvarez & Marsal's Infrastructure & Capital Projects and leads the public sector infrastructure practice. Rob has supported over 40 communities to conduct capital infrastructure planning, strategy, and implementation efforts aimed at leveraging infrastructure investments as enablers for socio-economic growth. His immense knowledge of the federal and state funding landscapes and requirements provides

	communities with critical knowledge to improve performance of projects and investments while remaining compliant with federal regulations. His knowledge of grants spans ARPA, FEMA, HUD, IIJA, IRA, FHWA and more. Rob previously supported the City of Joplin for several years and has first-hand experience with JHAP, JHRP, and other programs.
Patty Heagel *Strategic Advisor*	Patty is a seasoned and well-respected professional with over 40 years of varied experiences in community and economic development in local governments. Patty has extensive experience planning, managing, executing, and monitoring efforts in promoting overall community vitality. As part of those efforts, Patty has worked with HUD Community Block Grant (CDBG) funding including disaster recovery, HUD HOME and Emergency Shelter funding, federal and state housing initiatives, neighborhood revitalization, and citizen empowerment. Most recently, Patty has assisted in prioritizing the use of COVID-19 federal funding and EDA programs.
Catherine Ures *Housing and Grant SME*	With more than two decades of professional experience in community redevelopment, recovery, and strategic planning, Catherine Ures has the unique qualifications of having worked in a management capacity in both the public and private sectors. Her public service encompasses over a decade in California municipal government in both the affordable housing and redevelopment fields. Her time in the private sector has focused on serving federal, state, and local entities with strategic planning, urban design, grants management, disaster recovery, HUD program management, FEMA program management, federal procurement, monitoring & compliance, and training.
Nathan Paufve *Program Manager & Home Down Payment & Closing Cost Assistance Lead*	With expertise in program design and implementation, strategic planning, grants management and administration, regulatory compliance and monitoring, risk assessment and internal controls, program and project management, process improvement, workflow mapping and design, and measuring performance, Mr. Nathan Paufve specializes in working collaboratively with federal, state, and local entities to develop and implement grant funded programs that address strategic disaster recovery, resiliency, social vulnerability, housing, and economic development.
Jacqueline Stout *Home Rehabilitation and Repairs Lead*	Jacqueline Stout specializes in collaborating with clients to develop and implement improved operational processes and ensure client compliance with local, state, and federal regulations. Her primary expertise is in federal procurement and regulatory compliance, disaster recovery grants management, policy analysis and development, strategic planning, and development of program guidelines and standard operating procedures.
Belinda Kilian *Demolition for Residential Home Construction Lead*	Belinda has worked with a variety of public and private entities to support the planning, procurement, and execution of projects across real estate, water, energy, transportation, and education sectors. With her background in project management, she has experience delivering complex multi-year residential projects with a particular focus on planning, construction, risk, and budget management.
Brad Baker *Bank Liaison*	Brad recently retired from U.S. Bank where he was a Business Banker for 13 years based in Joplin, MO. Brad was actively engaged with Joplin, MO and surrounding communities for business banking needs. Brad worked in the banking community to find the best lending solutions for customers which included government supported programs such as the Economic Injury Disaster Loans (EIDL), Paycheck Protection Program (PPP) and USDA FSA farm loans.

John Joines *Community Housing Development Liaison*	With over 25 years of employment as ESC's Chief Executive Officer, John was responsible for the overall management and growth of the agency. Recently retired, he is currently assisting in special projects for Economic Security Corporation of Southwest Area (ESC), working with area not-for-profits and for-profits organizations, housing authorities, and units of local and state governments. John was honored in 2005 to been one of three Missouri citizens to have had the Official Manual, State of Missouri dedicated in our honor.
Local Resources	Our team will also leverage several local housing-related resources to support the engagement across the Community Revitalization Program. They form a critical component of the team and bring firsthand knowledge of the previous JHAP and JHRP programs, and will be based in Joplin to provide an onsite presence.

2.0 COMMENCEMENT

Our team is fully prepared to be on-the-ground on day #1 without delay or interference. Members of the A&M Team have direct experience with the previous JHAP and JHRP initiatives undertaken by the City in 2013 and 2014 and will allow an efficient and immediate commencement of services. Our team, given their experience with both programs from inception to close-out, understand both the successes and challenges experienced by each activity. We see this as a significant mitigation to the learning curve of City process and procedure enabling us to "get to work" on day #1, supporting rapid initiation of these programs. When the project is awarded, we will work quickly with the City to negotiate mutually agreeable terms will begin to plan an immediate kickoff meeting on the City's preferred date. Given our previous long-term involvement and commitment to the City of Joplin, this project is the highest priority for everyone that is presented in the proposal; we are committed to working with the City's preferred timeline to commence and execute the project.

Following commencement, the A&M Team will immediately deploy locally based resources to support the City with the design of the Community Revitalization Program and its three projects. We expect to be able to rapidly mobilize and conduct program design activities followed by outreach and marketing efforts to generate program demand.

The following factors will support A&M's rapid deployment and delivery:

- Local presence: A&M will provide a local resource on-site in Joplin, to be agreed between the City and A&M and according to the duration of the JHAP program. We anticipate the ability to complete the JHAP program over a 6 month duration, which

results in our ability to provide additional on-site presence from key team members and intake staff for dedicated applicant and City support.

- Region office: A&M has a regional office in Kansas City, Missouri where we can tap into experts across multiple industries to deliver significant impact to the City and its residents
- Industry knowledge: Our deep understanding and expertise in Joplin and its various housing programs coupled with national experience allows our team to understand what industry best practices across the nation can be achievable on Joplin's scale
- Grants management expertise: In addition to our past experience developing the JHAP and JHRP workstreams, our team has deep expertise successfully delivering ARPA and other federal grant programs

We know that the City and community are eager to see the impact of the Community Revitalization Program. We have prepared a high-level project schedule to help highlight key milestones in our proposed timeline for project delivery.

As illustrated below, we anticipate that the administration of the Home Down Payment and Closing Cost Assistance ***will be successfully completed within a 6 month period*** following official project roll-out. We have assumed 6 months of additional time to resolve remaining applications and disburse funds. This projection is based on our improved operational efficiency achieved through direct familiarity with the previous JHAP initiative and an experienced team ready to immediately deploy. The ongoing oversight and monitoring activities for the Demolition for Residential Home Construction and Home Rehabilitation and Repairs are assumed to extend to 2025 and 2026. During the kickoff meeting, we will collaborate with the City to finalize the detailed project schedule.

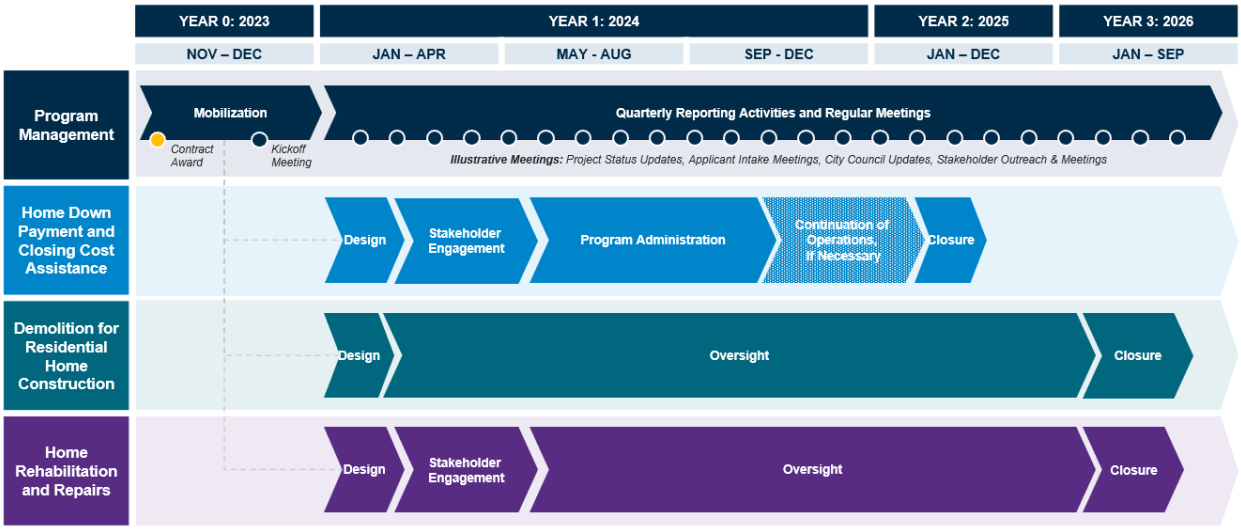


Figure 4: Representative h**igh-level project schedule** (to be agreed upon project commencement)

Note: the schedule above was developed based on A&M's current understanding of the programs and the City's requirements. We anticipate the opportunity to further discus sequence, duration, and timing of each program as well as the resource needs required to execute the programs if the City's requirements differ materially from the approach presented above.

3.0 EXPERIENCE AND REFERENCES

In the following section, we have provided a sample of project qualifications, as well as the client information in three of our qualifications, to serve as our formal references.

City of Joplin JHAP	
Client Information	Organization: City of Joplin, Missouri Name and Title: Troy Bolander, Director of Planning, Development & Neighborhood Services Address: 602 S. Main Street, Joplin, MO 64801 Phone: (417)-624-0820 ext. 510 Email: tbolande@joplinmo.org

Qualification Summary

Technical Scope

Nan McKay & Associates as well as members of the A&M Team served in several roles for the City of Joplin's ("City") HUD CDBG-DR funds received following the EF-5 strength tornado, which devastated the City on May 21, 2011. As part of this project, the team completed a full CDBG-DR Action Plan, Implementation Plan, and Capacity Checklist. Additionally, NMA was intimately involved in the planning, establishment, commencement, marketing, administration, monitoring, and closing of the City's JHAP, JHRP, and many other programs executed by the City after the devastating EF-5 tornado.

Key Tasks

The team provided grant management and program management support on the City's housing and economic development projects throughout each project's lifecycle. Team members reviewed the compliance of each project based on the CDBG-DR requirements, assisted with the development of environmental assessments and performs reviews of environmental documents related to the National Environmental Policy Act ("NEPA") requirements to assess potential environmental hazards and risks, suggested mitigation measures for unavoidable impacts, and determined compliance with various state and federal agency requirements. The team assisted the City in maintaining their records management procedures/processes.

Collaboratively, Nan McKay and other team members have worked with the City of Joplin to run one of the most successful CDBG-DR homebuyer assistance programs in the country. The Joplin Homebuyer Assistance Program (JHAP) offered up to $30,000 of down payment and closing cost assistance for eligible applicants to purchase a home in the Tornado Zone, aka "The Fish" (the area of Joplin most impacted by the tornado). As administrators of the JHAP program, we were responsible for responding to all inquiries into the program and providing interested applicants and stakeholders with program information. Additionally, we accepted and reviewed the application documents, collected supporting documentation, verified the family composition and income information from the application, calculated annual income, and determined eligibility.

Outcomes / Deliverables:

The NMA team supported with:

- Developing program design documentation including eligibility requirements, documentation, review processes, escalation procedures, etc.

City of Joplin JHAP	
Client Information	Organization: City of Joplin, Missouri Name and Title: Troy Bolander, Director of Planning, Development & Neighborhood Services Address: 602 S. Main Street, Joplin, MO 64801 Phone: (417)-624-0820 ext. 510 Email: tbolande@joplinmo.org

Qualification Summary

- Conducting marketing and outreach activities to individuals and community based organizations throughout the City to drive demand
- Established a review team with associated processes, procedures, guidelines, templates to process applications
- Managed review activities, conducting intake, eligibility review, environmental activities, and other necessary steps
- Conducted compliance monitoring on multiple city programs including JHAP and JHRP
- Tracked and monitored program metrics and KPIs
- Closed JHAP and JHRP programs ensuring compliance, document retention, etc.

State of New Jersey COVID-19 Relief Funding (CRF)	
Client Information	Organization: New Jersey Department of Community Affairs Name and Title: Elena Gaines, Assistant Director Address: PO Box 800, Trenton, NJ 08625 Phone: 609-633-6204 Email: Elena.Gaines@dca.nj.gov

Qualification Summary

Technical Scope

The State of New Jersey hired NMA to administer its CRF Emergency Rental Assistance Program (CVERAP-1 and CVERAP-2). For CVERAP-1, NMA utilized our ERAP technology solution, administering $90M in ERAP funding and processing 47,999 applications. CVERAP-2 also leveraged the NMA portal and disbursed $132M in 5 months, with over 25,730 eligibility determinations made.

Key Tasks

For all of COVID grant funding sources and State of New Jersey programs listed below, the NMA team provides strategic policy guidance, technical assistance, training, and full-service operations and call center services:

- CRF: $90M distributed in a in 2-month period for emergency rental services
- ERAP: 1st round $390M, 2nd round $270M
- SLFRF: $500M to distribute statewide for eviction protection services

Outcomes / Deliverables

Total disbursement for this project has now reached nearly $1 billion.

Rhode Island COVID-19 Response Grants Management	
Client Information	Organization: Rhode Island Office of Management & Budget Name and Title: Erik Godwin, Deputy Director Address: One Capitol Hill, 4th Floor Providence, RI 02908 Phone: (401)-574-8422 Email: erik.godwin@omb.ri.gov

Qualification Summary

Technical Scope

As a result of the COVID-19 pandemic, Rhode Island faced the urgent challenge of effectively marshalling federal and state resources to mount a state-wide response to the public health crisis and subsequent economic downturn to ensure the health, safety, and economic security of Rhode Islanders.

Key Tasks

- Since June 2020, A&M has been serving as the State's key financial advisor for COVID-19 Relief Funds, providing CFO-like services, supporting the Department of Administration (DOA), Office of Management and Budget (OMB) and the Governor in effectively and efficiently managing federal funds to support the State's critical COVID-19 response and recovery. The project has been extended through June 2021 and A&M's support for this work is on-going.
- A&M collaborates with agencies across Rhode Island's government to assist COVID-19 response teams with determining their spending needs and evaluating budget proposals; collects information about federal funding sources via an assessment of federal legislation and direct communication to agencies; assists the Director of OMB with the strategic allocation of funds across the State's COVID-19 response and available funding sources, and; presents on budgetary recommendations to senior leaders (Governor, DOA/OMB Director).

Outcomes / Deliverables

A&M developed a process for tracking over $5B in spending across multiple federal resources (e.g., CRF, SFRF, FEMA) in alignment fund use requirements to support the State's COVID-19 response. Additionally, the team:

- Provided critical analytical support to various parts of the COVID-19 response to developed budgets and forecasted future funding needs as the pandemic evolved
- Worked with the State's Emergency Management Agency (EMA) and OMB team to identify FEMA eligible expenditures and develop a process for aggressively submitting claims using FEMA's streamlined process for COVID-19. This effort reduced uncertainty about FEMA eligibility and allowed the State to understand the availability of CRF funds
- Provided weekly updates on spending to the Governor to support critical decision making as case levels have changed overtime
- Supported efforts to fully obligate CRF funds by 12/30 while also developing a funding strategy for sustaining the ongoing response to the pandemic in the context of the State's overall fiscal situation

Rhode Island COVID-19 Response Grants Management	
Client Information	Organization: Rhode Island Office of Management & Budget Name and Title: Erik Godwin, Deputy Director Address: One Capitol Hill, 4th Floor Providence, RI 02908 Phone: (401)-574-8422 Email: erik.godwin@omb.ri.gov

Qualification Summary

- Assessed the impact of CAA 21 and the ARPA stimulus bills and adjusted the allocation of on-going response expenditures against available Federal funding sources
- Supported the development of a COVID-19 budget for FY23
- Prepared a variety budget reports for use by senior state personnel and supported key reporting to the legislature and other constituents

Harris County, TX Disaster Recovery Program Administration

Qualification Summary

Technical Scope

NMA and members of the A&M team supported Harris County following Hurricane Harvey, with NMA continuing to support Harris County currently. Our team was instrumental in Harris County's receipt of a $1.1B direct carveout from the State of Texas' allocation of $5B under PL115-56. With more than 4.5 million residents and over 1,700 square miles, Harris County is the most populous county in the U.S. and larger in size and economy than many U.S. states. Due to the magnitude of unprecedented damage, Harris County contracted our team to provide overall grant administration, project management, and financial oversight for several federal and state agencies including but not limited to CDBG-DR, FHWA, HUD, TDEM, and GLO related to Hurricane Harvey relief.

Key Tasks

- Provided operational, strategic, and grants management support for the administration and oversight of disaster recovery grants
- Provided expert program administration services for CDBG-DR, including planning, strategy support, organizational assistance, design, construction, reporting and monitoring, and project closeout.

Additionally, our team recommended the following actions for Harris County:

- To effectively acquire federal assistance and initiate the recovery program across various funding sources, the County should establish a Strategic Recovery Office to develop a strategy on all aspects of the disaster recovery effort, including leveraging funds, recovery grant opportunities, and coordination among County departments.
- Program design sessions for housing, infrastructure, and economic development projects for various funding sources.
- Design of and support for infrastructure revitalization programs, including estimate validation, procurement assistance, and capital planning support for infrastructure and construction projects.

Harris County, TX Disaster Recovery Program Administration

Qualification Summary

- Enhancement to Harris County's procurement procedures and practices.

Outcomes / Deliverables

- Developing a supplemental action plan to outline Harris County's recovery efforts.
- Conceptualizing the program designs for seven housing recovery programs ranging from a buyout program to rehabilitation to new housing development.
- Helping to successfully request waivers to the State of Texas' program guidelines.
- Developing all programmatic documentation, such as program guideline documents, standard operating procedures, and program forms.
- Working hand-in-hand with Harris County's Community Services Department to develop a multi-faceted community outreach plan, targeting communities most at-risk from the disaster.
- Updating the County's federally funded procurement policies, processes, and forms to be compliant with the regulations at 2 CFR 200.
- Developing procurement templates to provide uniformity, streamline the process, and ensure regulatory compliance.
- Designing and providing procurement, WMBE, Section 3, and Davis Bacon and Related Acts training to County Purchasing Office staff, program department staff, County subrecipients, and contractors.

State of South Carolina, Grant Funding & Mortgage Assistance Program

Qualification Summary

Technical Scope

Acting as both the prime and a subcontractor, NMA has supported the State of South Carolina with both the administration and monitoring & compliance of serval federal grant funding streams, including CDBG-DR, CRF, ERAP, and emergency mortgage assistance.

Key Tasks

As a subcontractor, the NMA team also provided the South Carolina Department of Commerce (SCDOC) with monitoring and compliance/technical assistance support services to successfully complete the Disaster Recovery Compliance Assistance project. The NMA team effectively worked with the grantees in twenty-two (22) impacted counties, to thoroughly understand current project position and compliance criteria. Based on our initial assessment, we developed a compliance and quality control monitoring plan for each project, while providing technical assistance throughout the process.

Additionally, we assisted the State in developing and managing CRF monitoring & compliance, including:

- Monitoring & compliance work plan
- Risk assessment questionnaires
- Performed risk assessments
- Developed monitoring & compliance policies & procedures, monitoring checklists, and testing templates

State of South Carolina, Grant Funding & Mortgage Assistance Program

Qualification Summary

- Developed monitoring schedule
- Conducted monitoring
- Developed subrecipient communications, including entrance and exit conferences and monitoring reports

NMA also manages and administers SCDOC's CRF, ERAP, and CDBG-CV programs.

Outcomes / Deliverables

- CDBG -DR: Strategic review and guidance for policy and procedures for all DR projects.
- CRF: Administer the entire $2 billion grant statewide; provide technical assistance and program operation. Assisted with the distribution of State-directed funding; validate compliance for use and expenditures (revenue loss, PPE reimbursement, etc.).
- CDBG-CV: Administering CDBG-CV grant on behalf of the state. Working with local councils of government and non-entitlement counties to review eligibility and propose projects.
- ERAP: Full administration and operation of the state's $270 million ERAP program.

Newton County, Missouri Broadband Gap Analysis

Qualification Summary

Technical Scope

Newton County, like most rural areas across the U.S, has faced the challenges caused by the 'digital divide' which existed prior to and were exacerbated in the wake of the recent COVID-19 global pandemic. We have seen countless instances where the Pandemic has brought to the surface critical infrastructure flaws in real-time, broadband connectivity being just one of them as our culture became overly reliant on accessible and reliable internet services.

Key Tasks

In our support role, A&M performed the following key tasks:

- Conduct stakeholder engagement & needs assessment
- Complete local broadband market and current broadband infrastructure assessment
- Develop a GIS based mapping tool to support decision making
- Develop Gap Analysis Report
- Conduct assessment of Missouri/Federal regulatory and grants environment
- Prepare market demand planning tool
- Draft detailed broadband deployment roadmap and strategy

Outcomes / Deliverables

- The A&M Team will deliver a comprehensive Gap Analysis Report and Broadband Deployment Strategy to improve existing connectivity and deliver connectivity in areas across the County deemed unaffordable or inaccessible.

4.0 METHODOLOGY & APPROACH

Approach Overview

Given the experience of many of our team members in initially standing-up and delivering both JHAP and JHRP and our understanding the challenges that the City of Joplin will likely face administering the Community Revitalization program, the A&M Team is dedicated to ensuring that the design of the three projects is best suited to the needs of both the City of Joplin and the community. Across the A&M Team, we have extensive experience designing and administering federally funded housing and economic development programs to ensure successful outcomes and compliance. With a focus on efficiency, customer service, internal controls, monitoring, and compliance, our team is dedicated to maintaining audit readiness at all stages of the projects while employing a "human centered approach," focused on serving the residents of the City. From planning and program design to administration and closeout, our approach enables a well-structured and regulated process that safeguards project success and the responsible allocation of resources. We also focus on identifying risk early in the process, managing and resolving that risk, and reporting regularly to the City. **We not only design these programs to be compliant, but with the mindset of creating the greatest positive impact possible**.

Having deep familiarity with the legacy JHAP and JHRP programs, the A&M Team is well positioned to support the City in expanding upon the successes of the original programs while deploying efficiencies to maximize impact and deploy critical funds to those in need quickly. Leveraging existing/legacy documentation, knowledge, and expertise, the Team will identify and implement strategic improvements, ensuring that the evolved programs not only retain the strengths of their predecessors but also introduce innovative approaches to address new challenges and opportunities. It is important to note that new program management tools and technologies exist today which will help support the successful delivery of these programs. Through a collaborative, data-driven approach, the A&M Team aims to amplify the positive outcomes of the programs, thereby contributing meaningfully to the City's ongoing efforts in fostering sustainable and inclusive growth.

In developing our approach, we have taken into careful consideration the scope of services outlined in the RFP. We recognize that within the Community Revitalization Program, each of the three projects – Home Down Payment and Closing Cost Assistance, Home Rehabilitation and Repairs, and Demolition for Residential Home Construction – all have unique characteristics and requirements. Our approach acknowledges both the synergies and distinctions that exist across the three projects that each contribute to the broader goal of community revitalization. These projects can operate independently or in tandem, allowing us to address Joplin's in-fill housing needs with tailored and well-coordinated solutions. To address these dynamics, we have outlined our approach to program design and administration for each project, ensuring a tailored strategy that optimizes the potential of each project.

Program Design

A thorough and deliberate program design phase is vital to ensuring each program meets the current and evolving needs of the City.

Our initial step in the planning and program design phase is to review the project formulation criteria and process as designed by the City of Joplin. This review will encompass analyzing the program design for compliance with ARPA State and Local Fiscal Recovery Fund (SLFRF) requirements and any requirements imposed by the DED. Additionally, we will meet with the City of Joplin to jointly review the program design, ensuring that it capitalizes on efficiencies

allowed by the SLFRF while also balancing compliance risks that the City would like to more closely manage. This design process includes a detailed analysis of project goals, scope, reporting measures, risks, and expected outcomes. We will align the program design with the City's vision and priorities and the requirements of the DED Community Revitalization Program Grant, while keeping ARPA SLFRF compliance at the forefront. We will deliver updated program design documentation as well as policy and procedure documentation based on the original documentation but updated for this purpose.

When designing this program, the A&M Team will leverage the power of technology where appropriate to maximize impact and gain efficiencies, whether that is social media support in publicizing these programs to leveraging a consolidated platform to track program performance across key milestones.

In the planning and program design phase, our primary focus is on creating a solid foundation for the Joplin Community Revitalization Program, which includes ensuring that all necessary documents, processes, and resources are in place to support the successful launch of the program. We will harness the wealth of knowledge embedded in legacy JHAP and JHRP program policies and procedures, using them as a springboard to enhance and streamline the operational flow of the Community Revitalization Program going forward. Additionally, we will leverage the institutional knowledge of our team members who previously worked these programs to plan and deliver this program efficiently and with the maximum possible impact.

In addition to reviewing the project formulation we will undertake the following additional activities:

- **Stakeholder Identification:** We acknowledge the value and importance of each stakeholder participating in this process. By identifying and engaging with key stakeholders from local residents to regulatory entities and community program advocates, we're ensuring a cohesive, transparent, and collaborative path forward. A key element to the initial JHAP's success was the robust stakeholder engagement process that members of this team delivered in 2013-2014 to inform the community and train its stakeholders. This team continues to deliver this high level of stakeholder proficiency by recently hosting a Community Roundtable in September 2023 for the City, with over 50 stakeholders representing faith-based organizations, community housing development organizations, local businesses, employers, philanthropic organizations, community services, and governmental bodies. In addition to leveraging the legacy partners we previously engaged, the team will also review these organizations as a start to ensure a comprehensive stakeholder list is developed. This team will continue its successful track record of stakeholder engagement when implementing the Community Revitalization Program.
- **Program Marketing:** Creating clear and engaging marketing materials to advocate and promote each program will help drive engagement. We will design streamlined marketing and outreach material and methods to provide information which is easy to understand and act on. Using both traditional and digital media, our aim is to reach as many community members as possible, ensuring they know how to take advantage of these programs.
- **Determine office space and equipment needs:** During the planning phase we will assess the requirements for office space and equipment to ensure that a secure, conducive, and efficient work environment is established for the program team. The office space and equipment should be evaluated to accommodate both a paper-based

and electronic application process. During this phase, we will also determine specific in-person office hours and days, balancing demand with cost efficiency. This in-person presence should also be informed by initial application volumes and expectations.

- **Create a Training Plan:** Project-specific training plans will be developed for various stakeholders, including administrative staff, operational staff, and City Staff. This plan will ensure that all team members are adequately trained and prepared to perform their respective roles effectively. Training workshops will also be offered to strategic partners, and our local SMEs will provide valuable support in ensuring those parties are identified and engaged.
- **Establish oversight plan for each Project (Down Payment Assistance, Home Repair and Rehabilitation, and Demolition):** In the establishment of an effective Oversight Plan for each project, we will implement a strategy to ensure that the project operates smoothly and efficiently. This oversight plan will consist of the following key components:
    - **Conduct Risk Assessment:** To proactively identify potential challenges and risks, we will conduct a thorough risk assessment. This assessment will encompass a detailed analysis of external and internal factors that might impact the project's success. By identifying potential risks and their impact, we can develop a proactive strategy to mitigate these issues.
    - **Establish Monitoring Plan Based on Risk Assessment:** Building upon the insights gained from the risk assessment, we will develop a tailored monitoring plan. This plan will specify the key performance indicators and monitoring protocols that will help us keep the project on track and make real-time adjustments as needed to address identified risks.
    - **Create a Staffing Matrix - Roles and Responsibilities:** A clear staffing matrix will be developed, which defines the roles and responsibilities of the project team members. This matrix will include roles for administrative staff, operational staff, City Staff, Community Housing Development Organization(s) (CHDOs), and Contractors. By outlining responsibilities, we ensure a structured and efficient program management process.
    - **Review Program Design Documents, Policies and Procedures, and Other Program Artifacts:** Our approach encompasses a detailed review of program design documents, policies, and procedures, as well as other program artifacts. This review will ensure that all aspects of the program are compliant with regulatory requirements, in alignment with best practices, and capable of effectively supporting the project's objectives.

For the Home Repair and Rehabilitation Project, we will execute the following additional activities as part of the planning and program design phase:

- **Meeting Schedule and Reporting Requirements for CHDOs:** We will establish a well-defined meeting schedule to ensure that the CHDOs and other stakeholders are kept informed and engaged throughout the Project's lifecycle. This schedule will also include reporting requirements to maintain transparency and accountability.
- **Review of CHDOs' System:** We will conduct a review of the system used by the City's CHDOs to track applicants, contractor selection, project budgets, and progress. This review will assess the system's capabilities and alignment with project goals. It will also identify any areas where improvements or adjustments are needed.

It should be noted that members of this proposal were on the original consulting team that created these legacy documents and the applicant-level review and intake processes which will provide important institutional knowledge for the updating and implementation of these programs. However, new program staff will also be involved to provide valued “fresh eyes” to ensure that the maximum level of performance will be delivered.



Figure 5: Census Tracts for the Demolition for Residential Home Construction program

During the program design phase for the Demolition for Residential Home Construction program, we will collaborate closely with the City to validate that the current process used for the demolition of dangerous structures aligns with the overarching Community Revitalization Program goals. As detailed in Figure 5, the allocation of funds is strategically distributed within the designated four census tracts (101, 106, 108, 110).

Program Management Documents: As part of our planning and program design process, we will review existing program management documents and make necessary revisions to ensure they align with the specific needs of each Project.

Multiple members of the A&M Team assisted the City of Joplin with the creation of the first iteration of JHAP and are intimately familiar with all the associated program artifacts. We will provide a comprehensive review and refresh of the following templates to ensure that are not only compliant and efficient but also adaptable and can meet the needs of this new initiative:

- **Reporting Templates:** Reporting templates will be standardized formats for collecting and presenting data related to program progress, financials, and outcomes. These reporting templates will help ensure consistency in reporting across all stakeholders.
- **Policies and Procedures:** Defines the established rules and guidelines governing how the program will operate, addressing areas such as eligibility, funding allocation, and dispute resolution.
- **Pre-Application Checklist:** Checklist for potential applicants to review before submitting their applications, ensuring they meet initial eligibility criteria and can collect necessary documents before submitting their applications.
- **Application Forms:** The forms and documents applicants are required to complete when applying for assistance under the Home Repair and Rehabilitation Program.
- **Verification Forms:** Forms used to collect and verify information about applicants, ensuring their eligibility and need for program services.
- **Eligibility, Duplication of Benefits (DoB), Loan Review, and Award Determination Forms:** These forms are specific to determining eligibility, assessing DoB status, conducting loan reviews, and determining award amounts. This process helps ensure compliance with Duplication of Benefits regulations and assist in the fair and consistent allocation of program resources, as well as document key audit-prone decisions.
- **Inspection Forms:** Templates used to document the inspection process for assessing the condition of properties and determining necessary repairs or renovations.
- **Folder Structure:** Organized structure for storing and managing program documents, ensuring accessibility and compliance.

- **Record Retention Policies and Procedures:** Policies outlining how long different types of program records are to be retained, archived, or securely disposed of in accordance with legal and regulatory requirements and ensure alignment with the ARPA SLFRF requirements.
- **Outreach Plan:** Strategic plan for reaching out to potential program beneficiaries and stakeholders and informing them about the City's Community Revitalization Program. The establishment of this Outreach Plan is essential to guide all three projects towards success, ensuring a proactive approach to risk management, effective project monitoring, clear roles and responsibilities, and full compliance with program requirements and regulations.

These templates and documents play a crucial role in streamlining the program's management, ensuring transparency, compliance, and efficiency in its operation.

Program Administration

We are eager to support the City in the management of its ARPA funded Community Revitalization Program building on the successes of the legacy programs. Using our multi-disciplinary team, we are prepared to deploy industry leading practices in project management and program administration to maximize the value of our work in Joplin. In addition, our team will tailor our approach to Joplin's priorities, working hand-in-hand with the City to manage the end-to-end program administration process.

One Day #1 of this engagement, we will immediately begin working with the City to execute the following components of program administration:

- Identifying eligibility requirements applicable to these funds and uses to ensure compliance with funding requirements.
- Establishing an intake and eligibility review team and process with supporting guidelines, artifacts, templates, checklists, and other enabling tools.
- Creating a risk-based monitoring program and conducting monitoring of activities under each program. We will utilize best practices to establish risk criteria with which to assess each project. This approach will allow us to identify potential concerns or findings early and provide mitigation recommendations to reduce overall risk exposure.
- Providing as-needed technical assistance and training on funding requirements and regulatory compliance.
- Ensuring reporting requirements are fulfilled by the City, ensuring that activity data is properly tracked, maintained, and accurately reported on, and program data utilized to show and support each program's accomplishments in reports submitted to the awarding agency.
- Providing project scoping support and assisting the City in identifying the need for new procurements and contracts, assisting Joplin with properly procuring subrecipients and contractors when necessary.
- Establishing or updating the City's policies, procedures, and underlying documentation to support the effective and compliant management of these programs.
- Development of technical tools and artifacts for our team to expeditiously deploy program policies, guidelines, standard operating procedures, and other important guidance documents to demonstrate rapid progress in the most compliant manner.

Portfolio Management: Our approach to portfolio management is designed to optimize the organization and management of programs and project files, ensuring seamless collaboration between onsite and remote staff. Acknowledging that there are three projects, each with overlapping and separate stakeholder groups, we envision a dynamic framework centered on a SharePoint structure to offer the capability to capture, sync, and access documents. There will be different layers of access to the SharePoint to maintain data integrity and protect personal data. This not only streamlines the document management process but also fosters collaboration and supports asynchronous communication, making essential information accessible to both onsite and remote team members.

Recognizing the need for flexibility and online security, our team is open to integrating paper storage of program details, as required by the City. We are fully prepared to operate a dual digital and paper storage system. Any data generated or collected via the online platform or where users apply for programs in a paper-based system will be diligently stored and maintained ensuring the appropriate standards of data protection and confidentiality are upheld throughout the program's lifecycle.

Managing Program Operations: The US Department of Treasury expects that recipients have taken appropriate measures to evaluate and certify that their internal operations are sufficient to effectively oversee the implementation of projects with ARPA funding. Through the combined experience and understanding of federal funding and ARPA requirements, including those unique to SLFRF, we look forward to partnering with City of Joplin staff to execute an efficient, risk-based approach to effectively managing the Community Revitalization Program. Our team's deep understanding of the intricate interactions between ARPA funded programs, the methods to maximize each funding source, the process to ensure integrity and compliance, and the way to design and implement long-term revitalization strategies will allow Joplin to efficiently utilize its funding.

In order to effectively manage program operations in partnership with City of Joplin staff, we will dedicate skilled and knowledgeable individuals to carry out program operations, provide assistance to Joplin personnel, and provide training and technical assistance to the City's departments, CHDOs, other subrecipients, developers, and contractors. This communication, coordination, and training will be particularly necessary early in the process to ensure that all relevant stakeholders are informed, coordinated, and operating efficiently. Our operation of the JHAP program will ultimately be based on the final program design documents but will incorporate multiple levels of review and validation, QA/QC, periodic audits and samples, and input from several industry veterans with experience managing the original JHAP program as well as other housing programs.

We will also work directly with assigned staff to establish project controls to oversee and monitor the success, progress, and compliance of each project. Specific controls will include:

- **Schedule:** Develop the overall timeline, activities, dependencies.
- **Resources:** Plan and manage staffing needs and manage needs based on changing priorities. This will include developing roles and responsibilities, accountability, and deliverables in collaboration with the City, departments, subrecipients, contractors, etc.
- **Budget:** Assist in developing and monitoring the overall project and program level budgets.

- **Compliance:** Facilitate transparency and public accountability for SLFRF-awarded funds and use of funds; ensure funds are not used for ineligible purposes and that there is no fraud, waste, or abuse; and confirm that SLFRF-funded projects advance shared interests and promote equitable delivery of government benefits and opportunities to underserved communities. We will verify compliance with:
    - Emergency Rental Assistance ("ERA 2"), Title III, Subtitle B, Section 3201 of the American Rescue Plan Act, 2021, Pub. L. No. 117-2 (March 11, 2021) codified as 15 U.S.C. 9058c;
    - Section 15011 of the Coronavirus Aid, Relief, and Economic Security (CARES) Act (Pub. L. No. 116-136), as amended by Title VIII, Section 801(b) of the Consolidated Appropriations Act, 2021 (Pub. L. No. 116-260) on December 27, 2020; and Compliance Supplement 2022 4-21.023-2 April 2022 Emergency Rental Assistance Program Treasury
    - Title VI of the Social Security Act Section 603 – Coronavirus Local Fiscal Recovery Fund of the Social Security Act
    - 42 U.S.C. Section 803 – Coronavirus local fiscal recovery fund
    - 31 C.F.R. 35 Subpart A—Coronavirus State and Local Fiscal Recovery Funds
    - 2 C.F.R. 200 – The Uniform Administrative Requirements, Cost Principles, and Audit Requirements of Federal Awards
    - The Final Rule on the program guidelines in the Federal Register. See 87 FR 4338 (January 27, 2022)
    - Applicable guidance provided by the U.S. Department of the Treasury, including Treasury's Frequently Asked Questions (FAQs) and related guidance available on Treasury.gov, including important version changes over time that can be found on the ERA program website
    - Applicable laws and rules of the State of Missouri and the City of Joplin
    - Treasury requirements and guidance
    - Track recovery spending outcomes for required community impact

Community Outreach and Engagement Program: The success of the program hinges on a robust community outreach and engagement plan. Working hand-in-hand with City staff, we will develop a multi-faceted community outreach and communication plan to ensure that the Community Revitalization Program promote equitable delivery of these critical funds, targeting the most impacted households and communities in Joplin and reflecting the Community Revitalization Program priorities.

A well-coordinated and effective community outreach plan will serve as a primary roadmap to directly support Joplin's revitalization efforts. Recognizing the diverse needs of Joplin's residents, we will make concerted efforts to work with community service providers to engage:

- Persons with disabilities;
- Persons whose first language is not English;
- Displaced residents;
- Elderly residents; and
- Any other resident who might face barriers to participate in Joplin's revitalization programs.

We believe in the power of a "grassroots" marketing and informational campaign to distribute information to those most in need. As such, we aim to empower community members with the

knowledge and tools required to organically spread the program's message to every corner of the community. We will work with the City to develop resources in different languages (as required) and delivered in different according to the needs of the community. Additionally, we may identify local interpreters who can provide translation services at meetings and outreach events, as needed. Our team will work collaboratively with the City to develop a tailored plan, and we look forward to refining the activities in our outreach and communication plan (detailed below) in partnership with the City:

- **Informational Pamphlets:** We will develop brochures and pamphlets designed to inform potential applicants about the Community Revitalization Program. These materials will be placed across the City to spread the news in the community.
- **Social Media and Websites:** We will publish news of the program on the City's website, contact the local news outlet and support the City to post on social media platforms to reach the community.
- **Drop In Office Hours:** We will hold regularly weekly office hours for members of the community to drop by and discuss any questions they may have about the program. Additionally, it will serve as an opportunity for our team to engage with the community and share information regarding the program.
- **Pre-launch Public Webinar:** Recognizing the importance of transparent communication and community engagement, we propose conducting a Public Webinar before officially accepting applications (similar to the public webinar at the beginning of the Smarter Joplin Roadmap stakeholder engagement process). This session will serve as a platform to introduce the community to the revamped JHAP and JHRP programs, offering a detailed walkthrough of the application process, eligibility criteria, and anticipated timelines. By addressing queries and clarifying potential areas of confusion, we aim to facilitate a smoother application process for all prospective participants. This proactive approach not only fosters an environment of inclusivity and transparency but also assists in mitigating potential challenges that may arise during the initial application phase.

Applicant Processing: Our approach to applicant processing will be to first establish a methodology for eligibility determinations, in consideration of the applicable federal requirements and the priorities of the City of Joplin. We will work closely with program staff to establish compliant policies, procedures, and program guidelines for the processing of applications, including the process by which applications and supporting documentation will be reviewed. Our team will also implement a QA/QC process so that a significant percentage of applications are selected for additional review and assurance. As part of our standard approach, our team will review the City's existing internal controls and ensure that adequate controls are in place to support proper document retention throughout the process, and where there may be areas for improvement. In addition to reviewing applications for eligibility, we will establish a robust internal review process to ensure funds are not used for ineligible purposes.

Our team will work with the City to determine the appropriate application system (if any) that is reflective of the Community Revitalization Program's size and scale. Our team has the capability to develop and use a digital platform to process applicants, which will provide both applicant efficiencies and administrative efficiencies. Acknowledging that the portal may not suit all potential applicants or that a technology-based solution may not be appropriate for a program of this size, we will be onsite at an agreed frequency and duration to provide assistance and can offer paper application alternatives if required. Data generated or collected via the online platform or where users apply for programs in a paper-based system, particularly Personal Identifying Information, will be diligently stored and maintained ensuring the highest standards of data protection and confidentiality are upheld throughout the program's lifecycle.

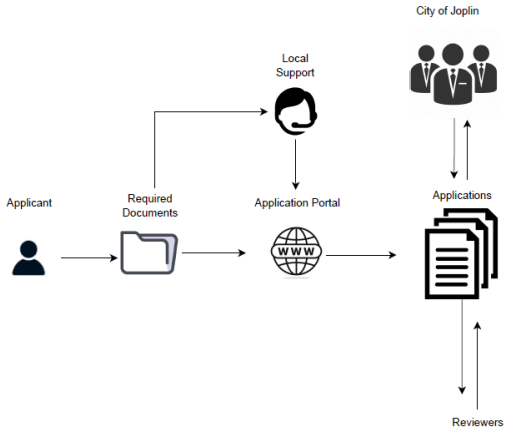


Figure 6: Illustrative online application process for Home Down Payment & Closing Cost Assistance Program

The **applicant and administrative efficiencies** of using an online portal include:

Faster Submission: No waiting in queues or facing potential delays due to staff limitations in the office.

Data Accuracy: Online forms can have built-in validation checks to ensure applicants provide all necessary information accurately

Digital Tracking: Applicants can monitor the status of their application in real-time.

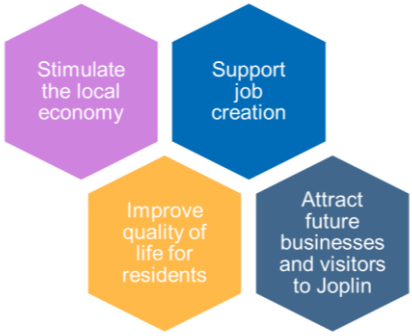
Accessibility: An online portal eliminates the need for physical travel to submit applications and is compatible with accessibility tools like screen readers.

Digital Record Keeping: Easier storage, retrieval, and backup of applications and documents

Clarity & Guidance: Online platforms can offer FAQs, guidelines, and chat functions to assist in the application process, ensuring clarity and fewer errors.

Timeliness

Our focus from the outset will be to design programs and efforts which meet the Missouri DED deadline of September 30, 2026 as dictated by ARPA requirements. Although this deadline is three years out, our team understands the importance of "working backwards" to ensure compliance and timeliness. Not only is this important from the standpoint of meeting requirements, but also from the perspective of achieving the mission of the Community Revitalization Program to rapidly address the housing needs of the target recipients and achieve the identified goals of the City.



Our approach to ensuring timeliness of the City's Community Revitalization Program is rooted at the project level by first developing a realistic timeline for each project. Our team will develop the overall timeline, activities, dependencies and resources required to complete each project component or initiative. We focus on what is required and what is achievable. Our team will come prepared to mutually agree on answers to the following questions to ask to make sure the City of Joplin, subrecipients, and other stakeholders are charting the right course to deliver results that are both timely and compliant:

- How will the City of Joplin track the disbursement of funds so that they are being used as they were intended and in a timely fashion? What configuration does City of Joplin's grants/financial management system (digital or paper-based) need to have to be capable of accurately tracking the expenditure of funds in a timely manner, and what controls need to be in place?
- What program and project level risks related to timeliness need to be addressed, and how can we help to ensure processes are being followed to mitigate them?
- How will the City of Joplin measure progress and ensure that funds are not only going where they were intended, but are also producing real value and impact in the communities for which they were designated?

As intake of applications occur, our team will closely ***track progress and modify timelines*** and/or processing elements, as needed. If modifications are to be considered, we will brief the City with recommendations and identify both the benefits and any potential risks as well as proposed response strategies. Across the lifecycle of the Program, the A&M Team will regularly hold these briefing sessions to discuss programmatic progress and possible challenges. Our team will proactively monitor risks and we will actively bring our SMEs and experts to the table to quickly and effectively resolve issues in a timely manner. Overall, the team's grant management expertise will ensure that the City of Joplin will stay on track to expend the funds by the deadline of September 30, 2026.

Compliance/Reporting

Our team brings together highly experienced individuals across A&M and NMA who have extensive understanding and experience with federal reporting requirements (specifically Treasury funds). We will support the City with establishing an appropriate data tracking and management process which will promote efficient reporting to Treasury, State of Missouri, and other required agencies. Our focus on reporting is to:

- Design an efficient and effective system to minimize the "scramble" often required to prepare reports and consolidate data
- Focus on identifying issues or discrepancies early/throughout the execution of the program to avoid last-minute surprises
- Design impact-oriented KPI's which help to track productivity and ensure that the program is being deployed effectively and is meeting the needs of the community

We will first propose KPIs, formats, and protocols to the City as part of our kickoff for this project. Subsequently, we will deploy tools and templates to report out to the City and other key stakeholders. Finally, we will establish a process for preparing federally or state-required reports (including quarterly and annual reports) working in conjunction with the various City departments who will have involvement in the input or review of those reports. We will consolidate information and hold review sessions to ensure accuracy and compliance prior to handing over reports to the City for submission.

Meetings

The A&M Team values frequent communication through a variety of channels. As an extension of the City, A&M will plan and attend relevant meetings which arise throughout the execution of the programs. We understand the need for the City to select a knowledgeable and qualified partner to actively take burden off of City staff and be laser-focused on the mission of the three projects. Below we have identified several key meetings and communication methods which we plan to deploy in the execution of this work.



Kickoff Meeting – One of the most critical meetings across the life of the program will be the kickoff meeting, introducing core participants from the City and the A&M Team. This meeting will establish expectations, ways of working, timelines, communication needs, stakeholder involvement, risks/mitigation strategies, and determine cadence for status updates. We will hold this meeting in-person at City Hall.



Project Status Updates – Due to the complexities of the Community Revitalization Program, A&M will hold regular status update meetings with key City staff to discuss applicant intake volume, progress in deploying funds, risks/issues, successes and other critical KPIs established during the program design.



Applicant Intake – We will conduct ongoing applicant intake and meet with members of the community who wish to apply for one of the City's programs. We will leverage City Hall or other identified spaces in close proximity to City Hall to

serve the public with intake office hours and field any questions or concerns. The frequency and duration of “office hours” will be discussed and agreed between the City of Joplin and A&M.



Stakeholder Outreach & Engagement – As this program will inherently impact residents, City departments, and local/regional organizations, A&M will conduct stakeholder outreach meetings and engagement sessions to provide critical information and awareness to relevant stakeholders. The A&M Team will work closely with City staff to identify these stakeholder groups. We know the key players across the City from our previous support to the City in various housing, economic redevelopment and infrastructure initiatives; this institutional knowledge will greatly support the successful implementation of this program.



City Council Updates – City Council is a core component to the success of this program, and A&M will provide regular updates to City Council on the program to allow Council members the opportunity to ask questions and gain a thorough understanding of the program’s initiative. These updates will also provide the public with visibility into the process, status, and potential challenges along the way.



Closeout – During the wind-down of the programs, the team will hold meetings with City staff, realtors, the banking sector, community housing providers and other stakeholders to ensure that all parties are kept abreast of changes. As discussed in the ‘Closeout / Audit Preparation’ section, we anticipate working closely with the City to develop a tailored Close-out strategy and ensure the capture and transfer of all knowledge and documentation for archiving purposes.

Monitoring

Our team has deep expertise, experience, and knowledge of federal entities, guidelines, reporting requirements, and regulations and are considered experts in 2 CFR 200, 24 CFR 135, SLRF and multiple other federal regulations. Members of the team are frequently asked to provide recommendations and guidance for government entities requiring assistance in understanding federal regulations and grant requirements. For our monitoring efforts, we deploy a practical and efficient approach, which is integral to the way we do business and interact with our clients. When we apply this principle to our monitoring activities, we spend most of our time and effort on the most important and high-risk areas. Will perform the following for the City:

Members of this team previously achieved the following results for the City:

- Developed a risk-based compliance and monitoring plan that prioritizes the City's projects, determines a weight-based risk ranking, determines the cadence for monitoring visits, and identifies the requirements for monitoring visits.
- Developed a Compliance Policy & Procedure manual
- Developed security/system controls for how hardcopy and softcopy Personally Identifiable Information ("PII") were handled.
- Assisted the City in maintaining records management procedures and processes.

- Conduct a review of the City's internal controls to ensure that an effective monitoring system is in place. Provide recommendations to enhance that monitoring system if necessary
- Provide the City with effective solutions to internally monitor program performance through KPIs and critical data points (e.g., stakeholder insights, schedule, etc.)
- Provide the City the ability to actively and aggressively mitigate risks early on by designing and managing a risk identification and tracking system and process
- Provide a simple solution to index issues as they arise while maintaining proper visibility through resolution
- Provide regular communication and updates with the City's elected officials in the form of presentations and written updates
- Provide progress summaries to the City Manager and any internal work group, as determined, on a regular basis throughout the project.
- Regularly coordinate with State and Federal leaders to ensure compliance is maintained across the life of the program.

Risk Management: we will develop and maintain risk and issues tracking tools and review the potential impact to the project or program's objectives, discuss mitigation plans with target completion date, and assign ownership. These activities are critical to a robust compliance monitoring program and will enable proactive risk and issue management.

Our team has extensive experience establishing risk monitoring and management programs including risk identification, risk response, and risk monitoring. We will work with the City of Joplin to develop a risk management approach that is efficient and appropriate considering the risks inherent with each program.

Our focus in delivering the Community Revitalization Program is to define and track the right KPIs at the right time, and with the right level of granularity. Our propriety methodologies and project management tool allows A&M to accurately track critical project and program metrics such as schedule, cost, risks/issues, technical & environmental considerations, communications, and relevant information related to program compliance.

Schedule Management	Risks & Issues Management	Change Control	Contract Management
Financial/Cost Management	Resources Management	Stakeholder Management	Compliance Management

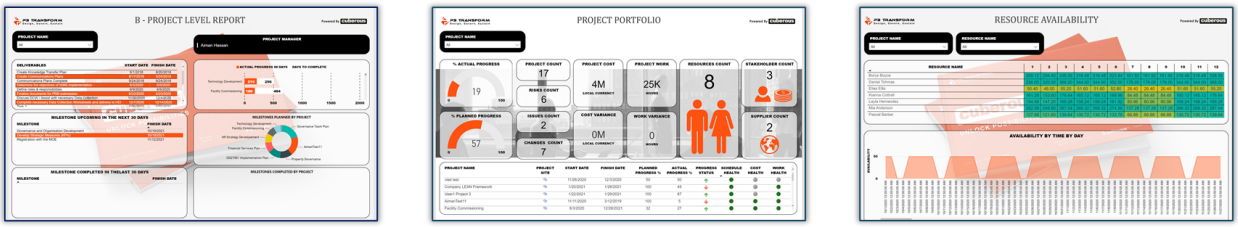


Figure 7: Sample Reporting Dashboards

Issue Management: Through our comprehensive and proactive approach to monitoring, reporting and risk management, we are well positioned to identify challenges and address items before they become issues. Our team will review the risk assessment to work proactively and identify areas of opportunity for improvement and issue management before larger issues arise. In the event that issues arise, our team is prepared to provide alternative ideas on how to deal with various issues that are specific to the City of Joplin and Missouri through our extensive knowledge and experience working there in the community.

Coordination

Our team has worked closely together previously, and our structure is one that allows us to seamlessly coordinate across projects to take a holistic approach and not operate in silos. We know that there will be many moving parts and coordination required. We will provide onsite presence to allow for coordination of grant and project compliance as needed. With the intention for the City to enter into contracts with housing development organizations to enable repairs, we acknowledge that the Home Rehabilitation and Repairs project will potentially involve a higher degree of coordination to ensure grant compliance. As described in the ‘Meetings’ and ‘Monitoring’ sections, we have a plethora of project management tools and dashboards that will provide transparency and visibility into ongoing and planned tasks such as the status of ongoing monitoring efforts, issues/risks identified, and other critical data elements including from the community housing development organizations.

Technical Assistance

Our team has provided technical assistance across the U.S for various grantees administering multiple fund sources, including for the City of Joplin. Members of the A&M Team supported the City in its disaster recovery efforts in the wake of the EF-5 tornado, which included technical assistance, community outreach & stakeholder engagement, and project monitoring across multiple years of funding, delivering upon the City’s successful administration of two CDBG-DR grants totaling $158M.

We stand ready to coordinate and provide ongoing technical assistance on all topics related to grants management and administration with DED or SLFRF as required.

Wind-down & Closeout/Audit Strategy Preparation

Our approach to the effective administration of Joplin's Community Revitalization Projects starts with designing for compliance from the outset. We will be prepared to support the City through document management, subrecipient document management, reporting, project closeout, and grant closeout. Our goal for the City is to maximize the amount of funding received and avoid any ineligible use of funds.

The team will work collaboratively with the City to develop a wind-down strategy for the JHAP and JHRP programs. During the previous wind-down phase of JHAP, the team developed a strategy that captured and processed applicants, created a waitlist for interested applicants once the number exceeded the amount agreed by the team and city, and contacted waitlisted applicants on a case-by-case basis to submit applications based on the number of successful closings and contingency. A critical element of the wind-down period was stakeholder communication to ensure a consistent and clear message to realtors, lenders and stakeholders that the process is operating on a wait-list capacity and funding is not guaranteed. We will use our previous experience and knowledge of the wind-down period from JHAP and JHRP as the foundation to refine the implementation approach in collaboration with the City to ensure appropriate communication is undertaken. Across all three projects, our team will ensure that the documentation is transferred to the City for archiving purposes.

Our team will support the following:

- Standardize document repository
- Maintain electronic records management
- Develop closeout checklists
- Conduct closeout reviews

Our team will help establish an audit schedule to make sure that all required audits are completed timely and using the proper standards. We approach audit preparation using a risk-based approach. We evaluate each activity independently based on several risk factors. The risk factors change based on the type of program and trends in audit findings, yet are used to generate an overall risk score. Then each project file is comprehensively reviewed to ensure all required records and reports are present.

5.0 COST PROPOSAL

In the pages that follow, we have presented the cost proposal as requested in the City's solicitation. We look forward to the opportunity to discuss the City's needs in greater detail and modify our approach accordingly to meet the City's needs and budget.

Estimated Fees

Department	Title/Function	Average Rate for Contract Term	Estimated Number of FTE Hours	Total Cost
Consulting	Managing Director	$350.00	49	$17,150
Consulting	Director	$250.00	637	$159,250

Consulting	Manager	$225.00		
Consulting	Subject Matter Expert/Senior Consultant	$190.00	490	$93,100
Consulting	Senior Consultant	$185.00	441	$81,585
Consulting	Consultant	$150.00		
Consulting	Housing Supervisor	$105.00	490	$51,450
Consulting	Housing Specialist	$95.00		
Consulting	Inspector	$90.00	196	$17,640
Consulting	Environmental	$90.00	392	$35,280
Consulting	Administrative Support III	$90.00	147	$13,230
Consulting	Administrative Support II	$75.00	147	$11,025
Consulting	Administrative Support I	$55.00	980	$53,900
Total				**$533,610**

Additional positions included for ad-hoc project needs to be identified and agreed by City and A&M.

Assumptions

1. The “Total Cost” estimate provided above is based on our current understanding of the City’s desired scope of services and the availability of required City and external resources needed to complete the work as outlined in the RFP. The estimate is subject to adjustment upon confirmation of specific scope requirements between the City and A&M.
2. To meet the City’s specific needs and requirements upon commencement of the work, we anticipate the opportunity to add/remove positions and reallocate hours between levels.
3. We have based our fee on the assumption that the Community Revitalization Program will leverage existing policies, procedures, and templates. We anticipate undertaking a review and refreshment of the templates to ensure that they meet the needs of the Program.
4. For the deliverables, our team has allowed for the Day-to-Day Administration of the Down Payment Assistance Project over a 6 month period. Our involvement in the Home Rehabilitation and Repairs and the Demolition for Residential Home Construction is limited to oversight activities such as providing guidance, conducting limited reviews/compliance samples, and advising on programmatic issues.
5. For the pricing of this work, we have assumed a contract base period from November 2023 to September 2026 but anticipate that the JHAP program will conclude within a ~6 month period. The projection is based on our improved operational efficiency achieved through direct familiarity with the previous JHAP initiative. The ongoing oversight and monitoring activities for the Demolition for Residential Home Construction and Home Rehabilitation and Repairs are assumed to extend to 2025 and 2026.
6. We have assumed for the Home Rehabilitation and Repairs program, that the CHDOs will be responsible for applicant intake, applicant review and eligibility.
7. It is estimated that, during Year 1 (2024), we will have a dedicated person on-site between 20-40 hours per week (depending on the duration of the program) to provide in-person support and assistance in their application process. This level of on-site support will substantially reduce in Years 2 & 3 as the Home Down Payment and Closing Cost Assistance closes, acknowledging that the oversight / monitoring activities for the CHDO and Demolition projects will continue. We are open to discussing the on-site presence with the City and adjusting our resourcing levels and fee estimate accordingly.

8. Based on our familiarity with JHAP and the historical award averages achieved in 2014, we have estimated that successful applicants for the Home Down Payment and Closing Cost Assistance will receive an average of $30,000 per beneficiary. Based on this estimate, we anticipate a total of 100 successful applicants to meet the $3m funding allocation. We assumed an application approval rate of 65% based on previous experience. Therefore, we have assumed that we will perform approximately 150 application reviews.

Proposal Validity
This proposal is valid for 120 days.

Travel and Other Direct Costs
We assume that reasonable travel and other direct costs critical to the completion of our work with the City of Joplin will be billed to the City at cost and will be reimbursed monthly. Travel and ODCs (such as office space and office supplies) are not included in the estimate above.

6.0 ADDITIONAL CONSIDERATIONS

Local Presence

Our team is committed to maintaining a strong and active local presence within the community, which we believe is paramount for ensuring the successful administration of the grant projects. Our team has dedicated local resources that not only have the deep knowledge of the community and its programs, but have a deep personal mission to advance the City's socio-economic growth. Our team combines several local experts, including Patty Heagel, Brad Baker and John Joines. In addition to our local experts, the team will use several experienced local housing-related resources to support the successful implementation of the Community Revitalization Program. This group of local experts and resources form a critical component of the team and bring firsthand knowledge of the previous JHAP and JHRP programs.

Remote Work

Our proposed team brings together the best of both worlds – locally based resources to support the City on the ground combined with technical specialists and experts from across the US to bring best practice to life. Our team has partnered together previously and has a track record of managing asynchronous work successfully. We will employ a comprehensive strategy that includes the establishment of a shared workspace, standing touchpoints, the utilization of technology, and meticulous task planning.

- **Establishment of a shared workspace:** We will create a shared digital workspace, such as SharePoint, that is accessible to our collective team to centralize project documentation, resources, and updates. This platform will serve as a hub for both remote and onsite team members, ensuring easy access to crucial information. We are cognizant that the team will handle personally identifiable information and we will implement data security and privacy measures for this workspace.
- **Regular team touchpoints:** Regular standing internal team touchpoints will be scheduled at a defined frequency to provide share updates on progress, proactively highlight potential risks and discuss any issues as they arise in a timely manner. This ensures that the entire A&M Team remains informed and on the 'same page' regardless of their location.

- **Use of technology:** Our team is familiar with a range of technology including video conferencing, instant messaging, and collaboration tools that will facilitate real-time and asynchronous communication.
- **In-depth planning:** From the outset of this engagement, our team will consider the variety of activities required to successfully administer the program and ensure responsibilities are well-distributed. Onsite staff will be tasked with duties that require a physical presence, while remote team members will handle tasks that can be executed virtually. This division of responsibilities will prevent redundancy and maximize productivity.

Our Unique Strengths and Drive for Innovation

Our team has several differentiators and unique strengths that we will bring to the Community Revitalization Program. These are:

- **Advanced tools and technology** – A critical component to our organization structure is our use of technology enablers that will help the City of Joplin to be more efficient with time, money, and staff resource while driving accuracy in data for each infrastructure decision made, as noted with the online application portal and dashboard reporting. Additionally, our team has developed a robust and comprehensive approach to support execution of housing projects, incorporating Geographic Information System (GIS) technology and portfolio management and scheduling software to achieve optimal execution of planning and implementation milestones for each engagement workstream.
- **Ability to accelerate planning and implementation timeframes** – We bring first-hand knowledge of the significant challenges and leading practices related to delivering successful housing programs, including leveraging our previous work on JHAP Round #1 and JHRP #1 to gain maximum planning and implementation benefits for the City of Joplin.
- **Established experience and knowledge with internal and external stakeholders** – A key differentiator for our team is the deep relationships that we have established with the City of Joplin and its key stakeholders dating back to shortly after the 2011 disaster and that continues through to the present today.
- **A familiar team you know and trust** –We are proud to provide a core team that is committed to Joplin and is here to support you in achieving your goals. Further, team members from Nan McKay and other local resources who supported the JHAP #1 and JHRP #1 workstreams, will join the Team to support this important engagement.
- **Dedicated on-the-ground support** – Due to the focus on these three housing-related workstreams, should A&M be selected as your advisor for this engagement, we are committed to placing an experienced, local specialist in Joplin at a frequency and duration that is practical for the program and also cost-effective for the City.

Diversity and Inclusion

The A&M Team fully embraces diversity and inclusion as a catalyst for solving complex challenges, creating value, and fostering positive change for our clients. Our commitment to diversity and inclusion, and our teaming partners commitments, are detailed in the *1.0 Company Profile* section. We firmly believe that our professionals, with diverse backgrounds and practical experience, set us apart and enable us to provide innovative solutions.

APPENDIX: RESUMES

In the section below, you will find resumes for each of our engagement leadership and key staff. All the team members we propose to support you are seasoned and experienced from successfully operating in highly dynamic environments.

The on site percentage estimates provided below are for the leadership team of this engagement only. Case management/intake staff are ***anticipated to be on site for a significant percentage of their time*** (50+%, to be determined based on the duration of the program and the City's requirements).

Name	**Riz Shah**
Position	Engagement Partner
Degree/Education	• Bachelor of Architectural Engineering, Penn State University • Executive Degree, INSEAD
Location	Washington D.C
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	25 Years

Summary of Qualifications

For more than 20 years, Riz has been entrusted to help clients respond to unexpected crises following incredibly challenging and tragic impacts on communities and businesses. From crisis response through resilience, Riz has supported clients through the entire response and recovery lifecycle and advises clients in their immediate-, short- and long-term strategic decisions. Riz has worked with HUD CDBG-DR, FEMA PA, FHWA, FTA, EDA, and other grant programs through his support of recovery programs such as the City of Joplin, Missouri (2011 Tornado), Colorado DHSEM (2013 floods), Governor's Office of Storm Recovery New York (Hurricane Sandy), Harris County, Texas (Hurricane Harvey), Department of Economic Development, Puerto Rico (Hurricanes Maria and Irma), South Asian Earthquake Relief (2005 Earthquake) and Deutsche Bank recovery (9/11). Riz was the Engagement Partner during the City of Joplin's JHAP #1 workstream, as well as during the City's CDBG-DR Capital Plan development and implementation phases.

Riz specializes in supporting global businesses and public sector entities involved in the delivery of large and complex multi-billion dollar capital investments and programs, working side by side with project owners/operators, developers, financers/investors, corporates, government entities and international contractors that operate in the heavy infrastructure, oil and gas, transport, real estate, and industrial sectors in both the public and private sector around the globe, including the US, Europe, Asia, Africa and the Middle East, as well federal, state, local entities here in the US.

Riz holds a Bachelor of Architectural Engineering from Penn State University, an Executive Degree from INSEAD and is a member of the board of the College of Architectural Engineering. He is currently a Managing Director with Alvarez and Marsal and leads their Infrastructure practice nationally. Earlier in his career, he was a Partner with Guidehouse and PwC (2016-2019, 1999-2001), and Managing Director with Deloitte (2001-2015).

Name	**Rob Reid**
Position	Program Director

Degree/Education	• Master's in Business Administration (MBA), Duke University Fuqua School of Business • Bachelor of Science, Auburn University
Location	Atlanta, Georgia
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	15 Years

Summary of Qualifications

Rob is a Senior Director in Alvarez & Marsal's Infrastructure & Capital Projects practice and leads Alvarez & Marsal's public sector infrastructure practice. Rob has significant experience planning, managing, and monitoring Coronavirus Relief Funds, FEMA Public Assistance, HUD Community Development Block Grant – Disaster Recovery (CDBG-DR), and FHWA Emergency Relief funds. Most recently, Rob has worked with multiple communities around the country in the preparation of broadband master plans and implementation roadmaps. Rob has worked with over 30 state and local governments and recipients of federal funding in response to COVID-19. He has worked with grantees and subrecipients as well as the U.S. Department of Treasury, FEMA, HUD, and DHS personnel in planning, implementing, administering, and monitoring recovery funds. Rob has worked with federal fund grantees across the nation including in Colorado, Utah, Texas, Puerto Rico, Missouri, New York, Louisiana, Ohio, New Jersey, Alaska, California, Oregon, South Dakota, Michigan, Massachusetts, New Hampshire, Rhode Island, South Carolina, Arizona, Nevada, Oklahoma, Illinois, and others. Rob was previously involved in the City of Joplin's CDBG-DR Capital Plan development and implementation phases.

Relevant Experience

- For the City of Joplin, Rob served as the project manager supporting the City in recovery and resilience efforts after the devastating EF-5 tornado that impacted Joplin. Rob conducted capital planning efforts, oversaw the management of infrastructure, housing, and economic development projects, reported to the City Staff and City Council, and conducted monitoring efforts.
- For the Colorado Division of Homeland Security & Emergency Management (DHSEM), Rob led many of the State's applicant assistance efforts in the administration of the FEMA PA program in response to the 2013 Floods. Rob's team collaborated with federal, state, and local entities in interpreting policy guidelines, disaster specific guidance, and in reaching consensus in alternative solutions to complex eligibility issues that satisfy regulations. In this capacity, Rob worked closely with applicants, providing technical assistance and guidance throughout Project Worksheet (PW) creation, Requests for Reimbursement, and project closeout, as well as providing strategic guidance to the State in critical policy decisions.
- For multiple healthcare PNPs and subrecipients across the U.S., Rob oversaw the planning and management of federal funds related to COVID-19 including Coronavirus Relief Funds, FEMA Public Assistance, and Provider Relief Funds. Rob's teams provided subject matter expertise, regulatory guidance, and project management. Subsequently, Rob led the monitoring and oversight of expended and planned grant funds including the development of monitoring plans, conducting risk assessments, and conducting monitoring activities.
- For the State of South Dakota, Rob led a team tasked with end-to-end administration of the State's CRF grants including interpreting state policy into program guidelines, providing training for potential applicants, standing up and overseeing application review teams, providing strategic advice, and conducting monitoring efforts.

- For the State of Arizona, Rob led a team to document and submit Project Worksheets for FEMA's Public Assistance program. Rob's team was charged with working across multiple state agencies and local governments to gather expenses, prepare Project Worksheets, and monitor transactions.
- For Cook County, Illinois, Rob led a team providing grant management services for CRF, FEMA PA, and ERAP funds. Rob's team was responsible for developing funding strategies, confirming compliance with federal regulations, providing program and project management support, and conducting grant monitoring activities.
- For Harris County, TX, Rob served as the project manager assisting Harris County with the strategy, planning, execution, compliance, and procurement of over $1.5B of disaster recovery and grants management in response to Hurricane Harvey. His team managed all grant funding sources including FEMA PA, HUD CDBG-DR, FHWA, FEMA HMGP, and others. Rob's team provided guidance to several departments within the County including the Community Services Department, Engineering Department, Purchasing Office, Auditors Office, Sheriff's Department, Fire Marshall's Office, and the Parks Department. Rob's team conducted several compliance monitoring activities for various funding sources.
- For the New York Governor's Office of Storm Recovery, Rob assisted New York State Governor's Office of Storm Recovery to assess GOSR's vendor management and oversight processes.
- For the Centers for Disease Control and Prevention (CDC), Rob implemented enterprise risk management best practices and oversaw daily risk management of first responders to public health emergencies across the globe. Rob's teams conducted risk assessments on multiple centers and advised on risk management for emergency response activities.

Name	**Catherine Ures**
Position	Housing SME
Degree/Education	• University of Southern California | Los Angeles, CA Master of Public Administration • University of Southern California | Los Angeles, CA Bachelor of Arts, Urban Planning & Community Development
Location	San Diego, California
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	20 Years
Summary of Qualifications	
With more than two (2) decades of professional experience in community redevelopment, recovery, and strategic planning, Catherine Ures is a Vice President, Professional Services at NMA, and has the unique qualifications of having worked in a management capacity in both the public and private sectors. Her public service encompasses over a decade in California municipal government in both the affordable housing and redevelopment fields. Her time in the private sector has focused on serving federal, state, and local entities with strategic planning, urban design, grants management, disaster recovery, HUD program management, FEMA program management, federal procurement, monitoring & compliance, and training.	
Relevant Experience	
Project: State of South Carolina | Role: Executive Sponsor | 2021 to Present	

- Administered $515M of ERA 1 and ERA 2 funding on behalf of the State of South Carolina for the operation of the SC Stay Plus Emergency Rental Assistance Program (ERAP)
- Oversaw team that provided the business requirements for the development of a custom application portal and program management system, including workflow and document management
- Provided oversight to teams of over 200 staff providing end-to-end application processing, call center, and payment requests
- Provided technical assistance to the State and units of general local government on ERAP compliance
- Implemented NMA's proprietary technology platform for the ERAP program, which automates all intake, eligibility, and payment file creation for the disbursement of program funds and all programmatic reporting
- Oversaw the development and buildout of a custom bulk utilities module for the distribution of utilities funding to utility providers

Project: State of New Jersey | Role: Executive Sponsor | 2021 to Present

- Provided leadership for the development, administration, and implementation of the State of New Jersey's coronavirus relief funding (CRF) emergency rental assistance program (CVERAP-1 and CVERAP-2); total disbursement for this project has now reached nearly $1 billion
- Implemented our ERAP technology solution for CVERAP-1, administering $90M in ERAP funding and processing 47,999 applications
- Continued to leverage the NMA portal for CVERAP-2 and disbursed $132M in 5 months, with over 25,730 eligibility determinations made
- For all COVID grant funding sources and State of New Jersey programs listed below, the NMA team provides strategic policy guidance, technical assistance, training, and full-service operations and call center services

Project: Harris County, Texas | Role: Program Director | 2017 to Present

- NMA, in support of the Guidehouse team, is assisting Harris County with programming related to Harris County's COVID-19 relief funding and related grants. In addition to legislative analyses, technical assistance, and program development, NMA has assisted with the identification of nonprofit partners to act as program administrators for various COVID related recovery programs. NMA has established compliance and monitoring structures for both the Small Business Relief Program and the Rental Assistance Program.

Project: City of Joplin | Role: Program Director | 2017 to 2021

- Catherine and her team were engaged to develop a robust monitoring and compliance program for all disaster-related housing and infrastructure projects and programs. Catherine led the team through frequent HUD audits, oversaw updates to the Joplin CDBG-DR compliance manual, and managed technical assistance and training staff who created and provided trainings to grantee and subrecipient staff/contractors.

Name	**Natham Paufve**
Position	Home Down Payment & Closing Cost Assistance Lead

Degree/Education	• University of Chicago, Chicago, IL, Master of Arts, Public Policy • North Central College, Naperville, IL, Bachelor of Arts, Psychology
Location	Estero, Florida
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	14 Years

Summary of Qualifications

Nathan Paufve is the Deputy Director of Consulting at NMA with expertise in program design and implementation, strategic planning, grants management and administration, regulatory compliance and monitoring, risk assessment and internal controls, program and project management, process improvement, workflow mapping and design, and measuring performance. He specializes in working collaboratively with federal, state, and local entities to develop and implement grant funded programs that address strategic disaster recovery, resiliency, social vulnerability, housing, and economic development.

Relevant Experience

Project: State of South Carolina CDBG-CV | Role: Project Manager | January 2021 to Present

- Provided professional grant management services to the State of South Carolina for oversight and compliance of federal funds received in response to COVID-19 through the CARES Act:
  - Developed online application portal for competitive and non-competitive CDBG-CV Round 1 funding for Public Services and Public Facilities and Improvements programs.
  - Provided oversight to the application review team and assistance in the review, approval, or denial of all funding requests.
  - Provided technical assistance to the State and units of general local government on CDBG-CV compliance.
  - Established policies, procedures, and documentation for the end-to-end grants management process.
  - Developed reporting and documentation processes in accordance with federal funding requirements.

Project: State of South Carolina CRF | Role: Consulting Manager | June 2020 to January 2020

- Provided professional grant management services to the State of South Carolina for oversight and compliance of federal funds received in response to COVID-19 through the CARES Act:
  - Developed strategy for State of South Carolina's response using a current state assessment and prioritization based on funding.
  - Assisted in the development of the SC CARES Program and the State's Non-Profit and Small Business Assistance Programs.
  - Established policies, procedures, and documentation for the end-to-end grants management process.
  - Developed reporting and documentation processes in accordance with federal funding requirements.
  - Managed a team responsible for developing the program guidelines, standard operating procedures, templates, and forms required for the SC CARES Program and Non-Profit and Small Business Assistance Programs.

- Provided oversight to the intake team and assistance in the review, approval, or denial of all subrecipient and beneficiary funding requests.
- Provided as-needed technical assistance and training to the State on federal regulatory compliance.

Project: Harris County, Texas COVID | Role: Consulting Manager | June 2020 to Present

- Provided program strategy, planning, and execution for the monitoring and compliance of Harris County COVID-19 CRF programs:
  - Provided legislative analyses, technical assistance, and program development.
  - Provided research and recommendations on effective non-profit partners to act as program administrators for the County's various COVID related recovery programs.
  - Established compliance and monitoring structures for both the Small Business Relief Program, the Direct Assistance Program, and the Rental Assistance Program, which included developing compliance and monitoring checklists, testing checklists, and monitoring reporting dashboards for review of the Small Business Relief Program.

Project: City of Joplin, MO | Role: Senior Consultant | April 2017 to January 2018

- Developed a robust monitoring and compliance program for all disaster-related housing and infrastructure projects for the City of Joplin:
  - Developed a risk-based monitoring plan, managed monitoring staff, executed program compliance monitoring reviews, facilitated project and grant closeout activities.
  - Oversaw updates to the Joplin CDBG-DR Compliance Manual and established project and program record keeping and document management protocols.
  - Managed technical assistance and training staff who created and provided training and technical assistance to grantee and subrecipient staff and contractors.

Name	**Jacqueline Stout**
Position	Home Rehabilitation & Repairs Lead
Degree/Education	• University of Illinois at Chicago | Chicago, IL Bachelor of Arts, Political Science
Location	Philadelphia, PA
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	9 Years

Summary of Qualifications

As a senior consultant at NMA, Jacqueline Stout specializes in collaborating with clients to develop and implement improved operational processes and ensure client compliance with local, state, and federal regulations. Her primary expertise is in federal procurement and regulatory compliance, disaster recovery grants management, policy analysis and development, strategic planning, and development of program guidelines and standard operating procedures.

Relevant Experience

Project: Grant Assessment, Strategy Formulation and Maximization of CARES Act funding for State of South Carolina | Role: Subject Matter Expert | June 2020 to Present

- Identify funding and eligibility requirements of federal funding available in response to COVID-19 and develop strategy for State of South Carolina's response using a current state assessment and prioritization based on funding.
- Establish the policies, procedures, and documentation for the end-to end grants management process.
- Provide as-needed technical assistance and training on federal regulatory compliance.

Project: COVID-19 Support Services for Cook County, IL | Role: Associate II | May 2020 to Present

- Review, analysis, and recommendation of best practices for Cook County Purchasing and Procurement Procedures and contract templates in relation to COVID-19 expenditures.
- Provide as-needed technical assistance and training on federal regulatory compliance.

Project: COVID-19 Support Services for Tarrant County, TX | Role: Associate II | May 2020 to Present

- Review, analysis, and recommendation of best practices for Tarrant County Purchasing and Procurement Procedures and contract templates in relation to COVID-19 expenditures.
- Provide as-needed technical assistance and training on federal regulatory compliance.

Project: Rapid Assessment of Internal Policies and Procedures for COVID-19 Response for City of Albuquerque, NM | Role: Associate II | April 2020 to Present

- Evaluate current policies and procedures and recommend overall best practices to ensure compliance with requirements of various federal funding sources.

Project: Hurricane Harvey FEMA-PA & Other Grant Administration for Harris County, TX | Role: Associate II | June 2018 to Present

- Overall grants management and program administration of HUD CDBG-DR, FEMA Public Assistance, and other funding sources.
- Procurement guidance and training, development of guidelines and standard operating procedures, oversight and regulatory compliance, project and grant closeout activities, stakeholder and public outreach activities, and providing technical assistance and training on federal regulatory compliance.

Project: Professional Administrative Support Services for City of Joplin CDBG-DR | Role: Consultant | March 2018 to September 2018

- Provided program administration, developed updated policies and procedures, performed risk assessment, identified technical, financial, and regulatory risks, assisted with HUD and other State audit visits, performed regular compliance reviews of CDBG-DR funded projects assessment, and developed written and verbal briefings on CDBG-DR compliance related issues, and providing training to City staff and vendors on CDBG-DR compliance.

Name	Belinda Kilian
Position	Demolition for Residential Home Construction Lead
Degree/Education	• Bachelor of Commerce, University of Auckland • Bachelor of Property, University of Auckland

Location	New York, New York
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	5 Years

Summary of Qualifications

Belinda is a Senior Associate in A&M's Infrastructure and Capital Projects Practice. With five years' experience, she has worked with a variety of public and private entities to support the planning, procurement, and execution of projects across water, energy, real estate, transportation, and education sectors.

Relevant Experience

- City of Joplin, Missouri – Belinda has supported the City's broadband deployment efforts by developing content for City Council briefings.
- Cost Review – Belinda reviewed contractual documentation to identify $1.3M in potential cost recovery items for the client.
- Contractual Review and Stakeholder Engagement – Belinda conducted a series of workshops with stakeholders to support the determination of appropriate customer levels of service for the refranchising of Melbourne's train and tram operations.
- Cost Review – Belinda supported the analysis of construction costs in the residential sector to develop a range of strategic and commercial options to mitigate the escalating costs and alleviate supply constraints.
- Risk Assessment – Conducted a review of Project Management Plans and facilitated stakeholder walkthroughs of a $600M wastewater treatment plant to determine the effectiveness of project controls in place.
- Governance Structures – Developed portfolio and governance structures for the Ministry's $1.5B infrastructure assets, encompassing over 2,100 schools.
- Risk Review – Belinda supported the review of key commercial and implementation risks associated with the introduction of a statewide public ticketing system.
- Supply Chain Review – Belinda supported the review of New Zealand's national electric power grid supply chain to identify opportunities for improvement and align with industry best practice.
- Project Management – Belinda was involved in the redevelopment of an inner-city high rise commercial building into luxury apartments, responsible for the resolution of RFIs, assessing change orders, preparing monthly progress reporting and chairing weekly project team meetings.

Name	**Brad Baker**
Position	Bank Liaison
Degree/Education	• Master's in Business Administration (MBA), Chaminade University of Honolulu • Bachelor of Business Administration, University of Hawaii
Location	Joplin, MO
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	35 Years

Summary of Qualifications

Brad recently retired from U.S. Bank where he was a Business Banker for 13 years based in Joplin, MO. Brad was actively engaged with Joplin, MO and surrounding communities for business banking needs. Brad worked in the banking community to find the best lending solutions for customers which included government supported programs such as the Economic Injury Disaster Loans (EIDL), Paycheck Protection Program (PPP) and USDA FSA farm loans.

Prior to banking, Brad was a practicing CPA who provided auditing, accounting, tax and financial consulting services for 12 years with CPA firms in the Joplin, MO region as well as the then Big 8 firms of Touche Ross & Company and Ernst & Whinney in Honolulu, HI. Audits included Government Auditing Standards Yellow Book audits of federal grants programs for several clients.

Brad has had extensive business and community engagement since returning from Hawaii in 2000 being active with many of the area Chambers of Commerce. Although Brad lived in Hawaii during his college and early career years, he grew up in Webb City, MO and has worked and served with several organizations in the Joplin, MO region. Some of the Joplin, MO area boards he has served on are listed below.

- Jasper County Industrial Development Authority – President
- Community Support Services of MO – Treasurer
- Workforce Investment Board of SW MO – Past Chair and Treasurer

Relevant Experience

- Business Banker actively engaged in the Joplin, MO area banking community since 2010.
- PPP Loan & Loan Forgiveness Specialist for U.S. Bank who assisted in managing and processing the SBA Paycheck Protection Program for 1st and 2nd draw loans and loan forgiveness. Brad was recognized as a subject matter expert for addressing issues and details of the PPP Loan & Loan Forgiveness programs for the bank.
- Participated with the Joplin Area Chamber of Commerce for the Joplin Recovery Projects CDBG grant funding for the purchase and renovation of the Advanced Training & Technology Center (ATTC) as the bank lender working with the City of Joplin and contractors managing these projects.

Name	**Patricia (Patty) Heagel**
Position	Strategic Advisor
Degree/Education	• BA, Briar Cliff University, Major in Sociology with emphasis in Community Organization
Location	Joplin, MO
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	40 Years

Summary of Qualifications

Patty is a seasoned and well-respected professional with over 40 years of varied experiences in community and economic development in local governments. Patty has extensive experience planning, managing, executing, and monitoring efforts in promoting overall community vitality. As part of those efforts, Patty has worked with HUD Community Block Grant (CDBG) funding including disaster recovery, HUD HOME and Emergency Shelter funding, federal and state housing initiatives, neighborhood revitalization, and citizen empowerment. Most recently, Patty has assisted in prioritizing the use of COVID-19 federal funding and EDA programs. Patty's role

in local government leadership includes overseeing Housing Assistance Programs, Code Enforcement, Neighborhood Services, Commercial and Industrial Development projects, Historic Preservation, Downtown Revitalization, Broadband initiatives and physical infrastructure planning and implementation. Patty has received a Certified Economic Developer (CEcD) designation through the International Economic Development Council (IEDC). She received certification as an Economic Development Finance Professional (EDFP) through the National Development Council.

Relevant Experience

- For Neighborhood Redevelopment efforts in Sioux City, Iowa, Patty assisted with establishing five neighborhood improvement areas that required empowerment by the citizenry in defining needs. Using HUD CDBG guidelines, wholistic plans were defined and executed for infrastructure improvements, open space park development, underground utility placement, tree planting, demolition of deteriorated structures and integrated rehabilitation of housing units needing of upgrading to code and safety standards.
- In order to accomplish the goals in Neighborhood Redevelopment efforts, Patty solicited the help from urban renewal and community development staff, the City's finance staff, code enforcement, public works, parks and recreation and general City administration as well ensuring that the City entities were complying with federal requirements. Community efforts were recognized by the State if Iowa.
- For further emphasis on the growth and vitality of the Sioux City region encouraging job growth was facilitated with the State of Iowa to ensure job opportunities for disadvantaged citizens. Patty facilitated job growth that met the State of Iowa's minimum wage requirements and the development of shovel-ready sites for the community's industrial growth. Much of the accomplishments occurred after Patty was appointed as the first director of the City of Sioux City's Economic Development Department. As part of the efforts, Patty encouraged participation in EPA's Brownfield Assessment Program which assisted with redefining areas for new industrial and commercial growth. This led to the community receiving a Phoenix Award from the EPA.
- For Joplin, MO, Patty followed the devasting EF-5 tornado that tore the City apart. While witnessing the first-hand gutting of the community, Patty also followed the immediate aftermath. Through a church affiliation Patty assessed physical and human damage to the City. While Patty followed aftermath responses, she targeted HUD's two-tier Disaster Recovery funding sources through CDBG in the amount of $160 million and offered her assistance.
- From her previous experience with HUD CDBG and other programming, she assisted in recovery with other City of Joplin staff and vetted consultants. The projects and funding approved by City Council and uplifted by HUD resulted in projects that covered new housing program opportunities, new early childhood development opportunities, infrastructure rehabilitation and redevelopment opportunities, workforce training, shovel-ready industrial sites, neighborhood open space, and improvement of downtown and other corridors affected by the disaster to encourage redevelopment.
- For one of the most successful incentives in Joplin, Patty assisted with the development of the Joplin Housing Assistance Program (JHAP) which incentivized the re-establishment of housing in the disaster's core which, in turn, promoted former residents, first-time homebuyers and others to invest in the area. This resulted in nearly 600 homes being rebuilt in the disaster area.
- The total list of successfully executed projects is exhaustive and represents creative solutions, stakeholder buy-in, and grant compliance. HUD's Kansas City Regional Office

recognized the City's exemplary and best practices on numerous occasions. At the request of HUD, many of our efforts and program developments were shared with other entities throughout the country, including the JHAP Program.

Name	John Joines
Position	Community Housing Development Liaison
Degree/Education	• Bachelor of Science in Business Administration/Marketing Management • Numerous Continuing Education Courses
Location	Joplin, MO
Tentative Onsite Presence	Onsite Presence as Required
Years of Experience	40 Years

Summary of Qualifications

Retired from full-time employment effective March 31, 2023, John is currently assisting in special projects for Economic Security Corporation of Southwest Area (ESC), working with area not-for-profits and for-profits organizations, housing authorities, and units of local and state governments. John had the privilege of spending the past 25 years of my employment as ESC's Chief Executive Officer where he was responsible for the overall management and growth of the agency. Prior to this, John spent nearly 25 years with Tri-State Motor Transit Co. Inc. (TSMT) of Joplin, Missouri where he served as vice President of Sales and Marketing, and General Manager. In 2005, John was one of three Missouri citizens to have had the Official Manual, State of Missouri dedicated in their honor.

- Grew ESC from $6 million in funding to over $25 million per year, providing assistance for hundreds of thousands of southwest Missouri individuals and families.
- Increased the Agency's workforce to nearly 400 employees in Barton, Jasper, Newton and McDonald counties in southwest Missouri, while administering over 40+ different programs to assist low-income wage earners to achieve greater financial independence.
- Developed over 200 housing units of single family, multi-family and apartment complexes; partnered with legislators and other funding sources to provide home improvements within numerous communities across southwest Missouri.
- Traveled across the U.S. providing trainings to not-for profits dealing with natural disasters and that I have assisted with their recovery planning efforts
- Serve on numerous Foundations, Committees, and Boards including the Missouri Governor's Blue Ribbon Committees.
- Located, purchased, and financed the properties for the seven families that received homes in conjunction with the Extreme Makeover episode.
- Served multiple terms as Carthage City Councilman and Mayor Pro-Tem.

This proposal contains information that shall not be disclosed outside of City of Joplin and shall not be duplicated, used, or disclosed in-whole or in-part for any purpose other than to evaluate this proposal. The information subject to this restriction is contained in all pages/sheets herein. This proposal does not constitute a contract to perform services. Any engagement arising out of this proposal will be subject to the execution of a formal engagement contract, including our standard terms and conditions and fees and billing rates established therein.

City of Joplin

Community Revitalization Program

Revised Proposal

Alvarez & Marsal Infrastructure & Capital Projects, LLC

January 4, 2024

January 4, 2024

City of Joplin
602 South Main Street
Joplin, MO 64801

Dear Mr. Bolander,

On behalf of Alvarez & Marsal (A&M), we extend our deepest appreciation in selecting us as your trusted partner to deliver the Community Revitalization Program. We are excited about the opportunity to continue to advance the City's socio-economic goals and support the community through the three projects designed to improve Joplin's neighborhoods.

As your current provider for the City's broadband planning project, as well as prior experience developing and implementing the City's CDBG-DR program, our A&M Team looks forward to providing what no other professional services organization can – the significant institutional knowledge that comes from serving you on a daily basis, backed by the resources of an organization with the relevant qualifications and requisite local experience to exceed your expectations.

We appreciate the opportunity to present to the City of Joplin our revised proposal for management and oversight of the Community Revitalization Program. We believe these refinements will not only address the City's needs more effectively but will also underscore our dedication to delivering excellence. Enclosed, please find the updated Community Revitalization Program proposal, which outlines the proposed contract structure and workplan, refined scope of work, and revised fee estimate.

We appreciate your ongoing consideration of A&M and welcome the opportunity to discuss any aspects of the revised proposal further.

Sincerely,



Rob Reid, Managing Director
Alvarez & Marsal Infrastructure & Capital Projects, LLC
rreid@alvarezandmarsal.com

Introduction

A&M is pleased to provide the City of Joplin with our refined proposal to administer and oversee the Community Revitalization Program. As outlined in our original proposal to the City of Joplin dated October 20th, 2023, we have provided an updated proposal based on the exploratory conversations held during December 2023 which helped to further clarify the City's expectations, work completed to date, and specific roles & responsibilities among the parties involved in the program. These conversations involved members of the City to gain greater insight of the expected roles and responsibilities involved in the Community Revitalization Program, and with identified Community Housing Development Organizations ("CHDOs") and other housing non-profit agencies to understand their potential interest and capacity to support certain parts of the program. These meetings have supported the refinement of our proposal to enable A&M to most effectively meet the expectations of the City.

In the pages that follow, we present A&M's proposed contract structure as well as our refined workplan, scope, and pricing for the Community Revitalization Program.

Proposed Contract Structure & Workplan

A&M will be pleased to proceed with the City's preferred Work Authorization structure. For the City's consideration, we propose the use of a Master Services Agreement with a single work authorization, encompassing our involvement across three key components of the Community Revitalization Program: 1) Program Design, 2) Administration of the Down Payment Assistance Project ("JHAP"), and 3) Oversight of the Home Rehabilitation and Repairs ("JHRP") and Demolition for Residential Home Construction ("Demolition" or "Demo") projects. We understand that time is of the essence; as such, this structure will enable us to rapidly conduct program design efforts and launch projects at the correct time and with no delay due to contracting.

A&M proposes the following workplan to conduct this effort which is based on our current understanding of the program. Our workplan is focused on 1) rapidly deploying our team to undertake program design, 2) providing an experienced, dedicated team with strategic on-site presence for the administration of the JHAP project, and 3) overseeing compliance and reporting on progress for the CHDOs, housing non-profit agencies, and other select city partners involved in the administration of the JHRP and Demo projects.

Our proposed workplan commences in January 2024, starting with the kickoff of the program design. We have allowed a total of seven (7) weeks to complete the program design for the Community Revitalization Program, with the acknowledgement of the City's desire to commence administration of the JHAP program as soon as practicable. Considering this, we aim to complete the JHAP program design to enable a "soft start" initiation of application intake from the existing waitlist by the conclusion of week four (4) from the commencement of the program design. We will also work to reasonably expedite program design activities for JHRP and Demo in tandem with JHAP program design and will focus on supporting the CHDOs and other housing non-profits in launching those programs as rapidly as possible.

We are committed to providing targeted technical assistance to the CHDOs and other housing non-profit agencies who will have an active role in administering the JHRP project and potentially an indirect role in the Demo project. Those activities may occur outside of the 7-week period for program design. As discussed with the City, we intend to interact primarily with ESC, as we understand that ESC will be the "lead" organization responsible for administering the JHRP program and coordinating efforts of other housing non-profits.

Following the completion of program design, implementation of the respective programs will commence as soon as practicable. We have allowed nine months for the administration of JHAP, with the continued oversight provided for JHRP and Demo projects until September 2026. Our anticipated level of effort and resourcing for the administration of JHAP has been split into two

phases: the first nine months with a higher level of resourcing focused on daily operations, followed by three months at lower resourcing levels for file and project level close out. It is important to note that the workplan presented in A&M's original proposal showed 6 months of program operations and 6 months of closeout at a lower resourcing level. This proposal considers 9 months of program operations followed by 3 months of closeout to allow for additional time in reviewing/processing applications, making eligibility determinations, and disbursing funds.

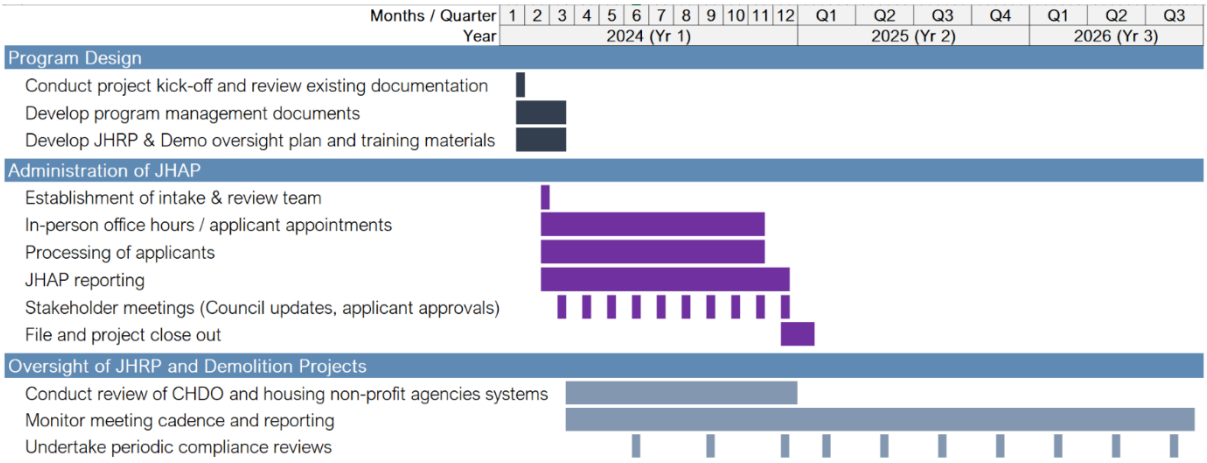


Figure 1: Proposed Workplan

Program Design

We appreciate the importance of "hitting the ground running" and are ready to mobilize a team to conduct program design activities starting in January 2024. We have allowed **seven weeks** to complete program design for the Community Revitalization Program, with our aim to complete the JHAP program design to enable a "soft start" of applicant intake from the existing waitlist by the conclusion of **week four (4)** from the commencement of the program design. We propose the following activities during Program Design:

- Identification of applicable eligibility and documentation requirements to facilitate compliance with federal and state requirements.
- Documentation of the key policies and procedures that will govern how the program will operate, addressing areas such as eligibility, documentation, dispute resolution procedures, and other critical program management topics.
- Development of a standardized reporting template to collect and present data related to program progress, financials, and outcomes.
- Establishment of the pre-application checklist for potential JHAP and JHRP applicants to review before submitting applications (to provide visibility on initial eligibility criteria and documentation requirements before submitting applications).
- Development or revision of the application and verification forms (if determined to be applicable) to be completed when applying for assistance under the JHAP and JHRP projects.
- Development or revision of the Eligibility, Duplication of Benefits (DoB), Loan Review, and Award Determination Forms as applicable.
- Development of the folder structure for storing and managing program documents.
- Establishment of record retention policies and procedures, ongoing document management.
- Scheduling and chairing of weekly coordination meetings with the City to provide updates on progress, risks, issues, and opportunities.
- Development of a webinar for each of the three projects designed to inform potential beneficiaries and stakeholders of the City's Community Revitalization Program.

- Support to develop a program announcement press release in conjunction with developing the webinar for relevant stakeholders.
- *Note: we understand that City of Joplin has completed community and stakeholder outreach activities. As such, we have limited our involvement in community and stakeholder involvement to the development and provision of an educational webinar and press release.*

Additionally, for the JHRP & Demo projects, we will execute the following additional activities as part of the program design phase:

- Identification and provision of targeted technical assistance for various stakeholders as necessary, including administrative staff, operational staff, and City Staff (to be conducted during Program Design or administration/oversight).
- Establishment of an oversight plan to support the smooth and efficient operation of the projects, consisting of a risk assessment to proactively identify potential challenges and risks that might impact the project's success, development of a monitoring plan based on the risk assessment, and the creation of a matrix to define the roles and responsibilities of the project team members. This matrix will include roles for administrative staff, operational staff, City Staff, CHDOs and housing non-profit agencies, and Contractors.
- For JRHP, we will create a regular meeting schedule to ensure that the CHDOs, housing non-profit agencies, and other stakeholders are kept informed and engaged throughout the Project's lifecycle. This schedule will also include reporting requirements to maintain transparency and accountability.

Administration of JHAP

We have allowed nine (9) months from the commencement of the "soft start" of JHAP applicant intake to complete the administration of the JHAP project with a strategic on-site presence from our team, with a further three (3) months for project and file close out activities. It is important to note that the workplan presented in A&M's original proposal showed 6 months of program operations and 6 months of closeout at a lower resourcing level. This proposal considers 9 months of program operations to allow for additional time in reviewing applications and making eligibility determinations during the operational period, followed by 3 months of closeout. Our proposed activities for the administration of JHAP include:

- Establishment and management of the intake and application review process using the supporting guidelines, artifacts, templates, checklists, and other enabling tools developed during the program design phase.
- Communication with applicants (or designee) to support application preparation, application, submission, document submission, or other items related to submission of a JHAP application.
- Coordination and administration of in-person office hours and applicant appointments (based on a schedule determined in the Program Design phase) for JHAP applicants.
- Coordination of a regular meeting to discuss progress, key performance indicators/metrics, and exception-based application issues with the City.
- Review of JHAP applications (if determined to be by individual basis during the Program Design Phase) for eligibility. For income eligibility, we have allowed for the review of tax returns / W2s and the self-certification of current year's annualized household income. No background checks, independent income verification, or asset verification has been allowed for based on conversations with the City.

- Conduct a check for receipt of required closing documentation and checklist confirming lender's compliance with loan terms that the City has established (designed to prevent predatory lending practices).
- Completion of the closeout checklist and applicant file closure for archive. We will conduct closeout reviews of all applicant files to confirm completeness.
- Development of a wind down strategy with the City once funding has been allocated to an agreed amount (as established in program design).
- Provide ad-hoc support to the City to respond to State or Federal audits of the JHAP project.
- Development of reports in accordance with ARPA requirements as determined during the program design phase.
- Maintenance of an internal reporting dashboard to track application status, KPIs, risks, etc. (to be determined during Program Design phase).

Oversight of JHRP & Demo Projects

In our oversight role, we will undertake the following activities over a 31-month period (from March 2024 to September 2026). Our activities for the oversight of JHRP and Demo include:

- Participation in regular meetings with the CHDOs and other housing non-profit agencies to provide information, review program risks, and provide technical assistance. In developing our fee estimate, we have assumed more frequent meetings and coordination (weekly or bi-weekly) during the first 6-12 months of the program, reducing to monthly or quarterly as operations normalize. As instructed by the City, A&M anticipates that our primary interaction in oversight activities for the JHRP project will be with ESC, as ESC will be responsible for coordinating the efforts of CHDOs and other housing non-profit agencies.
- Establishment of a reporting schedule/template and ongoing review/monitoring of reports. The reporting template will be developed during the Program Design phase and reports will be provided to A&M and the City at an interval to be determined. A&M will review reports to determine risks, progress, and opportunities to accelerate or improve the impact of programs and report on progress to the City.
- Review of CHDOs and other housing non-profit agencies systems to track applicants, select contractors, control project budgets, manage compliance requirements, and report on progress. After the review of the systems, as needed, we will conduct targeted technical assistance to support the CHDOs and other housing non-profit agencies (primarily ESC) in establishing appropriate controls.
- Quarterly compliance reviews to facilitate transparency and accountability for SLFRF awarded funds and use of funds.

Our Revised Cost Proposal

In this section, we present a comprehensive overview of our revised cost proposal for your consideration. Our cost proposal reflects our commitment to transparency and accuracy in outlining the financial aspects associated with the design, administration, and oversight of the Community Revitalization Program.

We propose the use of a Master Services Agreement with a fee cap of **$732,388.** As requested by the City, we propose an additional **$67,200** for travel expenses over the approximately 3 year period **for a total of $799,588**. As discussed with the City of Joplin, we anticipate that the allocation of fees and travel expenses may be adjusted throughout the period of performance, as long as such adjustments fall within the specified total indicated in the Master Services Agreement and are agreed by A&M and the City. We provide a breakdown of the estimated hours and fee proposed for each of the phases below.

Phase	Hours	Fee
Program Design	546	$118,528
Administration of JHAP	2,508	$483,840
Oversight of JHRP & Demo Projects	660	$130,020
Total	3,714	$732,388

Table 2: Our cost proposition by phase, hours, and fee (not inclusive of travel expenses)

Cost Proposal: Program Design

We have allowed 546 hours at a cost of $118,528 for the Program Design phase during the seven-week period. Our initial proposal was crafted under certain assumptions which have been further explored as part of the meetings held in December 2023 with the City and CHDOs/other housing non-profit agencies. These discussions have provided us with greater insight into the City's goals for this engagement and have enabled us to provide a refined fee estimate. A key assumption made in our original proposal was on our ability to leverage existing policies, procedures, and templates. While we remain committed to doing so, and these existing artifacts support the foundation of the program design documentation, we anticipate our effort will extend beyond a review and refreshment of some of the necessary templates. Our updated proposal fee considers the following:

- **Increased level of effort:** Recognizing the need for strategic design of the Community Revitalization Program and the current state of program design efforts/outputs, our revised proposal includes additional hours for senior resources, primarily to consider interactions between the projects, eligibility and documentation requirements, and opportunities to streamline the program in accordance with regulations.
- **Additional CHDO and other housing non-profit agencies coordination for JHRP:** We understand that engagement with CHDOs, with the exception of the discovery meeting held with the A&M team, has not commenced. We anticipate that there will need to be in-depth discussions and planning to determine eligibility, documentation, coordination, and process requirements in collaboration with CHDOs and other housing non-profit agencies to align the JHRP project with their capacity, capability, and experience.
- **Additional City coordination for Demo:** Similarly, we have allowed for the creation and/or revision of program forms, templates, procedures, and policies in alignment with funding requirements. We anticipate that the design of the Demo project will require "scaling up" from its current operational structure to meet the goal of 200 homes demolished during the period of performance.
- **CHDO and other housing non-profit agencies coordination:** Finally, given the limited amount of interaction between the City, CHDOs and other housing non-profit agencies to-date, we have included additional time to support the coordination of CHDOs and

other housing non-profit agencies to help ensure the successful and compliant delivery of the JHRP and Demo projects.

Cost Proposal: Administration of JHAP

We have allowed 2,508 hours at a cost of $483,840 for the Administration of JHAP during the nine-month period. Our initial proposal was crafted under certain assumptions which have been further explored as part of the meetings held in December 2023 with the City. Some of the assumptions made in our original proposal included a shorter timeframe for operation of the program, notably six months for the administration of JHAP instead of the nine currently proposed. Our updated proposal fee considers the following:

- Extended timeline: We have extended the period of performance for the JHAP administration to nine months, an increase of three months from the initial proposal. This extension has been made considering the unknown current waitlist of potential applicants, thereby allowing for a 'ramp up' in applicant identification and demand generation following program design. Compared to our original proposal, we have allowed for an additional three months of program operation to ensure sufficient time to generate demand, review applications, and provide financial assistance. We have shortened the closeout period originally proposed from 6 months to 3 months, maintaining the original 12 month total schedule but placing additional emphasis on the program operation timeline.

Cost Proposal: Oversight of JHRP and Demo Projects

We have allowed 660 hours at a cost of $130,020 for the Oversight of JHRP and Demo Projects during the 31-month period. Our initial proposal was crafted under certain assumptions which have been further explored as part of the meetings held in December 2023 with the City. Our updated proposal fee considers the following:

- Increased level of oversight and technical assistance: Based on meetings conducted with the City's potential CHDOs and other housing non-profit agencies in December 2023, we estimate that the City's partners will require an increased level of oversight, technical assistance, and support throughout the administration of the JHRP program to maintain compliance with federal/state regulations and the City's goals for the program. We anticipate that A&M will primarily interact and conduct oversight activities with ESC as the lead agency for JHRP, and ESC will be responsible for coordinating activities with other housing non-profit agencies.

Exclusions and Assumptions:

A&M made the following exclusions and assumptions to inform the development of our pricing and approach:

- To meet the City's specific needs and requirements upon commencement of the work, we anticipate the opportunity to add/remove positions and reallocate hours between levels during the contract base period.
- This proposal does not allow for the performance of environmental reviews. Based on the information collected during the December 2023 meetings, it is our understanding that environmental reviews will be conducted by other parties.
    - A&M proposes to support the environmental review process by developing compliance checklists / requirements (according to funding source) during the Program Design phase and coordinating with the City, CHDOs and other housing non-profit agencies to determine the necessity and extent of environmental review activities for each program. Additionally, we propose to provide ad-hoc technical assistance as the City or partner agencies perform environmental review activities.
    - In light of the unknown quantity and extent of the environmental reviews for the Community Revitalization Program, we propose to support the environmental reviews on a separate time and materials basis if the City requests this support. Fees for the performance of environmental reviews have not been included in this proposal.
- We have assumed that inspection form templates for conducting property condition assessments and determining necessary repairs or renovations will be developed in collaboration with the CHDOs, other housing non-profit agencies, and City as part of the Program Design phase.
- We have allowed for the intake of applicants for JHAP via hard copy / paper format based on the limited number of anticipated applications and associated administrative activities.
- We have assumed that A&M will conduct the activities listed 'Administration of JHAP' to make a determination/recommendation to the City on the eligibility and completeness of an application. The City will be responsible for making a final determination prior to providing funding to an applicant.
- We have assumed that the City will arrange for financial assistance to be conveyed to the successful applicant, such as the preparation and delivery of a check.
- For the pricing of this work, we have assumed a contract base period from January 2024 to September 2026.
- Our team has allowed for the program design over a seven-week period, with further coordination held outside of the 7-week period for program design. Within this 7-week period and recognizing the City's priorities, we aim to prioritize JHAP program design and conduct a "soft launch" within 4 weeks.
- Our team is committed to maintaining a strong and active local presence within the community. We have allowed for designated office hours and applicant meetings by appointment to provide in-person support and assistance during the JHAP application process.
- Our revised cost proposal has been based upon the assumption of the project fund allocations, which are $3M for JHAP, $2M for JHRP and $2M for Demo projects.
- We understand that the City has undertaken significant community outreach to beneficiaries and stakeholders to inform them of the City's Community Revitalization Program. As such, we have not allowed for the development of a community engagement plan, creation of marketing materials to advocate and promote each project in alignment with the community engagement plan, or execution of community engagement efforts for

the Community Revitalization Program. Please see proposed program design scope for anticipated program roll out activities.

- We assume that the allocation of fees and travel expenses may be adjusted throughout the period of performance, as long as such adjustments fall within the specified total fee cap indicated in the Master Services Agreement and are agreed by the City of Joplin and A&M.

This proposal contains information that shall not be disclosed outside of City of Joplin and shall not be duplicated, used, or disclosed in-whole or in-part for any purpose other than to evaluate this proposal. The information subject to this restriction is contained in all pages/sheets herein. This proposal does not constitute a contract to perform services. Any engagement arising out of this proposal will be subject to the execution of a formal engagement contract, including our standard terms and conditions and fees and billing rates established therein.

CITY		CONSULTANT	
City of Joplin 602 S. Main Street Joplin, MO 64801		Name: Alvarez & Marsal Infrastructure & Capital Projects LLC Address: 655 15th Street, NW Suite 600, Washington, D.C. 20005	
Attention: Troy Bolander, Director of Planning, Development and Neighborhood Services		Attention: Rob Reid, Managing Director	
Department: Planning | Development and Neighborhood Services		Phone: 770-490-9931	Email: rreid@alvarezandmarsal.com
Phone: 417-624-0820 Ext. 1510	Email: tbolande@joplinmo.org		

AMENDMENT #3
TO AGREEMENT FOR PROFESSIONAL PROJECT ADVISORY SUPPORT SERVICES

This amendment dated October 08, 2024 incorporates the terms and conditions of the AGREEMENT FOR CONSULTING SERVICES between Alvarez & Marsal Infrastructure & Capital Projects, LLC ("A&M" or "Consultant") and CITY OF JOPLIN (referred to as "City" or the "Client"), dated March 24, 2024 (the "Agreement"), and applies to the performance of consulting services described in Exhibit A (the "Services"). Capitalized terms used but not defined herein shall have the meanings ascribed to such terms in the Agreement. In all other respects, the Agreement remains in full force and effect.

Change Order Title and/or Number: CO#3 – Fee Variation	**Date of Request:** 9/16/2024
Name of Person and Party Requesting Change: Troy Bolander, Director of Planning, Development and Neighborhood Services	

Overview of Amendment

Amendment #3 to AGREEMENT FOR PROFESSIONAL PROJECT ADVISORY SUPPORT SERVICES is to amend the Agreement as follows:

In connection with that certain agreement dated as of March 24, 2024 by and between Alvarez and Marsal Infrastructure and Capital Projects, LLC and the City of Joplin, a Municipal Corporation of the State of Missouri (as hereby amended, the "Agreement") the parties agree to amend the Agreement as set forth in this amendment (the "Amendment").

1. Exhibit B shall be amended to include the proposals dated October 20, 2023, and January 4, 2024. These proposals are attached hereto, incorporated herein, and collectively referred to as Exhibit B.

2. Section 3 of the Agreement for Consulting Services is hereby amended from:

   "Payment: The City agrees to pay the Consultant in accordance with the prices and terms set forth in Exhibit B for work authorized by City purchase order or other written Notice by the City upon presentation of proper invoice and inspection by the City of work completed by the Consultant."

   and restated in its entirety to read as follows:

   "Payment: The City agrees to pay the Consultant in accordance with the prices and terms set forth in Exhibit B, for work authorized by City purchase order or other written Notice by the City upon presentation of proper invoice and inspection by the City of work completed by the Consultant. However, in no event shall the total payment for the scope of work exceed $799,588.00."

IN WITNESS WHEREOF, the parties hereto have set their hands and seals on the day and year herein stated.

REVIEWED FOR APPROVAL

APPROVED AS TO FORM

_____
Peter Edwards, City Attorney

AGREED AND ACCEPTED:

CITY OF JOPLIN

By: _____
Printed Name: Troy Bolander
Title: Director of Planning Development and Neighborhood Services
Date:

ALVAREZ & MARSAL INFRASTRUCTURE & CAPITAL PROJECTS LLC

By: _____

Printed Name: Robert Reid
Title: Managing Director
Date: 09/16/2024

COUNCIL BILL NO. 2024-286 ORDINANCE NO.

AN ORDINANCE approving Contract Amendment #3 by and between the City of Joplin and Alvarez & Marsal (A&M) to provide additional Professional Administrative Services and Technical Assistance for the American Rescue Plan Act (ARPA) Community Revitalization Program; authorizing the City Manager to execute said contract by and on behalf of the City of Joplin; amending the Annual Budget of the City of Joplin for the Fiscal Year 2023-2024 as adopted by Ordinance 2023-158 on October 16, 2023; and, setting a date when this Ordinance shall become effective.

WHEREAS, on March 11, 2021, the Department of Treasury established the State and Local Fiscal Recovery Fund (SLFRF) to build upon and expand the financial support provided to state and local governments as they navigate the long-term economic consequences of the COVID-19 public health emergency.

WHEREAS, the City of Joplin was awarded $3,500,000 (Three Million Five Hundred Thousand) with a matching fund requirement by the Missouri Department of Economic Development's ARPA Community Revitalization Grant Program.

WHEREAS, the City of Joplin's Community Revitalization Program is comprised of three housing programs to advance the revitalization of neighborhoods by providing individuals an opportunity to secure homeowner status by contributing to down payment and closing costs, providing funding homeowners for exterior home repairs, and funding the demolition of dangerous and vacant structures.

WHEREAS, the City of Joplin entered into a contract with Alvarez and Marsal on March 23, 2024.

WHEREAS, the level of onsite operations was increased to meet program demand and expedited timeline.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY OF JOPLIN, MISSOURI, AS FOLLOWS:

Section 1. That amendment #3 to the contract between the City of Joplin and Alvarez & Marsal in the amount of $265,978.00 (Two Hundred Sixty-Five Thousand Nine Hundred Seventy-Eight Dollars and No Cents) to continue administering the Community Revitalization Program is approved.

Section 2. That the City Manager, or his designee, is hereby authorized and directed, upon recommendation and approval of the City Council, to execute said contract, or contract in substantially similar form, by and on behalf of the City of Joplin.

Section 3. That fiscal year 2023-2024 budgeted appropriations as adopted by Ordinance 2023-158 be amended by increasing appropriations by the total amount of Two Hundred Sixty-Five Thousand Nine Hundred Seventy-Eight Dollars and No Cents ($265,978.00).

Section 4. That the Director of Finance is hereby directed to make all necessary entries on the City records to show the increase in appropriations.

Section 5. That this Council Bill shall have an effective date of October 8, 2024.

PASSED BY THE COUNCIL OF THE CITY OF JOPLIN, MISSOURI, this _____

day of_____, 2024, by a vote of_____.

_____

Keenan T. Cortez, Sr. Mayor

ATTEST:

_____

Holly Nagy, City Clerk

APPROVED AS TO FORM:

_____

Peter C. Edwards, City Attorney