

Chris Christie, Governor
Kim Guadagno, Lieutenant Governor
Richard T. Hammer, Commissioner
Steven H. Santoro, Executive Director

NJ TRANSIT
One Penn Plaza East
Newark, NJ 07105-2246
973-491-7000

December 4, 2017

Mr. Frank Banda
Cohn Reznick LLP
7501 Wisconsin Avenue, Suite 400E
Bethesda, Maryland 20814-6583

Mr. David Cace
Eisner Amper LLP
111 Wood Avenue South, Suite 600
Iselin, New Jersey 08830

Mr. Shawn Dahl
RSM US LLP
1185 Avenue of the Americas,
New York, New York 10036

Mr. Joseph Deluca
Thacher Associates, LLC
330 West 42nd Street, 23rd Floor
New York, New York 10036

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for the
Hoboken Yard Signal Power Repair and the
Hoboken Boiler and Terminal Repair (Hoboken Projects).**

Subject: Work Authorization Request

Dear Integrity Oversight Monitoring Firms:

In accordance with the procedures outlined in the above referenced contract, a scope of work is attached for the development of a technical and cost proposal for the subject assignment.

Firms are reminded that there is a 10% DBE participation goal attached to work authorized under the subject Contract. Technical and Cost Proposals shall specifically detail proposed DBE participation under the Assignment.

Questions or requests for clarification regarding the Work Authorization Request are to be submitted in writing no later than 4:00 p.m. on Monday, December 11, 2017 and are to be submitted to the attention of the undersigned at tchapman@njtransit.com. Questions are to be submitted in a non-scanned Word format.

One (1) original and seven (7) copies of your technical proposal and one (1) original and three (3) copies of your cost proposal are to be submitted no later than **2:00 p.m. on Thursday, December 21, 2017** and addressed as follows:

Ms. Taishida S. Chapman
Principal Contract Specialist
NJ TRANSIT
Procurement Department
One Penn Plaza East, 6th Floor

Newark, New Jersey 07105
Re: 14-033 –IOM Services for the Hoboken Projects

Integrity Oversight Monitoring (IOM) Firms are also requested to submit an electronic copy of the technical & cost proposal no later than 4:00 p.m. on Thursday, December 21, 2017 to Ms. Taishida Chapman at tchapman@njtransit.com.

NJ TRANSIT will enter into negotiations with the top ranked proposer to reach an agreement on the scope of services and the fair and reasonable compensation to be paid by NJ TRANSIT. If in the opinion of NJ TRANSIT a satisfactory agreement cannot be negotiated with the top ranked proposer, NJ TRANSIT will end negotiations and initiate negotiations with the second most qualified firm. NJ TRANSIT considers all aspects of a consultant's proposal negotiable.

If the IOM is unable to submit a proposal because of a conflict of interest or scheduling, the IOM must provide notice to NJ TRANSIT within three (3) calendar days of the receipt of the Work Authorization Request.

This letter should not be interpreted as an award of a contract or as a commitment to reimburse for any costs incurred in the preparation of a proposal.

We look forward to receiving and reviewing your proposal.

Sincerely,

Taishida S. Chapman
Principal Contract Specialist
Procurement Department

Attachments

cc: P. Kelly
C. Baker
D. Blazina
L. Codrington
E. Daleo
W. Hersh
A. Marvi
R. Koval (NJ Dept. of Treasury)
D. Ridolfino (NJ Dept. of Treasury)

**NEW JERSEY TRANSIT
CHANGE ORDER FORM**

**NEW JERSEY TRANSIT CORPORATION
HEADQUARTERS**

Work Authorization No: 1 Revision No.: 0 Effective Date: 9-27-19

Contract No: 14-033C Purchase Order No: 190022843

Contractor: RSM US, LLP
333 Thornall Street, 6th Floor
Edison, New Jersey 08837
Attention: Mr. Shawn Dahl

NJ TRANSIT hereby incorporates Work Authorization No. 1 entitled "Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects" into NJ TRANSIT's Contract No. 14-033C as follows:

Section 1: Scope of Work

Work Authorization No. 1 is issued to RSM US, LLP to provide Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects in accordance with NJ TRANSIT Contract No. 14-033C Exhibit A, Project Services, and the attached Scope of Work, Attachment A to this Work Authorization.

Section 2: Cost Information

RSM US, LLP total costs and fees for Work Authorization No. 1 shall be in accordance with the schedule of rates set forth in NJ TRANSIT Contract No. 14-033C Exhibit B, Cost Information, and the Attachment B, Cost Proposal for the Fraud Risk Assessment dated July 26, 2019 to this Work Authorization No. 1. The total cost for Work Authorization No. 1 is an amount not to exceed \$305,638.00.

All invoices billed shall include actual hours and contract rates for personnel working under this Work Authorization.

Section 3: Schedule

The Scope of Work to be performed under Work Authorization No. 1 shall be completed by June 30, 2023.

Section 4: Disadvantaged Business Enterprise Requirements

RSM US, LLP Disadvantaged Business Enterprise Utilization Plan for Work Authorization No. 1 shall be in accordance with the Disadvantaged Business Enterprise Requirements for Race-Conscious Federal Procurement Activities of Contract No. 14-033C. RSM US, LLP has identified a 10% DBE participation for this Work Authorization No. 1 as detailed in Exhibit C attached hereto.

Total Value of Work Authorization No. 1\$305,638.00

**NEW JERSEY TRANSIT
CHANGE ORDER FORM**

**NEW JERSEY TRANSIT CORPORATION
HEADQUARTERS**

Work Authorization No: 1 Revision No.: 0 Effective Date: 9-27-19

Contract No: 14-033C Purchase Order No: 190022843

Contractor: RSM US, LLP
333 Thornall Street, 6th Floor
Edison, New Jersey 08837
Attention: Mr. Shawn Dahl

WORK AUTHORIZATION NO. 1 SUMMARY

Initial Work Authorization Amount:.....\$0.00
Modifications to Date:\$0.00
Value of this Work Authorization Modification:\$305,638.00
Present Total Amount of this Work Authorization:.....\$305,638.00

SUMMARY OF WORK AUTHORIZATIONS ISSUED TO DATE

Work Authorization No. 1 – IOM Services for the Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects	\$ 305,638.00
Total of All Work Authorizations Issued to Date:	\$305,638.00

NJ TRANSIT CONTRACT NO. 14-033C CONTRACT SUMMARY

Original Contract Amount:.....\$0.00
Total of All Work Authorizations Issued to Date:\$0.00
Amount of this Modification:\$305,638.00
Present Total Contract Amount:\$305,638.00

CONTRACTOR



President or Duly Authorized Designee

NJ TRANSIT



Contracting Officer or Duly Authorized Designee

**NJ TRANSIT Contract No. 14-033C
Integrity Oversight Monitoring Services
Work Authorization No. 1**

**Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power
Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects**

Attachment A – Scope of Work

PROJECT DESCRIPTION

The IOM firm selected for this Work Authorization shall provide integrity oversight monitoring services in connection with STV, Inc.'s ("Consultant's") scope of work under Task Order Contract (TOC) 13-006C governing the provision of design consulting services for the federally funded Task Order Assignment (TOA) No. 2 issued to STV, Inc. for the NJ TRANSIT Resilience Program – Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (together, the "Hoboken Projects").

The IOM firm selected for this Work Authorization shall also provide integrity oversight monitoring for the construction contract(s) to be awarded for the NJ TRANSIT Resilience Program – Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair.

1. SANDY Dmg 04RHOB 4 Hoboken Yard-Boiler for Bldg- Repair (NJT00850)
2. SANDY Dmg 04RHOB 4 Hoboken Yard-Signal Power Repair (NJT00851) NJT00762, SANDY Dmg 02RINF 4 ET Hoboken Terminal House Power Repair"

SCOPE OF WORK:

Tasks and services to be performed by the selected IOM firm at minimum include:

Task A – Monitoring Consultant/Vendor Compliance with Applicable Laws and Contract Requirements:

1. Monitoring the Consultant and sub-consultants to ensure its compliance with applicable laws, regulations, codes, programs and contractual requirements.
2. Satisfying applicable FTA Federal Procurement Requirements and FTA Federal Register Notice Requirements for Oversight Monitoring (See Federal Register May 29, 2013 pages 32301- 32302), State of New Jersey Department of Treasury Requirements under N.J.S.A.52:15D-2 and providing necessary investigative services as required by NJT Internal Audit Department.

Task B – Developing and Implementing Integrity Programs

1. Programs and procedures to prevent and deter fraud, corruption, conflicts of interest and illegal activity by entities doing, or seeking to do, business with NJT; procedures shall include methods to remediate or mitigate fraud, waste, corruption and abuse.
2. Assisting with a program for facilitating the reporting of illegal and improper conduct by employees, Consultants, customers, etc., through measures such as education and awareness, posters, leaflets, hotlines, etc.

3. Training (If Applicable) - the IOM firm shall provide fraud, waste and abuse awareness or other training as may be required by NJT.

Task C – Conducting Background Checks, Reviews of Documents and Investigations

1. Background checks of businesses, principals, officials, employees and other individuals by utilizing research of public records, databases, interviews, or other appropriate methods.
2. Review of documents, including disclosure forms, payment requests, Change Orders, invoices, certified payrolls, manifests, etc., submitted by vendors for honesty and accuracy.
3. Investigations and inquiries; including interviews, site visits and surveillances, as well as research into public records and databases, for the prevention and detection of violations, fraudulent and/or illegal acts.

Task D – Reporting

1. Report quarterly to the State Treasurer utilizing prescribed forms as to the two (2) in-scope NJ TRANSIT Resilience Program Hoboken Projects noted in Project Description above under a Work Authorization in a timely manner as to activities performed in accordance with N.J.S.A.52:15D-2.
2. Report integrity monitoring activities and results periodically to NJT as required in the Deliverables section below and as may be requested by NJT.
3. Be in compliance with malfeasance and inefficiency reporting protocols developed by the State Treasurer.
4. Immediately upon making a finding of a likely criminal violation or lesser degree of waste, fraud or abuse, report to New Jersey Attorney General and State Comptroller.

Task E – Preparing and Maintaining a Fraud Risk Assessment.

Provide a fraud risk assessment of the contract activities for the two (2) in-scope NJ TRANSIT Resilience Program Hoboken Projects noted in – Project Description above including, at a minimum:

- a) The identification of potential fraud, waste, abuse and/or potential criminal activity risks/ scenarios/schemes including prioritization and probability and potential impact. The IOM firm shall review all applicable design contract (TOC 13-006C) and applicable construction contract requirements and processes for

susceptibility to fraud, waste, abuse and/or potential criminal activity.

- b) Specific methodology and detailed work programs/audit programs/other procedures that will be employed by the IOM firm to mitigate, minimize and/or identify fraud, waste, abuse and/or potential criminal activity for each risk/scenario/scheme identified for NJ TRANSIT.
- c) A detailed plan for key fraud, waste, abuse and/or potential criminal activity risks. This plan must include but not be limited to:
 - i. Prioritized fraud, waste, abuse and/or potential criminal activity risk/scenario/schemes identified in the fraud risk assessment.
 - ii. Detailed strategy for the life of the project for how each risk will be addressed.
 - iii. Deliverables for each risk.
 - iv. Level of effort (hours) needed for each risk by personnel category.
 - v. Other relevant data.
- d) Specific deliverables for each work program/audit program/other procedures.

Task F – Project-wide Activities

Provide any activity that pertains to the overall conduct of IOM project initiative and may include:

1. Provide periodic project status updates to the NJT Internal Audit Department ("IAD").
2. Attend required safety and other training as needed.
3. Preparing invoices and supporting documentation.
4. Any other project-wide activity that is directed by IAD.

Additional activities to be conducted by the IOM firm, may include, but not be limited to the following in coordination with NJT Internal Audit Department:

1. Assessing the scope of work provided under the applicable Hoboken projects as noted in Project Description with respect to efficiency and effectiveness.
2. Reviewing information and activities in relation to the applicable Hoboken Projects noted in the Project Description above.
3. Attending program area status meetings, risk meetings, and other meetings as needed, in consultation with NJT Internal Audit Department.
4. Auditing to ensure procurement compliance.

5. Taking actions to detect, investigate, prevent and remediate, waste, fraud and abuse.
6. Other activities that may be defined or required by NJT Internal Audit Department.

DELIVERABLES:

All deliverables must be in sufficient detail to allow:

1. NJT to verify and evaluate the conclusions, recommendations, plans, documentation, etc. provided.
2. NJT to assess, in its sole judgment, the quality and acceptance of deliverables provided.
3. The IOM firm, NJT or a third party to execute the detailed monitoring work plan.

The IOM firm must ensure compliance with the following:

A. Work Authorization Deliverables

At a minimum, the following deliverables will be provided to the NJT Internal Audit Project Manager based on the approved detailed monitoring work plan. All detailed monitoring work plans **MUST** be in the format provided by NJT. Deliverables to support work will include but not be limited to the following:

1. Fraud Risk Mitigation Strategy and Detailed Monitoring Work Plan
2. Workpapers, reports and other required documentation in the format and content required by NJT to support all work.
3. Presenting reports, findings and other results of audits, reviews, investigations and other assigned tasks, and incorporating comments provided by NJT as appropriate and resubmitting the reports as final.
4. Audits as required under the Work Authorization.
5. Other deliverables that may be defined or required.

B. Required Reports and Documents

1. Findings of potential fraud, malfeasance, or criminal activity
Upon a finding of a likely criminal violation or lesser degree of any malfeasance, inefficiency, waste, fraud, abuse or mismanagement of funds, report findings to the Office of the State Comptroller and the Attorney General/OSC Taskforce with a copy to NJT Auditor General **immediately** consistent with the requirements of N.J.S.A.52:15D-2.

2. Weekly Status Updates

A weekly status update will be required each Monday by noon following the prior week's work in the NJT prescribed format (to be provided upon engagement). The weekly status updates will be based on a template provided by NJT Internal Audit which includes the following:

1. Total hours per Detailed Monitoring Work Plan
2. Hours by Risk Category per Detailed Monitoring Work Plan
3. Workpapers Provided to-date by Risk Category, Potential Fraud Risk
4. Items That Require Clarification
5. Weekly Accomplishments/Deliverables Provided
6. Risk Category/Potential Fraud Risk/Monitoring Procedures in-Progress
7. Risk Categories/Potential Fraud Risk/Monitoring Procedures Planned in the Next Two Weeks
8. Document/Information Requests

3. Quarterly Report

On the first business day of each calendar quarter, the IOM firm shall provide to the State Treasurer, for distribution to the Legislature and the Governor, a report detailing the IOM firm's provision of services during the three-month period second preceding the due date of the report and any previously unreported provision of services, which shall include, but not be limited to, detailed findings concerning the IOM firm's provision of services and recommendations for corrective or remedial action relative to findings of malfeasance and inefficiency. The report shall not include any information which may compromise a potential criminal investigation or prosecution or any proprietary information. The report shall include a privilege log which shall detail each denial of sensitive information that the IOM firm exercises in preparing the report for transmission to the Legislature and the Governor.

4. FTA Quarterly Report

Two weeks after the quarter ends, the IOM firm is required to provide all information as identified by NJT Internal Audit Department to meet the FTA quarterly reporting requirements.

5. Time Logs

Copies (and upon request, originals) of time logs shall be maintained by the IOM and shall include information on the allocation of hours worked by the IOM and staff to the respective federally-funded programs and all

other data required in order to ensure compliance with all federal requirements.

6. Requests for Information/Documents

Submit all document and information requests to the NJT Internal Audit Project Manager via email. The email should contain in the subject line "Document/Information Request – Project Name".

7. Close-Out Report:

In addition to other reporting requirements, prior to the expiration of the IOM Work Authorization, or on an interim basis as necessary for longer-term engagements, the IOM firm shall submit a summary report of audit findings, observations, and process recommendations and/or best practice recommendations to NJT for its review and consideration. This report shall contain findings and observations from the IOM's review of documentation, site visits, and other work that was performed during the IOM Work Authorization term. Also based on its work during the IOM Work Authorization term, the report shall contain industry best practice recommendations regarding the processes it observed. The report will be due to NJT Internal Audit three weeks after NJT IA has completed its final review and acceptance of the workpapers for the IOM WA. Due dates for interim reports will be mutually agreed upon by the parties.

SCHEDULE

The services to be provided by the IOM under this Work Authorization are scheduled to be completed by June 30, 2023. The term of this Work Authorization is based upon the projected schedule of the Hoboken Projects and may be amended at the discretion of NJT.

BACKGROUND CHECKS

IOM firm personnel assigned to this Work Authorization must provide documented evidence that they have had appropriate background checks or agree to obtain a background check prior to commencing the Work Authorization.

CONFLICT OF INTEREST

Integrity Oversight Monitors shall not be a firm or an affiliate thereof involved in Superstorm Sandy Program Management or in the design, preparation or delivery of Superstorm Sandy Recovery and Resiliency contracts, task orders, projects, services and programs or have any other potential or actual conflict as determined by NJT.

The vendors/contractors for the Hoboken Projects which this Work Authorization applies are as follows:

1. SANDY Dmg 04RHOB 4 Hoboken Yard-Boiler for Bldg- Repair (NJT00850)

Vendor	Contact
Project Manager:	NJ TRANSIT
Environmental:	NJ TRANSIT
Designer:	STV, Inc.
Contractor:	DMR Construction

2. SANDY Dmg 04RHOB 4 Hoboken Yard-Signal Power Repair (NJT00851) NJT00762, SANDY Dmg 02RINF 4 ET Hoboken Terminal House Power Repair"

Vendor	Contact
Project Manager:	NJ TRANSIT
Environmental:	NJ TRANSIT
Designer:	STV, Inc.
Contractor:	TBD

Throughout the term of the Work Authorization, should the IOM, or its affiliates, or subsidiaries, or sub-consultants respond to a procurement or enter into a joint venture, partnership or subcontract relationship of any tier to provide any services, such as construction management, architectural and engineering, design, project management, or other related services, the IOM must notify NJ TRANSIT immediately. The IOM also is required to consult with NJ TRANSIT where there is concern on the part of the IOM or its sub-consultant that a conflict may exist.

NJ TRANSIT will determine whether the IOM or its sub-consultant has a conflict on a case by case basis. NJ TRANSIT has the sole discretion to determine whether a conflict or potential conflict is found to have arisen by such action on the part of the IOM or its affiliates, subsidiaries, or sub-consultants. NJ TRANSIT's determination regarding any question(s) of conflict of interest shall be final. Additionally, NJ TRANSIT may take all appropriate action as it deems necessary in accordance with the terms and conditions of the Contract.

The IOM and sub-consultant personnel who are assigned to this Work Authorization will be required to maintain in confidence all information disclosed and made available by NJ TRANSIT in association with the Work Authorization. IOM Firms will be required to execute a "Confidentiality and No Conflict of Interest Certification" prior to commencing the Work Authorization.

CONFLICT OF INTEREST WITH FUTURE CONTRACTORS & SUB-CONTRACTORS

Vendors/contractors to which the Work Authorization applies, may not be known at the time a Work Authorization is issued to the IOM. Once the vendor/contractor(s) has been identified, the IOM shall provide NJ TRANSIT with any anticipated or potential or suspected or actual conflicts that the IOM or its sub-consultant may incur during the projected course of a Work Authorization. Please refer to the chart above for the list of known and unknown vendors.

Existence of conflicts will be determined on a case-by-case basis by NJ TRANSIT. At the time that the vendor/contractor has been identified by NJ TRANSIT, and an apparent conflict of interest exists, NJ TRANSIT will discuss the matter and take any appropriate action, which may include reassignment of the Work Authorization.

**NJ TRANSIT Contract No. 14-033C
Integrity Oversight Monitoring Services
Work Authorization No. 1**

**Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power
Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects**

Attachment B – Cost Proposal for Fraud Risk Assessment

Program Wide Risk Sections	Risk Category	Fraud Monitoring Staffing Hours									Total Hours	\$ Value per Risk Category
		Partner / Principal / Director	Program Manager	Project Manager	Subject Matter Expert	Supervisor/S enior Consultant	Consultant	Associate Staff	Admin Support			
A	Grant Management	10	-	19	16	22	-	-	-	67	\$ 14,058	
B	Disbursements	10	-	64	22	96	80	-	-	272	\$ 45,520	
C1.1-C1.4	Procurement - Contractor Bid Frauds											
C2	Procurement - Conflicts of Interest											
C3	Procurement - Bribery / Kickbacks	24	-	64	35	96	19	-	-	238	\$ 45,239	
C4.1-C4.4	Procurement - Contract Frauds											
C5.1-C5.4	Procurement - Bid Information Frauds											
D	Task Order Contractors (TOC's)	-	-	-	-	-	-	-	-	-	\$ -	
E	Outsourced Programs	-	-	-	-	-	-	-	-	-	\$ -	
F1-F3	Disadvantaged Business Enterprise (DBE) - False Submission / Pass Through / Fronting	3	-	11	4	17	-	-	-	35	\$ 6,588	
G	Change Orders	16	-	32	80	32	32	-	-	192	\$ 41,120	
H	Claims Management	6	-	12	22	11	-	-	-	51	\$ 11,594	
	Fraud Risk Assessment	25	-	84	25	130	33	-	-	297	\$ 53,521	
	Project Wide Activities - Weekly, Monthly, Quarterly Reporting (Estimate through June 2023 per Work Authorization Request)	33	-	133	60	246	-	-	-	472	\$ 87,998	
											\$ 305,638	
DBE Sub-consultant Hours												
		-	-	-	138	-				138		
	Net Prime hours	127	-	419	126	650	164	-	-	1,486		
	Total Hours	127	-	419	264	650	164	-	-	1,624		
	Rate Card	\$ 272	-	\$ 194	\$ 272	\$ 150	\$ 125					
	Fees	\$ 34,544	\$ -	\$ 81,286	\$ 71,808	\$ 97,500	\$ 20,500				\$ 305,638	

**NJ TRANSIT Contract No. 14-033C
Integrity Oversight Monitoring Services
Work Authorization No. 1**

**Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power
Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects**

Attachment C – DBE Forms

MANDATORY FORM FOR BIDDER/PROPOSER/PRIME: COMPLETE ENTIRELY

FORM A (Fed)

First Tier DBE UTILIZATION - FORM A

Project Name: Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (Hoboken Projects)

NJT Contract No: 14-033C for WA#1

Assigned DBE Goal %: 10 percent NJT Procurement Specialist: Tashida S. Chapman

Contract Value (\$): \$305,639

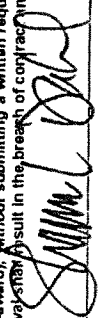
First Tier DBE must perform at least 51% of its subcontract value if subcontracting to a Second-Tier DBE or Non-DBE. Do not count Non-DBE portion toward the goal.

Name, Address and Telephone # of DBE Subcontractor/Subconsultant	Provide Detailed Scope of Work to be Performed (Identify all suppliers)	Dollar Value of Subcontract/Subconsultant Work (\$)	Percentage of Subcontract Work (%)
MFS Consulting Engineers & Surveyor, DPC 2780 Hamilton Blvd., South Plainfield, NJ 07080 908-922-4622	MFS will assist RSM in development of our audit plan, perform evaluations of pay applications and change orders, and provide technical support and quality control to the team members performing detailed test work.	\$30,875	10%
		0	0%
		0	0%
		0	0%
		0	0%
TOTALS		\$30,875	10%

For DBE suppliers, show original subcontract value multiplied by 60% (\$2,000*60%=\$1,200). For DBE portion of work, subtract Non-DBE portion of work from original subcontract value.

The undersigned will enter into a formal agreement with the DBE(s) listed in this schedule conditioned upon execution of a contract with NJ TRANSIT for the above referenced project. The undersigned understands that removal/replacement of the DBE(s) listed is **NOT PERMISSIBLE** for any reason (pre or post-award), without submitting a written request to the Office of Business Development and receiving **WRITTEN APPROVAL** from the Office of Business Development. Failure to obtain written approval shall result in the breach of contract and subject to corrective action to be determined by NJ TRANSIT.

Company Name: RSM US LLP

Authorized Signature: 

Company Address: 1185 Avenue of the Americas

Print Name: Shawn L. Dahl

New York, NY 10036

Title: Principal

Federal Tax ID #: 42-0714325

Prime Contractor's DBE Liaison Officer: Shawn L. Dahl

Company Tel #: 203-388-7088

Date Signed: January 29, 2019

To Add Subs Use Additional Forms

NJT Fed Form A rev June 2010

MANDATORY FORM: COMPLETE ENTIRELY

Form A1 (Fed)

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM A1

Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power

Project Title: Repair and the Hoboken Boiler and Terminal Repair (Hoboken Projects)

Date: January 29, 2019

Prime Contractor/Consultant: Shawn L. Dahl NJT Contract #: 14-033C for WA#1 Telephone #: 203 388 7098

Complete the information below for Bidder/Proposer/Prime(s) working on this project. Use Page 2 for all subcontractors/subconsultants

	Bidder/Proposer/Prime	Bidder/Proposer/Prime	Bidder/Proposer/Prime
Company's Full Name	RSM US LLP		
Address	4 Times Square 151 West 42 nd Street, 19 th Floor		
City and State	New York, NY		
Zip	10036		
County	New York County		
Phone	203 388 7098		
Fax	212 372 1001		
E-mail	shawn.dahl@rsmus.com		
Owner	Limited Liability Partnership		
Date Established	1926		
Date Certified	Not certified as a DBE or ethnic/gender-specific		
Ethnicity	Multiple		
Gender	Multiple		
Certification Status: DBE or Non-DBE	Non-DBE		
Federal Tax ID # / SSN #	42-0714325		
Annual Gross Receipts: A - Less than \$500K B - \$500K to \$1M C - \$1M to \$2M D - \$2M to \$5M E - \$5M and over Indicate the letter that applies	E		
Primary NAICS Code:	541211		

To Add Subs Use Additional Forms

NJT - Fed Form A1 rev Jun 2010, rev 0715

MANDATORY FORM: COMPLETE ENTIRELY

Form A1 (Fed)

Page 1 of 2

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM A1

Project Title: Integrity Oversight Monitoring Services for the Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (Hoboken Projects)

Date: January 29, 2019

Prime Contractor/Consultant: RSM US LLP NJT Contract #: 14-033C for WA#1 Telephone #: 203 388 7098

COMPLETE THE INFORMATION BELOW FOR "ALL" FIRMS INCLUDING SUPPLIERS SOLICITED, INCLUDING THOSE THAT WILL WORK ON THIS PROJECT.

	Subcontractor/Subconsultant	Subcontractor/Subconsultant	Subcontractor/Subconsultant
Company's Full Name	MFS Engineers & Surveyor, DPC		
Address	2780 Hamilton Blvd.		
City and State	South Plainfield, New Jersey		
Zip	07080		
County	Middlesex		
Phone	908 932 4622		
Fax	866 517 7413		
E-mail	jaf@mfsengineers.com		
Owner	Jose Fierres		
Date Established	08/07/2009		
Date Certified	10/29/2015		
Ethnicity	Hispanic		
Gender	Male		
Certification Status: DBE or Non-DBE	DBE		
Federal Tax ID # / SSN #	46-4924682		
Annual Gross Receipts: A - Less than \$500K B - \$500K to \$1M C - \$1M to \$2M D - \$2M to \$5M E - \$5M and over	E		
Indicate the letter that applies			
Primary NAICS Code:	541330, 541370		

Page 2 of 2

NJT Fed Form A1 rev Jun 2010 rev 0715

To Add Subs Use Additional Forms

INTENT TO PERFORM AS A 1ST TIER DBE - FORM B

The Bidder/Proposer/Prime is prohibited from completing any portion of this form and directing the DBE to sign a blank form.

DIRECTIONS: DBE(s) listed on the Form A must complete all information on this form.

RSM US LLP

Name of Bidder/Proposer/Prime:

MFS Consulting Engineers & Surveyor, DPC

Name of DBE Firm:

Project/Contract Name: NJ Transit Contract No. 14-033C for WA#1
Integrity Oversight Monitoring (IOM)

IFB/RFP Contract Number: 14-033C for WA#1

Does the undersigned DBE (Answer Accordingly):

Intend to perform subcontract work in connection with the above-mentioned project as a Joint Venture? Circle one. (Yes or No)

Intend to subcontract any portion of its scope of work to a DBE(s)?

Circle one. (Yes or **No**)

If yes, DBE Sub-Primes must complete and submit Form AA.

At what percent? _____ %

Intend to subcontract any portion of its scope of work to a Non-DBE(s)?

Circle one. (Yes or **No**)

If yes, must complete and submit Form AA2.

At what percent? _____ %

The undersigned will perform the following described work on the above-referenced project: *(Provide a detailed description of the type of work you will perform on your subcontract. Attach a copy of quote approved and signed by Bidder (optional)).*

MFS will provide personal with experience in Construction and Construction Management to support in the project audit process.

Areas of support will consist of QA/QC to the audit team, detailed evaluations of project change orders and pay applications, and guidance as to areas in the project where the team should concentrate evaluation


Dollar Value of DBE Subcontract: \$ 30,875Total Quantity/Units (if applicable): N/A Per Unit Cost (if applicable): \$ N/A

The undersigned based the above scope of work and subcontract value on detailed project specs received from the Bidder contractor named above. Circle one. (Yes or **No**)

The Prime Contractor projected the following commencement and completion date for such work as follows:

DBE Contract Start Date: TBD DBE Contract Completion Date TBD

The undersigned DBE will enter into a formal agreement for the above work with the Prime Contractor conditioned upon execution of a contract with NJ TRANSIT. As a DBE subcontractor, I will cooperate with the certification, compliance and monitoring process set forth by NJ TRANSIT. I attest that I will perform at least 51% of my subcontract with my own workforce for the referenced project.

 1/29/2019
Signature of 1st Tier DBE Date

Senior Associate Engineer
Title

Michael L. Mudale
Print Name

908.922.4624
Telephone #:

Failure to adhere to these instructions or the falsification of any information on this form shall result in breach of contract and subject to the appropriate penalties to be determined by NJ TRANSIT.

THE PORT AUTHORITY OF NY & NJ

October 29, 2015

Mr. Jose Fuertes
Principal
MFS Consulting Engineers & Surveyor, DPC
31 West 34th Street
Suite 7071
New York, NY 10001

Dear Mr. Fuertes:

We are pleased to inform you that The Port Authority of NY & NJ has certified your business as a Disadvantaged Business Enterprise (DBE) on behalf of the New Jersey and New York State Unified Certification Program (NJ/NYS UCP) partners.

Your certification will remain in effect, provided your business continues to meet the eligibility criteria set forth in U.S. Department of Transportation, Code of Federal Regulations Title 49 Part 26. Annually, you must submit a signed and notarized "DBE No Change Affidavit" with supporting documentation. It is your responsibility to notify this office in writing within 30 days of any changes.

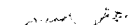
The following table lists the North American Industry Classification System (NAICS) codes and descriptions that have been assigned to your business in accordance with the services it renders.

NAICS CODE	DESCRIPTION
541330	Environmental Engineering Services
541370	Surveying and Mapping (Except Geophysical) Services

We have also added your firm to the NJ and NYS UCP directories, which can be accessed at <http://www.njucp.net> and <http://www.nysucp.net>, respectively.

If you have any questions regarding your certification, you may email the Office of Business Diversity and Civil Rights at certhelp@panynj.gov or contact me at (201) 395-3950.

Sincerely,



Jayson Ortiz
Certification Analyst
Office of Business Diversity and Civil Rights

Office of Business Diversity and Civil Rights
2 Montgomery Street, 2nd Floor
Jersey City, NJ 07302



HOW TO CONTACT ACCOUNTS PAYABLE CUSTOMER CARE (APCC)
E-MAIL: APCC@NJTRANSIT.COM
VOICE: 973-491-8399 FAX: 973-491-4621

PURCHASE ORDER INSTRUCTIONS

ALL PACKAGES MUST BE ACCOMPANIED BY A PACKING SLIP REFERENCE PURCHASE ORDER NUMBER, PURCHASE ORDER LINE NUMBER, AND NJT CATALOG NUMBER ON ALL INVOICES. PACKING SLIPS AND BILLS OF LADING. INVOICES WITHOUT PURCHASE ORDER NUMBERS WILL BE RETURNED. VENDOR MUST SUPPLY ORIGINAL NON CONSTRUCTION INVOICE AND ANY FREIGHT BILLS IN EXCESS OF \$100 TO: E-MAIL: INVOICES@NJTRANSIT.COM OR FAX: 973-833-8132
IMPORTANT - ONE INVOICE AND ALL OF ITS SUPPORTING DOCUMENTS MUST BE INCLUDED IN A FILE USING THE FILE NAMING FORMAT: PURCHASE ORDER NUMBER - INVOICE NUMBER. MULTIPLE FILES MAY BE INCLUDED IN ONE E-MAIL.
CONSTRUCTION INVOICES SHOULD CONTINUE TO BE SENT TO THE CONSTRUCTION MANAGER. VENDOR MUST ALSO SUPPLY A COPY OF INVOICE(S) TO CONSIGNEE.
VENDOR: IF PRICE ON PO DOES NOT MATCH, DO NOT SHIP MATERIAL, CONTACT BUYER.

SUPPLIER:		SHIP TO:		BILL TO:	
RSM USA LLP 1185 AVENUE OF THE AMERICAS NEW YORK, NY, 10036		NEWARK HEADQUARTERS NJ TRANSIT HEADQUARTERS ONE PENN PLAZA EAST NEWARK, NJ 07105-2246		NEWARK HEADQUARTERS NJ TRANSIT HEADQUARTERS ONE PENN PLAZA EAST NEWARK, NJ 07105-2246	
BUYER: Taishida Chapman		TCHAPMAN@NJTRANSIT.COM			
TERMS		FREIGHT TERMS		NET 45	
		100			
DESTINATION		QUOTATION NO			
FOB					
DESTINATION					
<small>NJ TRANSIT ETHICS CODE: NJ TRANSIT IS AN INSTRUMENTALITY OF THE STATE OF NEW JERSEY AND ITS EMPLOYEES AND OFFICERS AND MEMBERS OF THE NJ TRANSIT BOARD OF DIRECTORS ARE PUBLIC SERVANTS AND ARE GOVERNED BY CIVIL AND CRIMINAL LAWS THAT CONTROL HOW NJ TRANSIT AND ITS PERSONNEL CONDUCT BUSINESS WITH VENDORS, CONTRACTORS AND CONSULTANTS. THESE PROVISIONS INCLUDE THE CONFLICTS OF INTEREST LAW, NJSA 17:27, AND THE COMPENSATION FOR PAST OFFICIAL BEHAVIOR LAW, NJSA 2C:27-4. THESE PROVISIONS CONTAIN UNEQUIVOCAL AND STRINGENT RESTRICTIONS RELATING TO GIFTS AND GRATUITIES BY ANY NJ TRANSIT EMPLOYEE OR ANY PERSON, COMPANY OR ENTITY DOING BUSINESS WITH NJ TRANSIT. THE TERM "GIFT" INCLUDES ALL THINGS AND OBJECTS, TANGIBLE OR INTANGIBLE INCLUDING SERVICES, GRATUITIES, MEALS, ENTERTAINMENT, EVENT TICKETS, MEMBERSHIP CLUB ACCESS, TRAVEL COSTS AND LODGING. ALSO, NJ TRANSIT'S CODE OF ETHICS AND CODE OF CONTRACTORS AND CONSULTANTS FROM OFFERING ANY GIFTS TO ANY NJ TRANSIT EMPLOYEE. DO NOT, UNDER ANY CIRCUMSTANCES, TEMPT OR PUT AN NJ TRANSIT EMPLOYEE IN THE AWKWARD POSITION OF HAVING TO REFUSE A GIFT OR RETURN A GIFT NO MATTER HOW WELL INTENTIONED OR INNOCUOUS THE GIFT MAY BE.</small>					
LINE NUMBER	ITEM NUMBER/MPN/IFR/DESCRIPTION	DELIVERY DATE	QUANTITY	UOM	UNIT PRICE
CONTRACT #: 14-033C SOURCE DOCUMENT:					
1	MR #500000167662 GL #1.0030.50303.PHR1600.C.999.00000.00000 Consulting Services - Hoboken Yard Signal Power Repair & the Hoboken Boiler & Terminal Repairs NJ TRANSIT Contract No. 14-033C Work Authorization No. 1 Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair PM: Antoinette Walsh X7486 The total expenditure amount for this line shall not exceed \$305,639.00. Refer to Contract No. 14-033C and Work Authorization No. 1 for the complete terms of this Agreement. *****	01/16/19	305639	\$	1
					305,639.00
** TOTAL:					\$ 305,639.00



HOW TO CONTACT ACCOUNTS PAYABLE CUSTOMER CARE (APCC)
E-MAIL: APCC@NJTRANSIT.COM
VOICE: 973-491-8399 FAX: 973-491-4621

PURCHASE ORDER INSTRUCTIONS
ALL PACKAGES MUST BE ACCOMPANIED BY A PACKING SLIP
REFERENCE PURCHASE ORDER NUMBER, PURCHASE ORDER LINE NUMBER, AND NJT CATALOG
NUMBER ON ALL INVOICES, PACKING SLIPS AND BILLS OF LADING.
INVOICES WITHOUT PURCHASE ORDER NUMBERS WILL BE RETURNED. VENDOR MUST SUPPLY
ORIGINAL NON CONSTRUCTION INVOICE AND ANY FREIGHT BILLS IN EXCESS OF \$100 TO:
E-MAIL: INVOICES@NJTRANSIT.COM OR FAX: 973-833-8132
**IMPORTANT - ONE INVOICE AND ALL OF ITS SUPPORTING DOCUMENTS MUST BE INCLUDED IN A
FILE USING THE FILE NAMING FORMAT: PURCHASE ORDER NUMBER -INVOICE NUMBER. MULTIPLE
FILES MAY BE INCLUDED IN ONE E-MAIL.**
CONSTRUCTION INVOICES SHOULD CONTINUE TO BE SENT TO THE CONSTRUCTION MANAGER.
VENDOR MUST ALSO SUPPLY A COPY OF INVOICE(S) TO CONSIGNEE.
VENDOR: IF PRICE ON PO DOES NOT MATCH, DO NOT SHIP MATERIAL, CONTACT BUYER.

SUPPLIER:		SHIP TO:		BILL TO:	
RSM USA LLP 1185 AVENUE OF THE AMERICAS NEW YORK, NY, 10036		NEWARK HEADQUARTERS NJ TRANSIT HEADQUARTERS ONE PENN PLAZA EAST NEWARK, NJ 07105-2246		NEWARK HEADQUARTERS NJ TRANSIT HEADQUARTERS ONE PENN PLAZA EAST NEWARK, NJ 07105-2246	
BUYER: Taishida Chapman					
TCHAPMAN@NJTRANSIT.COM					
TERMS		FREIGHT TERMS		NJ TRANSIT IS EXEMPT FROM NJ SALES & USE TAXES	
NET 45		100		PURSUANT TO SECT 9(A)(1), OF NJSA 54:32B-1 ET SEQ.	
				FEDERAL T.I.N.: 22-228-1352	
				TAX EXEMPT #S 21-60000928 (NJ)	
				22-75-0050K (FEDERAL)	

NJ TRANSIT ETHICS CODE: NJ TRANSIT IS AN INSTRUMENTALITY OF THE STATE OF NEW JERSEY AND ITS EMPLOYEES AND OFFICERS AND MEMBERS OF THE NJ TRANSIT BOARD OF DIRECTORS ARE PUBLIC SERVANTS AND ARE GOVERNED BY CIVIL AND CRIMINAL LAWS THAT CONTROL HOW NJ TRANSIT AND ITS PERSONNEL CONDUCT BUSINESS WITH VENDORS, CONTRACTORS AND CONSULTANTS. THESE PROVISIONS INCLUDE THE CONFLICTS OF INTEREST LAW, NJSA 52:13D-12, THE GIFTS TO PUBLIC SERVANTS ACT, NJSA 52:13D-13, AND THE COMPENSATION FOR PAST OFFICIAL BEHAVIOR LAW, NJSA 52:27-4. THESE PROVISIONS CONTAIN UNEQUIVOCAL AND STRINGENT RESTRICTIONS RELATING TO GIFTS AND GRATUITIES BY ANY NJ TRANSIT EMPLOYEE OR ANY PERSON, COMPANY OR ENTITY DOING BUSINESS WITH OR WANTING TO DO BUSINESS WITH NJ TRANSIT. ANY VIOLATION OF THESE PROVISIONS WILL BE CONSIDERED A VIOLATION OF THE ETHICS CODE AND WILL BE SUBJECT TO DISCIPLINARY ACTION. NJ TRANSIT DOES NOT ACCEPT GIFTS OR GRATUITIES FROM VENDORS, CONTRACTORS AND CONSULTANTS. NJ TRANSIT EMPLOYEES ARE PROHIBITED FROM OFFERING ANY GIFTS TO ANY NJ TRANSIT EMPLOYEE. DO NOT, UNDER ANY CIRCUMSTANCES, TEMPT OR PUT AN NJ TRANSIT EMPLOYEE IN THE AWKWARD POSITION OF HAVING TO REFUSE A GIFT OR RETURN A GIFT NO MATTER HOW WELL INTENTIONED OR INNOCUOUS THE GIFT MAY BE.

<input checked="" type="checkbox"/>	WHEN THIS BOX IS CHECKED, THE TERMS AND CONDITIONS OF THE ATTACHED CONTRACT REPLACES THOSE SHOWN ON THE REVERSE SIDE OF THIS PURCHASE ORDER.
Authorized NJ Transit Signature / Date <i>Taishida Chapman</i> 9/27/19	