

Philip D. Murphy, Governor
Sheila Y. Oliver, Lieutenant Governor
Diane Gutierrez-Scaccetti, Commissioner
Kevin S. Corbett, President & CEO

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

August 2, 2019

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. Paul Ryan
Thacher Associates, LLC
845 Third Avenue, 13th Floor
New York, New York 10022

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

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 ten percent (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.

In order to discuss the project and to address questions, NJ TRANSIT will hold a Pre-Proposal Conference at **2:00 p.m. on Thursday, August 14, 2019** located at NJ TRANSIT Headquarters located at Two Penn Plaza East, Newark, New Jersey.

Questions or requests for clarification regarding the Work Authorization Request are to be submitted in writing no later than **4:00 p.m. on Thursday, August 21, 2019** 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 Friday, September 13, 2019** and addressed as follows:

Ms. Taishida S. Chapman
Managing Contract Specialist
NJ TRANSIT
Procurement Department
One Penn Plaza East, 6th Floor
Newark, New Jersey 07105
Re: 14-033 –IOM Services for the Long Slip Project

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 Friday, September 13, 2019 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 five (5) 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
Managing Contract Specialist
Procurement Department

Attachments

cc: K. Cahall
D. Cimino
L. Codrington
M. Kyerewaah-Takyi
A. Marvi
J. O'Hern
M. Strickland
A. Walsh
C. Trappe (NJ Dept. of Treasury)

NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Assignment Request for
Superstorm Sandy Integrity Oversight Monitoring Services
for the Long Slip Fill and Rail Enhancement Project

A. GENERAL INFORMATION:

On March 27, 2013, P.L. 2013, Chapter 37 (N.J.S.A. § 52:15D-1, et seq.), the Integrity Oversight Monitor Act (the Act) was enacted for the purpose of authorizing the use of Integrity Oversight Monitors (IOMs) for recovery and rebuilding contracts resulting from Superstorm Sandy and subsequent major storms in New Jersey. The Act authorizes the State Treasurer to require integrity oversight monitor services on any State or non-State federally funded recovery and rebuilding contract of \$5 million or more.

The NJ TRANSIT (“NJT”) Superstorm Sandy Recovery and Resilience Program (“Program”), funded in part by the FTA, has been established to implement recovery and rebuilding and locally-prioritized resiliency projects based on damage assessments resulting from Superstorm Sandy in October 2012. The projects to be constructed vary in type, scope and location, but are principally in, or are to be in, northern and central New Jersey.

The services of the Integrity Oversight Monitors (“IOMs”) shall generally consist of performing integrity oversight monitoring services to prevent and/or detect fraud, waste and abuse pursuant to NJT Contract No. 14-033 (the “Contract”). The IOMs will monitor construction, repair and resiliency contracts funded by the FTA or other federal agencies in excess of \$5 Million in accordance with the scopes of work prescribed by NJT Internal Audit Department (IAD) in consultation with the NJT Accountability Officer under Executive Order 125 and the New Jersey Department of the Treasury.

B. PROJECT DESCRIPTION

The IOM firm selected for this Work Authorization shall provide integrity oversight monitoring services in connection with **Long Slip Fill (Phase I) and Rail Enhancement Project (Phase II)**. **The two phases comprise the “Long Slip” project.**

The scopes, budgets and milestones for the **Long Slip** Project are provided in Attachment 1.

This Work Authorization will be divided into four (4) distinct phases as described in Attachment 1:

IOM Work Authorization Phase A.	IOM Services for the applicable Design Contract
IOM Work Authorization Phase B.	IOM Services for the Long Slip Fill Construction Contract. (GC-01)
IOM Work Authorization Phase C.	IOM Services for the Long Slip Enhancement Construction Contract. (GC-02)
IOM Work Authorization Phase D.	IOM Services for the applicable Construction Management Services Contract.

Costs associated with each Phase will be negotiated and authorized independently to the IOM Firm determined to be the highest ranked firm. A fixed, not-to exceed cost will be established for each Phase. NJ TRANSIT reserves the right to award each phase to one (1) or more IOM Firms or the four (4) phases to one (1) IOM Firm.

NJ TRANSIT reserves the right to delete or modify any task or phase from the Scope of Services at any time during the course of the Work Authorization Request.

C. SCOPE OF WORK:

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

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

1. Monitoring the Contractors, subcontractors, Consultants and subconsultants to ensure their 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 Federal Register May 29, 2013 pages 32301- 32302, State of New Jersey Department of the 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, Contractors, 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, surveillances, field activities

and head counts, 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 Project noted in Section B 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 by Section D. Deliverables, 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 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 Project noted in Section B 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.
 1. The IOM firm shall review all applicable design contract, construction contract(s) and construction management 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 NJT.
- 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) Strategy and deliverables that the IOM firm will utilize to assess Consultants and Contractors compliance with DBE requirements as specified in Section F below.
- e) 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. Visiting sites as to ongoing design and construction work where warranted.
2. Attending design review meetings and construction contract meetings as needed, in consultation with IAD.
3. Attending scope reviews and meetings with prospective contractors and vendors in order to ensure procurements are conducted in accordance with NJT Rules and Regulations and that a level playing field is maintained.
4. Reviewing information and activities in relation to the Long Slip Project noted in Section B above.
5. Auditing to ensure procurement compliance.
6. Taking actions to detect, investigate, prevent and remediate, waste, fraud, and abuse.
7. Making unannounced periodic headcounts of construction site workers in order to deter no-show jobs.
8. Other activities that may be defined or required by IAD.

D. 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 workplan.

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 IAD Project Manager based on the approved workplan in accordance with the required timeline set forth by IAD based on the workplan. All work plans **MUST** be in the format provided in Attachment 7. Deliverables to support work will include, but not be limited to, the following:

1. Fraud Risk Mitigation Strategy and Detailed Monitoring Work Plan
2. Work papers, 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 written 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. See Attachment 2 for reporting instructions and form.

2. Weekly Status Updates

A written 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 update will be based on a template provided by IAD which includes the following:

1. Total hours per Workplan
2. Hours by Risk Category per Workplan
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

3. Quarterly Report (Attachment 3)

On the first business day of each calendar quarter, the IOM firm shall provide to the New Jersey State Treasurer, for distribution to the New Jersey Legislature and the Governor of New Jersey, a written 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 New Jersey Legislature and the Governor of New Jersey.

4. FTA Quarterly Report

Two weeks after the quarter ends, the IOM firm is required to provide all information as identified by NJT IAD 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

The IOM shall submit all document and information requests to the NJT IAD via email. The email shall 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.

E. DBE PROGRAM REQUIREMENTS FOR THE IOM FIRM

Note: NJ TRANSIT does not have a MBE, or WBE Program, and the State of New Jersey's SBE Program does not apply.

A ten percent (10%) Race Conscious DBE goal has been assigned to this project. In accordance with Article 22 and Exhibit D of NJT Contract Nos. 14-033A, 14-033B, 14-033C and 14-033D, the IOM will cooperate with NJT in meeting its commitments and goals regarding the maximum utilization of Disadvantaged Business Enterprises (DBEs) and will use its best efforts to ensure that DBEs shall have the maximum opportunity to compete for subconsultant work. If the ten percent (10%) DBE participation is not met on this Work Authorization; the IOM must provide a detailed explanation as to why and how the firm plans to work towards meeting this goal in addition to documented evidence of good faith effort. Technical and Cost Proposals shall specifically detail DBE participation under this Work Authorization. The Cost Proposal must also include the mandatory DBE Forms A, A-1, A-2,

B, NJUCP DBE Certification, Form D (if applicable) and Trucking Commitment Agreement (if applicable). If applicable, the Cost Proposals must also include the supplemental DBE forms AA, AA1, AA2 and BB).

F. SCHEDULE

The services to be provided by the IOM under this Work Authorization are scheduled to be completed by September 2023. The term of this Work Authorization is based upon the projected schedule of the Long Slip Project and may be amended at the discretion of NJT.

G. 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.

H. 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 Long Slip Project which this Work Authorization applies are as follows:

Vendor	Contact
Project Manager:	NJ TRANSIT
Environmental:	BEM Environmental Services
Designer:	AECOM
Contractor GC-01:	TBD
Contractor GC-02:	TBD
Construction Manager	STV, Inc.

Upon submission of its proposal, the IOM shall provide the following information to NJT:

- (1) Any anticipated or potential or suspected or actual conflicts that it may incur during the projected course of a Work Authorization are identified;
- (2) Any anticipated or potential or suspected or actual conflicts with the vendors listed above;
- (3) The IOM shall identify any projects, past or present, it has performed for NJ TRANSIT including the project, dates of the project, the contract number, the project supervisor, and a brief description of the scope of work.
- (4) Certification (See Attachment 8) by the IOM that neither it nor any of its affiliates or subsidiaries or sub-consultants are 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 any other involvement or activities to NJ TRANSIT or third-parties that could create a direct or indirect conflict with providing IOM services to NJT under its current IOM agreement either directly or as a member of a joint venture, partnership, or as a sub-consultants or subcontractor of any tier, attached to this Work Authorization Request.

Upon submission of its proposal, the IOM shall also ensure the following information is provided to NJT by its sub-consultants:

- (1) Any anticipated or potential or suspected or actual conflicts that it may incur during the projected course of a Work Authorization are identified;
- (2) Any anticipated or potential or suspected or actual conflicts with the vendors listed above;
- (3) Any projects, past or present, it has performed for NJ TRANSIT, including the project, dates of the project, the contract number, the project supervisor, and a brief description of the scope of work;
- (4) Certification (See Attachment 8) that the sub-consultant is not 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 any other involvement or activities to NJ TRANSIT or third-parties that could create a direct or indirect conflict with providing IOM services to NJ TRANSIT, either directly or as a member of a joint venture, partnership, or as a sub-consultant or subcontractor of any tier, attached to this Work Authorization Request.

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.

I. CONFLICT OF INTEREST WITH FUTURE CONTRACTORS & SUB-CONTRACTORS

Vendors/contractors for the Long Slip Projects, 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.

J. PROPOSAL CONTENT

One (1) original and seven (7) copies of your technical proposal and one (1) original three (3) copies of your cost proposal are to be submitted no later than **2:00 p.m. on Friday, September 13, 2019** and addressed as follows:

Ms. Taishida S. Chapman
Managing Contract Specialist
NJ TRANSIT
Procurement Department
One Penn Plaza East, 6th Floor
Newark, New Jersey 07105
Re: 14-033 IOM Services for the Long Slip Project

IOM Firms are also requested to submit an electronic copy of the technical & cost proposal no later than 4:00 p.m. on Friday, September 13, 2019 to Ms. Taishida Chapman at tchapman@njtransit.com.

In order to discuss the project and to address questions, NJ TRANSIT will hold a Pre-Proposal Conference on **Thursday, August 14, 2019 at 2:00 p.m.** at NJ TRANSIT Headquarters located at Two Penn Plaza East, Newark, New Jersey 07105.

Questions or requests for clarification regarding the Assignment Request are to be submitted in writing no later than **4:00 p.m. on Thursday, August 21, 2019** and are to be submitted Ms. Taishida Chapman at tchapman@njtransit.com. Questions are to be submitted using the attached template (Attachment 4). The compilation of all questions and answers will be sent to the group prior to the Work Authorization Request response due date. Communications regarding this Work Authorization Request are to be conducted through NJ TRANSIT's Procurement Department. All other contacts are considered improper and are prohibited.

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 **five (5)** calendar days of the receipt of the Work Authorization Request.

The IOM's technical proposal must contain the following elements:

Technical Proposals shall follow the format outlined below.

1. **COVER LETTER:** The cover letter shall summarize key points of the proposal and include any introductory or explanatory remarks. The cover letter should convey an understanding of the overall contract objectives and the work required of the Consultant.
2. **QUALIFICATION OF INDIVIDUALS:** This section shall contain resumes of the key persons proposed to work on this project. Resumes shall cite formal education, professional licenses and certifications, entire work history, and training in industry skills. Specific skills and any other relevant experiences should be highlighted.

3. **QUALIFICATION OF FIRM(S) AND RELATED EXPERIENCE:** This section shall contain information about the project organizational structure of the team and the personnel required for the project. The availability of professional and technical staff for this project should be shown. Also show anticipated workload for the duration of this project taking into account resources involved with existing proposals and active projects.
4. **TEAM ORGANIZATION/RESOURCE ALLOCATION:** This section shall address the proposed management structure, manpower allocation, and assigned individuals for performing the Detailed Monitoring Work Plan.

The Consultant will identify disadvantaged owned business enterprises (DBEs) that will or may act as sub-consultants in accordance with NJ TRANSIT's established goals.

The Consultant shall certify that the listed 'key personnel' will be employed by the consultant and will be assigned to the project in the manner prescribed. The 'key personnel' identified by the consultant shall not be removed from the contract without written approval from NJ TRANSIT. Therefore, if a 'key personnel' member leaves the firm, NJ TRANSIT must be notified in writing within five (5) business days of their termination/separation.

The following information shall also be included in this section:

Team Organization and Staffing Chart showing the reporting and contractual relationships of all firms included in the proposal as well as the organization of key personnel by name, title and reporting relationship.

Detailed Monitoring Work Plan showing the number of person-hours proposed for each Task. This section shall include the detailed approach and methodology (work plan) for accomplishing the tasks detailed the scope of work. All work plans MUST be in the format provided in Attachment 7.

5. **TECHNICAL SECTION:** This section shall contain the work plan for accomplishment of the project. The work plan shall address all tasks described in this Work Authorization Request. Additional narrative on the services to be performed, which can be used to evaluate the Proposer's understanding of the objectives and overall purpose of the project, is encouraged. This section shall carefully reflect all tasks described in Section C above.
6. **DBE PROGRAM REQUIREMENTS FOR THE IOM FIRM:** The IOM Firm shall identify DBEs that will or may act as sub-consultants in accordance with NJ TRANSIT's established DBE goals.

This section shall also describe, in sufficient detail, how the IOM firm will meet its DBE requirements as prescribed in the Contract and the controls that are in place within the IOM firm to ensure compliance. DBE participation is to be highlighted and total DBE participation provided as a percentage only.

7. **SCHEDULE:** A schedule that shall identify the performance milestones and associated deliverable items to be submitted as evidence of completion of each task and/or sub-task.
8. **QUALITY ASSURANCE PLAN (QAP):** This section shall contain a summary of the Consultant's QAP outlining the process which will be followed for checking, reviewing and approving of the Consultant's work product to ensure it is consistent with NJ TRANSIT and New Jersey Department of the Treasury expectations, requirements and standards. Typical titles of responsible individuals shall be identified along with descriptions of experience and other qualifications required for these positions. A complete QAP is not required; however Consultant shall provide sufficient detail of its quality assurance program in order to permit a clear understanding.
9. **CONFLICTS:** In accordance with Section I above, an IOM firm and its sub-consultants shall provide the information identified above in Section I entitled "Conflict of Interest" and complete the Certification, attached hereto as Attachment 8.

The IOM's cost proposal must contain the following elements:

- A. Cost proposals shall be submitted in a separate, sealed envelope.
- B. Cost proposals are to be presented in a person-hour allocation format by firm, task and personnel classification for each Phase of the Work Authorization utilizing the Cost Proposal format provided in Attachment 5.

IOM Work Authorization Phase A.	IOM Services for the applicable Design Contract
IOM Work Authorization Phase B.	IOM Services for the Long Slip Fill Construction Contract. (GC-01)
IOM Work Authorization Phase C.	IOM Services for the Long Slip Enhancement Construction Contract. (GC-02)
IOM Work Authorization Phase D.	IOM Services for the applicable Construction Management Services Contract.

- C. NJ TRANSIT will only pay for straight time labor at the fully loaded rate with no overtime or night differential, i.e., NJ TRANSIT will not pay for travel, meals, lodging, commutation, overhead, profit, administration, or other expenses except as otherwise specifically provided below. Any other necessary expenses on a project basis will be at the sole discretion of NJ TRANSIT and all decisions are final. Rates shall be fully loaded and apply per job title.

There is an allowance established for reimbursement of reasonable, documented costs incurred in order to relocate staff members and managers to New Jersey where their primary residences are ninety (90) or more miles from the City of Newark, New

Jersey documented by computer mapping calculations. In such instances only costs of initial travel and move of personal property to New Jersey will be reimbursed and only where approved in writing by NJT IAD prior to move or travel occurring. No travel back and forth to primary residence during work assignment will be reimbursable; however, reasonable documented costs of transportation of assigned personnel and move of personal property will be paid upon conclusion of Work Authorizations to which staff member or manager has been assigned. Travel in relation to assigned duties shall not be reimbursable. All reimbursable travel expenses shall be in accordance with the Travel & Business Reimbursement Guidelines.

As to Subject Matter Experts (SMEs), only costs of travel and stays in hotel as well as breakfast and dinner will be reimbursable where SME attendance is required in New Jersey and has been previously approved in writing by NJT IAD for periods of 30 or fewer consecutive days. Travel in relation to assigned duties shall not be reimbursable. Stays of SMEs for more than thirty (30) days will be reimbursed for reasonable, documented relocation costs as provided above as it applies to staff members and managers. All reimbursable travel expenses shall be in accordance with the Travel & Business Reimbursement Guidelines.

- D. The Cost Proposal must also include the mandatory attached DBE Forms A, A-1, A-2, B, NJUCP DBE Certification, Form D (if applicable) and Trucking Commitment Agreement (if applicable) as detailed in Section E above. If applicable, the Cost Proposals must also include the supplemental DBE forms AA, AA1, AA2 and BB. (Attachment 6). If the ten percent (10%) DBE participation is not met on this Work Authorization; please provide a detailed explanation as to why and how the firm plans to work towards meeting this goal in addition to documented evidence of good faith effort.

K. SELECTION PROCESS

NJ TRANSIT will review the proposals and select the IOM whose proposal is most advantageous, price and other factors considered.

Oral Presentations may be required at the discretion of NJ TRANSIT. Oral Presentations, if necessary, will provide an opportunity for the firms/teams to clarify or elaborate on its written technical proposal. The Technical Evaluation Committee (TEC) will conduct the Oral Presentations. The TEC will use the Oral Presentations to confirm and/or reassess its understanding of the written technical proposals, and incorporate that information into its evaluation by revising the written technical evaluation scores accordingly. NJ TRANSIT reserves the right to assess and reassess its understanding of proposals and revise the rating and ranking of such proposals at any time prior to selection.

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.

NJ TRANSIT will then issue a Work Authorization with a "not to exceed" clause to the engaged firm and begin the issuance of the assignment. A firm may submit pricing lower

than its original proposal price for a specific project. Any change in the scope and/or fee must have the prior written consent of NJ TRANSIT's authorized representative.

Contract award is subject to the availability of federal funding. The level and amount of work to be awarded to the Integrity Oversight Integrity Monitor is not guaranteed.

L. ADMINISTRATION OF THE CONSULTANT – STANDARD PROJECT INITIATION

Consultant activities will be managed by NJ TRANSIT's Internal Audit Department (NJT IAD) in consultation with the New Jersey Department of the Treasury, NJ TRANSIT Accountability Officer and NJ TRANSIT's authorized Procurement representative with responsibility for initiating all contractual work and the administration of and resolution of all Work Authorization items.

A. Work Authorization

Work Authorizations executed between the IOM's authorized representative and NJ TRANSIT's authorized Procurement representative is required prior to any services being provided by the Consultant. The parties agree that the signing of a Work Authorization shall be necessary to commit NJ TRANSIT to compensate the IOM for accepted work referenced therein and to commit the IOM to perform the work according to its written description, for an amount not to exceed the fee provided in the Work Authorization. Any change in the scope and/or fee must have the prior written consent of NJ TRANSIT's authorized Procurement representative. A separate Work Authorization shall be required for each assignment of the IOM.

Work Authorizations are intended to provide oversight monitoring of specific contracts from conception where practicable under the circumstances. An assigned IOM is to have its staff familiarize itself with the proposed contract scope and schedule and get to know the project management and design staff. The IOM is to become familiar with the contract to which it is assigned prior to the commencement of work. Contracts can be varied in scope and length of time. Some contracts will involve force account work and contract work at the same time and sometimes sequentially. Before actual construction work begins, IOM staff time will not be at full level. Similarly, as a contract nears completion and closeout, IOM involvement will similarly lessen. The subject matter experts to be supplied by IOM will differ from assignment to assignment and possibly during the course of a contract where nature and scope of work may vary from phase to phase.

B. Acceptance

(1) Any items which the Consultant must deliver to NJ TRANSIT as noted in a Work Authorization shall be delivered to the NJT IAD. NJT IAD will review the deliverables and shall have the right, in its sole judgment, to refuse the acceptance of any items if they do not meet the Standards of Performance established by NJ TRANSIT. Such review does not relieve the Consultant of its liability for errors and omissions.

(2) Any items which the Consultant must deliver to New Jersey Department of the Treasury as noted in a Work Authorization and/or the reporting requirements shall be delivered to the New Jersey Department of the Treasury. New Jersey Department of the Treasury will review the deliverables and shall have the right, in its sole judgment, to refuse the acceptance of any items if they do not meet the performance standards set

forth in NJ Transit Contract Nos. 14-033A, 14-033B, 14-033C and 14-033D. Such review does not relieve the Consultant of its liability for errors and omissions.

(3) If the services or any deliverables are not accepted, NJ TRANSIT has the option of terminating the Agreement, or terminating the associated Work Authorization.

(4) NJ TRANSIT and New Jersey Department of the Treasury reserve the right to seek reimbursement of all costs, expenses or damages incurred, because of any act, error or omission, neglect or negligence, or misconduct of said Consultant or its sub-consultants in the performance of the work outlined in this Agreement. In such an event, NJ TRANSIT may withhold payment pending resolution of disputed claim not to exceed the amount due under the item of dispute, but without limitation to the amount NJ TRANSIT or Treasury may seek or claim to the extent allowed by law or equity. NJ TRANSIT shall not be obligated to make any payment for work that is unsatisfactory or does not comply with the terms of this Agreement. Furthermore, the Consultant shall not receive additional compensation for the cost of redoing, correcting or otherwise revising work by reason of any act, error or omission, neglect or negligence, or misconduct of said Consultant or its sub-consultants in the performance of the work outlined in this Agreement.

C. Responsibilities

(1) NJ TRANSIT Responsibilities

NJ TRANSIT is responsible for managing and accepting the IOM's work and deliverables as well as approving its invoices.

(2) Integrity Oversight Monitor Responsibilities

IOMs are responsible for executing the work in an effective and efficient manner and to meet all requirements of the Contract including the reporting requirements as noted in Section IV. In addition, the IOM is required to provide all work directly to NJ TRANSIT Internal Audit. Any other interactions with NJ TRANSIT personnel including the execution of the contract work must be coordinated through the NJ TRANSIT Internal Audit Department with the exception of communications with the Office of Civil Rights/Business Development regarding the IOM firm's DBE program requirements.

M. ADMINISTRATION OF THE CONSULTANT - CONSULTANT TEAM CHANGES

Where the Consultant finds it necessary or prudent to vary the composition of its resources, the Consultant shall be required to submit for NJ TRANSIT and the New Jersey Department of the Treasury, as the case may be, a request for approval in advance with such information and justifications as are necessary to support the restructuring of the team. In making such changes, the Consultant must remain cognizant of all DBE participation requirements and goals as specified in the contract documents. For resources that are added, NJ TRANSIT will require a description of the resources' credentials and background. In addition, NJ TRANSIT may require an interview of the personnel.

NJT IAD and New Jersey Department of the Treasury shall have the right to pre-approve staffing and removal of particular staff members at its discretion.

If the Prime Consultant will be adding, removing and/or replacing a DBE subconsultant firm/employee on its team, it must be in accordance with Articles 4.2, 4.3 and 4.4 of NJ TRANSIT's DBE Requirements.

N. ADMINISTRATION OF THE CONSULTANT - COMPENSATION

Payment for services to be rendered under this contract shall be on an hourly fee basis with a maximum not-to-exceed cost established for each individual Work Authorization authorized in accordance with the procedures described herein, and subject to the terms and conditions established for the overall contract. Payments of invoices will be made within thirty (30) days of approval by NJ TRANSIT Auditor General or his designee. No charges for work directed by unauthorized NJ TRANSIT or New Jersey Department of the Treasury personnel shall be binding upon NJ TRANSIT, and any work performed pursuant to such authorization shall be entirely at the risk of the Consultant. Additionally, no compensation will be allowed for the revision of work which has been rejected as failing to satisfy the requirements of a specific Work Authorization. The Consultant shall use a standard invoice form detailing the particular tasks, deliverables completed, particular work completed, hours expended by personnel, cost basis and total cost, and other detailed information that may be required by NJ TRANSIT. The Consultant shall submit all itemized bills separately for each Work Authorization. Each invoice may be reviewed by NJT IAD and New Jersey Department of the Treasury as well as by the Accountability Officer, the Board's Representatives and NJ TRANSIT staff.

Monthly invoices with supporting schedules of billable hours, fees and deliverables for work performed must be issued for this Work Authorization. No travel or out-of-pocket expenses will be reimbursed unless pre-approved in accordance with NJ TRANSIT Contract No. 14-033. Payment of invoices will be contingent upon successful completion, delivery and sole acceptance of aforementioned deliverables in the form and substance required by NJ TRANSIT.

In addition to the weekly report, in order to support payment, the IOM firm must include in their billing detail a daily log of activities for each person on the Work Authorization. This includes, for each person, tasks performed by deliverable, identification of the employees or subconsultants (and their respective employees) met with, summarized work performed, all meetings attended, field visitations along with the name of employee and subconsultants (and their respective employee) in attendance, and any other information to sufficiently support billing. Billing must also include, by person, hours billed for the current period and hours billed to date and expenses billed for the current period and expenses billed to date. The above provisions also apply to all sub-consultants if employed by the IOM firm.

O. OWNERSHIP OF WORK

All work product produced by the IOM in accordance with this contract and Work Authorizations are the sole property of NJ TRANSIT. Work product includes, but is not limited to: reports, documents, analyses, worksheets, work papers, cost estimates, tapes (audio or video), correspondence, computer files/media storage/programs/data, sample lists, sign-in sheets, audits, photographs, drawings, spread sheets, graphics and all other

information resulting from or obtained during the Consultant's work performed under this contract.

P. NOTICE OF EXECUTIVE ORDER 125 REQUIREMENT FOR POSTING OF WINNING PROPOSAL AND CONTRACT DOCUMENTS

Pursuant to Executive Order No. 125, signed by Governor Chris Christie on February 8, 2013, the New Jersey Office of the State Comptroller (OSC) is required to make all approved State contracts for the allocation and expenditure of federal reconstruction resources available to the public by posting such contracts on an appropriate State website. Such contracts are posted on the New Jersey Sandy Transparency website located at:

<http://nj.gov/comptroller/sandytransparency/contracts/sandy/>

The contract resulting from this Work Authorization Request is subject to the requirements of Executive Order No. 125. Accordingly, the OSC will post a copy of the contract, including the Work Authorization Request, the winning proposer's proposal and other related contract documents for the above contract on the Sandy Transparency website.

In submitting its proposal, a proposer may designate specific information as not subject to disclosure. However, such proposer must have a good faith legal and/ or factual basis to assert that such designated portions of its proposal (i) are proprietary and confidential financial or commercial information or trade secrets or (ii) must not be disclosed to protect the personal privacy of an identified individual. The location in the proposal of any such designation should be clearly stated in a cover letter, and a redacted copy of the proposal should be provided.

The State reserves the right to make the determination as to what is proprietary or confidential, and will advise the winning bidder accordingly. The State will not honor any attempt by a winning proposer to designate its entire proposal as proprietary, confidential and/or to claim copyright protection for its entire proposal. In the event of any challenge to the winning proposer's assertion of confidentiality with which the State does not concur, the proposer shall be solely responsible for defending its designation.

Q. ATTACHMENTS

- Attachment 1: Long Slip Fill and Rail Enhancement Project Information
- Attachment 2: Disaster Fraud Theft Reporting Form
- Attachment 3: Quarterly Report Template
- Attachment 4: Question Submittal Template
- Attachment 5: Cost Proposal Format
- Attachment 6: DBE Forms
- Attachment 7: Detailed Monitoring Work Plan Template
- Attachment 8: Conflict of Interest Certification

**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 1: Long Slip Fill and Rail Enhancement Project Information

NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail Enhancement Project

Attachment 1: Long Slip Fill and Rail Enhancement Project Information

IOM Services for the Long Slip Fill and Rail Enhancement Project will be divided into four (4) distinct phases (as outlined in Section B on page 1 above):

IOM Work Authorization Phase A.	IOM Services for the applicable Design Contract
IOM Work Authorization Phase B.	IOM Services for the Long Slip Fill Construction Contract. (GC-01)
IOM Work Authorization Phase C.	IOM Services for the Long Slip Enhancement Construction Contract. (GC-02)
IOM Work Authorization Phase D.	IOM Services for the applicable Construction Management Services Contract.

Each IOM Work Authorization phase is described below in detail:

IOM Work Authorization Phase A will include the IOM Services for the applicable Design contract. The Design Contract for the Long Slip Fill and Rail Enhancement Project is described below. (NJ TRANSIT Contract No. 16-006)

The Design Contract for the overall project scope of work was advanced in three (3) distinct design phases as follows:

- Design Phase 1. Conceptual and Preliminary Design Services
- Design Phase 2. Preparation of Final Plans, Specifications, and Estimates
- Design Phase 3. Construction Assistance

As further delineated in the design contract, each Design Phase was broken down into Tasks.

Design Phase 1. Concept and Preliminary Design/Engineering (0% - 30%)

- Task 1 Update Preliminary Design
- Task 2 Update Design Criteria
- Task 3 Civil Design
- Task 4 Building and Structures
- Task 5 Cost and Schedule
- Task 6 Supplemental Survey
- Task 7 Utility Relocation Preliminary Estimate
- Task 8 Geotechnical Investigation
- Task 9 Environmental
- Task 10 As-Directed Preliminary Design
- Task 11 Value Engineering

Design Phase 2. Final Design/Engineering (30% - 100%)

- Task 1 Design Development (60% Design)

- Task 2 Final Design (90% Complete Documents)
- Task 3 Final Design (100% Complete Documents)
- Task 4 Peer Review
- Task 5 Interagency Coordination – Final Design
- Task 6 As-Directed Final Design
- Task 7 Construction Bid Package

Design Phase 3. Construction Assistance

- Task 1 Response to Questions
- Task 2 Change Order Preparation/Evaluation
- Task 3 Shop Drawing Review and Material Approvals
- Task 4 Punchlist Inspection/Development
- Task 5 Final Inspection/Project Acceptance
- Task 6 As-built Drawings
- Task 7 Design Support

IOM Work Authorization Phase B will include IOM Services for the Long Slip Fill Construction Contract (GC-01) described below. (IFB No. 18-035X)

The Long Slip Fill portion of the Project entails the expansion of the Hoboken Rail Yard by filling the Long Slip canal.

The work for this Contract generally consists of furnishing all labor, materials, equipment, tools and incidentals necessary to construct and complete the Long Slip Fill portion of the Project, including, but not limited to, the following:

- Mobilization
- Install soil erosion and sediment control measures
- Removal of contaminated soil
- Temporary Diversion Channel for Combined Sewer Overflow (CSO)
- Installation of monitoring equipment in PATH tunnels
- Sheet Pile Cofferdam
- Extension of CSO by 1400 feet
- Relocation of water main and gas main
- Canal Closure Structure
- Fill the Canal
- Placement of surcharge overburden
- Monitoring of the settlement of the overburden

IOM Work Authorization Phase C will include IOM Services for the Long Slip Rail Enhancement Construction Contract (GC-02) described below. (IFB No. TBD)

This phase of the Project entails the enhancement of the Hoboken Rail Yard by constructing, on top of the former Long Slip canal, additional approach tracks and structures including six (6) new commuter tracks with three center-island platforms and a new passenger station with rail crew accommodations.

The work for this Contract generally consists of furnishing all labor, materials, equipment, tools and incidentals necessary to construct and complete the Project, including, but not limited to, the following:

- Mobilization
- Install soil erosion and sediment control measures
- Two (2) rail interlocking
- Rail improvements from two (2) tracks extending to six (6) tracks at new station
- Bridge Modification at Grove Street
- Proposed Bridge at Marin Boulevard
- Proposed rail viaduct from Marin Boulevard to the Long Slip fill section at proposed station.
- Electrified tracks (catenary structures)
- Proposed retaining Walls
- Three (3) center island station platforms to service six (6) new tracks
- Proposed Pedestal pit(s)
- New station and crew facility building
- Construction of proposed Site Utilities (drainage, sanitary sewer, water, gas and electric) to tie into the existing system
- Utilization of existing South Service Road and construction of North Service Road.

IOM Work Authorization Phase D will include the IOM Services for the applicable Construction Management Services contract for the Long Slip Fill and Rail Enhancement Project. The Construction Management Services Contract is described below. (NJ TRANSIT Contract No. 18-003)

Construction Management Services:

Construction Management services were requested during the design phase to minimize construction issues relating to the design, bid, and build project delivery during construction.

The requirements for the Construction Manager shall include, but are not limited to, the following:

- Constructability and staging reviews of Phase 2 Construction Contract at the completion and submittal of the 90% and 100% Design documents including Plans, Specifications, and Estimate.
- CM services during construction for compliance with the contract documents, federal, state, and local codes, rules and regulations.
- Regular inspections of all civil/structural, building, track, signal, catenary, utility, electrical, mechanical and associated work as specified in the contract documents.

- Critical Path Method (CPM) Schedule monitoring including all Construction Contractor and Force Account work.
- Creation of the CPM master schedule to include all the Construction Contractor's CPM and Force Account and utility services tasks.
- Document Control, storage and maintenance.
- Force Account and utility work Coordination.
- Analysis and processing of Construction Contractor invoices.
- Change Order administration.
- Systems commissioning, testing, start-up, training, and revenue service.
- Assistance to the Design Consultant in preparation of the project's final as-built drawings.
- Project closeout.

**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 2: Disaster Fraud Theft Reporting Form



OFFICE OF THE ATTORNEY GENERAL
STATE OF NEW JERSEY



Disaster Fraud/Theft Reporting Form

Reporting Agency:	Agency Case No.:	Reporting County:	Date:
Reporting Officer:	Badge No.:	Agency Telephone No.:	Department ORI: (if applicable)
Nature of Crime/Incident:	Crime Date:	Amount of Theft/Fraud:	Have Charges been Filed? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Pending

VICTIM / COMPLAINANT SECTION

Victim / Complainant:	D.O.B.:	Cellular Telephone No.:	
Current Address:	Home Telephone No.:		
Municipality:	County:	State:	Zip Code:
Address of Incident: (if different from the current address)			
Municipality:	County:	State:	Zip Code:
Insurance Company Involved: (if applicable)		Policy No.:	
Insurance Company Address:		Telephone No.:	

DEFENDANT / SUSPECT SECTION

(attach additional defendants if applicable or forward department incident report with this form)

Defendant's Name:		D.O.B.:	Telephone No.:		
Address:		Municipality:	County:	State:	Zip Code:
Vehicle Year:	Make:	Model:	Color:	Type:	Registration No. & State:
Business/Company Representing: (if applicable)			Telephone No.:	NJ Contractor License No. (plumbing, electrical etc.):	
Business Address:			Web-Site / E-Mail of business:		
Check ALL that apply: <input type="checkbox"/> Arrested <input type="checkbox"/> Complaints Filed <input type="checkbox"/> Under Investigation <input type="checkbox"/> Contacted by Police <input type="checkbox"/> Only Reported to Police / NJ Division of Consumer Affairs					

NARRATIVE SECTION

(provide a brief narrative of the incident)

E-MAIL COMPLETED FORMS TO SANDYFRAUD@NJDCJ.ORG

**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 3: Quarterly Report Template

State of New Jersey
Department of Treasury
Integrity Oversight Monitoring Reporting Model
For Quarter Ending: xx/xx/2016

Reports required under A-60 will be submitted by Integrity Oversight Monitors on the first business day of each calendar quarter to the State Treasurer and will contain detailed information on the projects/contracts/programs funded by the Disaster Relief Appropriations Act.

No. Recipient Data Elements		Response	Comments
A. General Info			
1.	Recipient of funding		
2.	Federal Funding Agency? (e.g. HUD, FEMA)		
3.	State Funding (if applicable)		
4.	Award Type		
5.	Award Amount		
6.	Contract/Program Person/Title		
7.	Brief Description, Purpose and Rationale of Project/Program		
8.	Contract/Program Location		
9.	Amount Expended to Date		
10.	Amount Provided to other State or Local Entities		
11.	Completion Status of Contract or Program		
12.	Expected Contract End Date/Time Period		
B. Monitoring Activities			
13.	If FEMA funded, brief description of the status of the project worksheet and its support.		
14.	Quarterly Activities/Project Description (include number of visits to meet with recipient and sub recipient, including who you met with, and any site visits warranted to where work was completed)		

State of New Jersey
Department of Treasury
Integrity Oversight Monitoring Reporting Model
For Quarter Ending: xx/xx/2016

Reports required under A-60 will be submitted by Integrity Oversight Monitors on the first business day of each calendar quarter to the State Treasurer and will contain detailed information on the projects/contracts/programs funded by the Disaster Relief Appropriations Act.

No. Recipient Data Elements	Response	Comments
15. Brief Description to confirm appropriate data/information has been provided by recipient and what activities have been taken to review in relation to the project/contract/program.		
16. Description of quarterly auditing activities that have been conducted to ensure procurement compliance with terms and conditions of the contracts and agreements.		
17. Have payment requisitions in connection with the contract/program been reviewed? Please describe		
18. Description of quarterly activity to prevent and detect waste, fraud and abuse.		
19. Provide details of any integrity issues/findings		

State of New Jersey
 Department of Treasury
 Integrity Oversight Monitoring Reporting Model
 For Quarter Ending: xx/xx/2016

Reports required under A-60 will be submitted by Integrity Oversight Monitors on the first business day of each calendar quarter to the State Treasurer and will contain detailed information on the projects/contracts/programs funded by the Disaster Relief Appropriations Act.

No. Recipient Data Elements	Response	Comments
20. Provide details of any work quality or safety/environmental/historical preservation issue(s).		
21. Provide details on any other items of note that have occurred in the past quarter		
22. Provide details of any actions taken to remediate waste, fraud and abuse noted in past quarters		
C. Miscellaneous		
23. Attach a list of hours and expenses incurred to perform your quarterly integrity monitoring review		
24 Add any item, issue or comment not covered in previous sections but deemed pertinent to monitoring program.		

Name of Integrity Monitor:
 Name of Report Preparer:
 Signature:
 Date:

**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 4: Question Submittal Template

NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services

Long Slip Project

Questions or Request for Clarification

FIRM NAME: _____

[illegible]

**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 5: Cost Proposal Format

NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services
Attachment 5 - Cost Proposal Format

(PRIME)

	Staffing Category	Partner/Principal/ Director	Program Manager/Project Manager	Subject Matter Expert	Supervisor/ Senior Consultant	Consultant Associate/ Staff	Administrative Support	Totals
Fill in Work plan Risk Categories as Appropriate	Hourly Billing Rate (\$)							
Fraud Risk Assessment	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Grant Management (Where applicable)	Hours	-		-				-
	Amount (\$)	-	-	-	-	-	-	-
Disbursement/ Invoicing	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Procurement	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Task Order Contractors (Where applicable)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Subcontractors	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Disadvantaged Business Enterprises (Fraud)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Change Orders	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Claims Management	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Fieldwork Construction (Where applicable)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Construction Assistance (Design Only)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Project-wide Activities	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
PRIME Total Hours		-	-	-	-	-	-	-
PRIME Total Travel Cost								
PRIME Total \$ Amount		-	-	-	-	-	-	-

NJ TRANSIT Contract No. 14-033

Integrity Oversight Monitoring Services

Attachment 5 - Cost Proposal Format

SUBCONSULTANT (ADD A SEPARATE SECTION FOR EACH SUBCONSULTANT ON THE TEAM AS NEEDED)

	Staffing Category	Partner/Principal/ Director	Program Manager/Project Manager	Subject Matter Expert	Supervisor/ Senior Consultant	Consultant Associate/ Staff	Administrative Support	Totals
Fill in Work plan Risk Categories as Appropriate	Hourly Billing Rate (\$)							
Fraud Risk Assessment	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Grant Management (Where applicable)	Hours	-	-	-	-	-	-	-
	Amount (\$)	-	-	-	-	-	-	-
Disbursement/ Invoicing	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Procurement	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Task Order Contractors (Where applicable)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Subcontractors	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Disadvantaged Business Enterprises (Fraud)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Change Orders	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Claims Management	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Fieldwork Construction (Where applicable)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Construction Assistance (Design Only)	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Project-wide Activities	Hours							-
	Amount (\$)	-	-	-	-	-	-	-
Subconsultant Total Hours		-	-	-	-	-	-	-
Subconsultant Travel Cost								
Subconsultant Total \$ Amount		-	-	-	-	-	-	-
TEAM TOTALS (HOURS) (PRIME + Subconsultant)								
TEAM TOTALS (COST) (PRIME + Subconsultant)								

**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 6: DBE Forms

REQUIRED FORMS

ENCLOSED FOR COMPLETION (MANDATORY):

- **Form A; A1; A2; B; D & Trucking Commitment Schedule**

TO BE OBTAINED AND SUBMITTED (MANDATORY):

- **Copy of a valid NJUCP DBE Certificate (Provided by 1st Tier DBEs.)**

Consult DBE Program Requirements for further guidance.

NJIT Contract No:

Contract Value (\$):

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 (%)
			%
			%
			%
			%
			%
			%
For DBE suppliers, show original subcontract value multiplied by 60% (\$2,000*60%=\$1200). For DBE portion of work, subtract Non-DBE portion of work from original subcontract value.	TOTALS	\$	%

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.

Authorized Signature: _____

Print Name: _____

Title: _____

Prime Contractor's DBE Liaison Officer:

Date Signed: _____

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM A1

NJT Contract No: _____ Project Title: _____
 Prime Contractor: _____ Telephone #: _____
 Date: _____

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

	Bidder/Proposer/Prime	Bidder/Proposer/Prime	Bidder/Proposer/Prime
Company's Full Name			
Address			
City			
Zip			
County			
Phone			
Fax			
E-mail			
Owner			
Date Established			
Date Certified			
Ethnicity			
Gender			
Certification Status: DBE or Non-DBE			
Federal Tax ID # / SSN #			
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			
Primary NAICS Code:			

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM A1

NJT Contract No: _____ Project Title: _____
 Prime Contractor: _____ Telephone #: _____
 Date: _____

Complete the information below for "all" subcontractors/subconsultants solicited for or participating on this project.

	Subcontractor/Subconsultant	Subcontractor/Subconsultant	Subcontractor/Subconsultant
Company's Full Name			
Address			
City			
Zip			
County			
Phone			
Fax			
E-mail			
Owner			
Date Established			
Date Certified			
Ethnicity			
Gender			
Certification Status: DBE or Non-DBE			
Federal Tax ID # / SSN #			
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			
Primary NAICS Code:			

NON-DBE SUBCONTRACTOR UTILIZATION - FORM A2

Directions: To be completed by any Bidder/Proposer/Prime for "all" subs including suppliers participating on this contract.

NJ Transit Contract No: _____ Date: _____ Prime Contract Value: _____

Bidder/Proposer Prime Name: _____ Project Title: _____

Name, Address and Telephone # of all Subcontractor/Subconsultants	FEIN #	Provide Detailed Scope of Work to be Performed	Dollar Amount of Subcontractor/Subconsultant Work (\$) Awarded	Percentage of Subcontract or Work (%)
			\$	%
			\$	%
			\$	%
			\$	%
			\$	%
Must provide a detailed scope of work; one-word descriptions are not acceptable.			\$	%
TOTALS			\$	%

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.

Name of Bidder/Proposer/Prime: _____

Name of DBE Firm: _____

Project/Contract Name: _____

IFB/RFP Contract Number: _____

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)).*

Dollar Value of DBE Subcontract: \$ _____

Total Quantity/Units (if applicable): _____ Per Unit Cost (if applicable): \$ _____

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: _____ DBE Contract Completion Date: _____

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.

Signature of 1st Tier DBE

Date

Title

Print Name

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.

ADDENDUM

FORM D INSTRUCTION SHEET
PRE AND POST AWARD GOOD FAITH EFFORT (IF APPLICABLE)

Required for all DBE subcontractors who decline to provide a quote.
Applies in pre and post-award.

Important

Bidder/proposer/prime compliance with contract goals and good faith efforts are handled as a matter of responsibility. If the bidder/proposer/prime did not meet the goal, they must document that they made Good Faith Efforts to do so. This requirement is an important and serious one. NJ Transit's Office of Business Diversity will make a fair and reasonable judgment as to whether the bidder made adequate Good Faith Efforts.

Bidders/proposers/primes are required to read the DBE Program Requirements and the guidelines/ instructions of all forms; and required to submit all forms in the Addendum (mandatory) and Supplemental Section (if applicable) with the bid/proposal or within seven (7) days after bid/proposal submission.

Guidelines to Bidder/Proposer/Prime:

- FORM D outlines actions that may be considered good faith efforts though it is not a mandatory checklist, nor is it intended to be exclusive or exhaustive. Please read DBE Program Requirements for further guidance.
- Bidder/Proposer/Prime must complete FORM D if and when it fails to meet the DBE goal.
- FORM D must be completed in this instance for any DBE firms which were solicited but declined to quote for the project.
- DBE firm must sign Page 2 of FORM D. If DBE declines to do so, submit completed form with bidder/proposer/prime signature only and the Office of Business Diversity will verify information with DBE.
- If/when the contract goal is not met, the fact that there may be some additional costs involved in finding and using DBEs is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Prime contractors are not, however, required to accept higher quotes from DBEs if the price difference is excessive or unreasonable.
 - In short, unless the price difference is excessive or unreasonable, incurring additional costs in using and finding a DBE is not sufficient reason to reject the DBE quote or not to meet the contract goal.

Instructions:

- On Page 1 of FORM D, indicate with a check mark the various types of detailed good faith efforts made and attach documentation of such efforts. Types of acceptable documentation are listed on Page 2.
- Document any other type of good faith efforts not listed on Page 1.
- Complete this form entirely.

Bidders/proposers/primes are to provide the required forms and instruction sheet, including the Supplemental section to their 1st Tier DBE subs. DBE sub-primes must provide required forms under Supplemental section to their 2nd Tier DBE/Non-DBE subs, if applicable. Please contact the compliance officer identified for this contract at the pre-bid/proposal conference for guidance on completing any of these forms.

DBE GOOD FAITH EFFORT- FORM D

IFB/RFP Number: _____

Project Title: _____

Bidder/Proposer/Prime Name: _____

Address: _____

Phone: _____ Email: _____

Date Signed: _____

The following is a list of the types of actions that may be considered good faith efforts. It is not intended to be a mandatory checklist, nor is it intended to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases, however please check all that apply in this instance. Please provide documentation for ALL instances selected.

- ☐ Selected portions of work to be performed by DBEs and, where appropriate, broke down contracts into economically feasible units to facilitate DBE participation.
- ☐ Provided interested DBE with adequate information about plans, specifications, and requirements of the contract.
- ☐ Negotiated in good faith with interested DBE, not rejecting DBEs as unqualified without sound reasons based on a thorough investigation of their capabilities.
- ☐ Made efforts to assist interested DBE in obtaining bonding, lines of credit, or insurance required by NJ Transit or Bidder.
- ☐ Made efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.
- ☐ Advertised subcontracting opportunities in appropriate media.
- ☐ Used the services of minority organizations, minority contractors' groups, local state and federal minority business assistance offices and other organizations that provide assistance identifying subcontractors.
- ☐ Provided written notice to DBEs in sufficient time to allow the DBE to respond. (Provide copy of documentation with Page 2.)
- ☐ Followed up initial solicitation of interest by contacting DBE to determine interest. (Provide proof of follow up with Page 2.)

Describe any other efforts not covered above that may indicate Good Faith Efforts to obtain DBE participation on this project and provide documentation.

SUPPLEMENTAL SECTION REQUIRED FORMS

ENCLOSED FOR COMPLETION (IF APPLICABLE):

- **Form AA; AA1; AA2; BB; & Trucking Commitment Schedule**

TO BE OBTAINED AND SUBMITTED (IF APPLICABLE):

- **Copy of a valid NJUCP DBE Certificate (Provided by 2nd Tier DBEs.)**

Consult DBE Program Requirements for further guidance.

SECOND TIER DBE UTILIZATION - FORM AA

Project Name: _____ NJT Contract No: _____

DBE Sub-Prime (First Tier) Subcontractor Contract Value (\$): _____

I plan to subcontract _____ % of my subcontract to Second Tier DBE subcontractor(s)/subconsultant(s) listed on the chart below to perform/supply the following:

Second Tier DBE subs must perform 100% of their scope of work.

Name, Address and Telephone # of Second Tier DBE Subcontractor/Subconsultant	Provide Detailed Scope of Work to be Performed	Dollar Value of Subcontractor/Subconsultant Work (\$) Awarded	Percentage of Subcontractor Work (%)
			%
			%
			%
Any First-Tier DBE firm listed on the Form A must identify any DBE firm it will use to perform its scope of work.	TOTALS	\$	%

The undersigned understands its approval to perform on the above contract is based upon its identified DBE team listed above and its Non-DBE team listed on the Form AA2. The DBE Sub-Prime must receive written approval from the Office of Business Development for any changes to its DBE and/or Non-DBE subcontractors, their dollar values or scope of work identified on the Form AA and/or AA2 before making any changes. It attests that the identified firms will perform all work. Failure to adhere to, or falsification of any information contained herein shall result in breach of contract and subject to corrective action to be determined by NJ TRANSIT.

DBE Sub-Prime Firm: _____ Authorized Signature: _____

Company Address: _____ Print Name: _____

_____ Title: _____

Federal Tax ID #: _____ Sub-Prime's DBE Liaison Officer: _____

Company Tel #: _____ Date Signed: _____

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM AA1

NJIT Contract No: _____

Project Title: _____

DBE Sub-Prime: _____

Telephone #: _____

Date: _____

Complete the information below for Second Tier contractor(s) participating on the project.

Subcontractor/Subconsultant	Subcontractor/Subconsultant	Subcontractor/Subconsultant
Company's Full Name		
Address		
City		
Zip		
County		
Phone		
Fax		
E-mail		
Owner		
Date Established		
Date Certified		
Ethnicity		
Gender		
Certification Status: DBE or Non-DBE		
Federal Tax ID # / SSN #		
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		
Primary NAICS Code:		

To Add Subs Use Additional Forms

NON-DBE SECOND TIER SUBCONTRACTOR UTILIZATION - FORM AA2

Directions: To be completed by any DBE Sub-Prime Contractor for "all" subs including suppliers participating on this contract.

NJ Transit Contract No: _____ Date: _____ DBE Sub-Prime Contract Value: \$ _____

DBE Sub-Prime Contractor Name: _____ Project Title: _____

Name, Address and Telephone # of all Second Tier Subcontractor(s)/Subconsultant(s)	FEIN #	Provide Detailed Scope of Work to be Performed	Dollar Amount of Subcontractor/Subconsultant Work (\$)	Percentage of Subcontractor Work (%)
			\$	%
			\$	%
			\$	%
			\$	%
			\$	%
Must provide a detailed scope of work; one-word descriptions are not acceptable.			\$	%
TOTALS			\$	%

INTENT TO PERFORM AS A SECOND TIER DBE - FORM BB

The Bidder 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 AA must complete all information on this form and must complete Form AA2 for any Non-DBE subcontractor performing a portion of its subcontract.

Name of First Tier DBE/Sub-Prime: _____

Name of Second Tier DBE Firm: _____

Project/Contract Name: _____

IFB/RFP Contract Number: _____

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

Will you subcontract any portion of your scope of work to a DBE(s)? Circle one. (Yes or No)

Will you subcontract any portion of your scope of work to a Non-DBE(s)? Circle one. (Yes or No)

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)).*

Dollar Value of DBE Subcontract: \$ _____

Total Quantity/Units (if applicable): _____ Per Unit Cost (if applicable): \$ _____

The undersigned based the above scope of work and subcontract value on detailed project specs received from the DBE Sub-Prime 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: _____ DBE Contract Completion Date: _____

The undersigned DBE will enter into a formal agreement for the above work with the DBE Sub-Prime conditioned upon execution of a contract with the Prime on the project. As a Second Tier DBE subcontractor, I will cooperate with the certification, compliance and monitoring process set forth by NJ TRANSIT. I attest that I will perform 100% of my subcontract with my own workforce for the referenced project.

Signature of Second Tier DBE _____

Date _____

Title _____

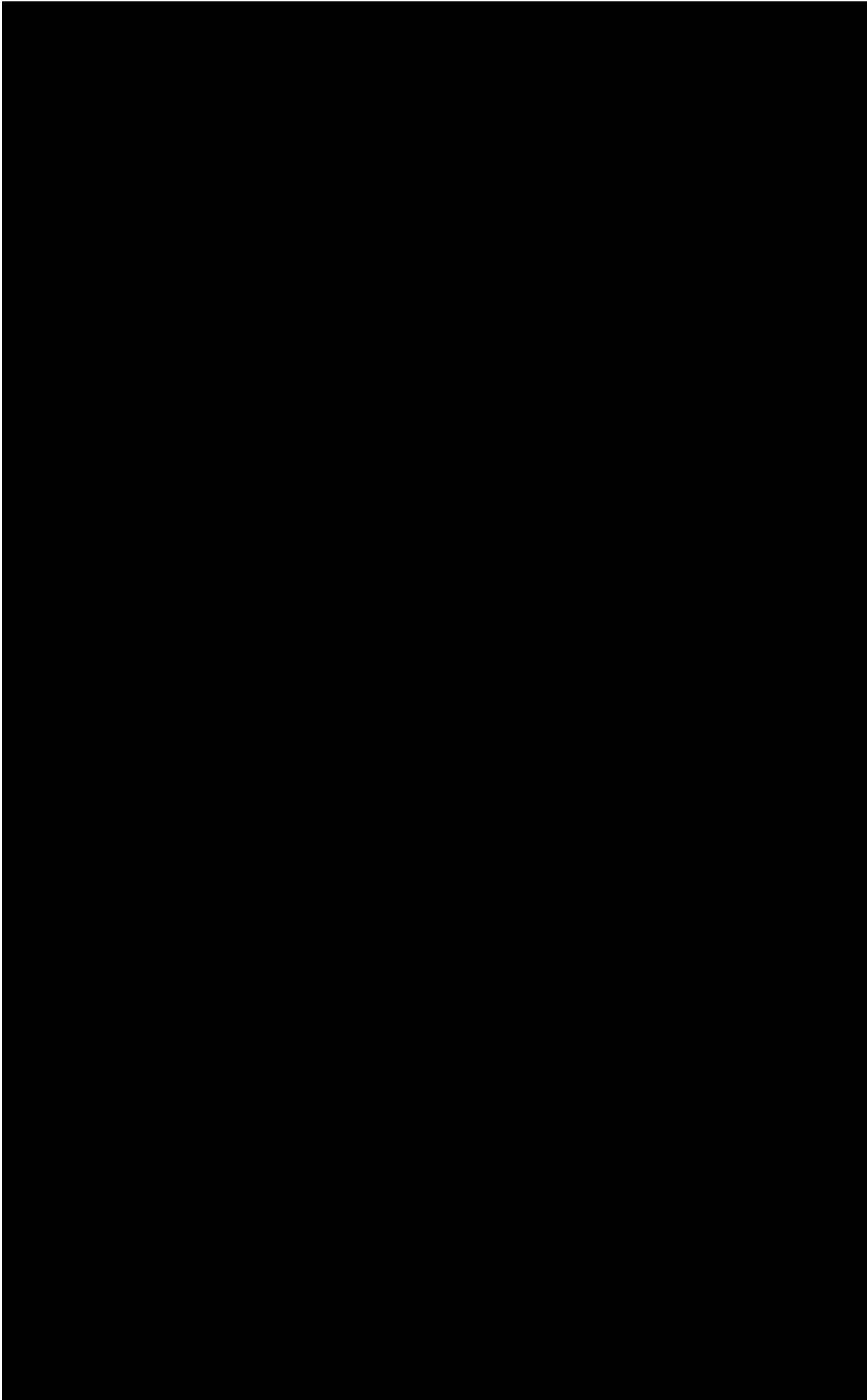
Print Name _____

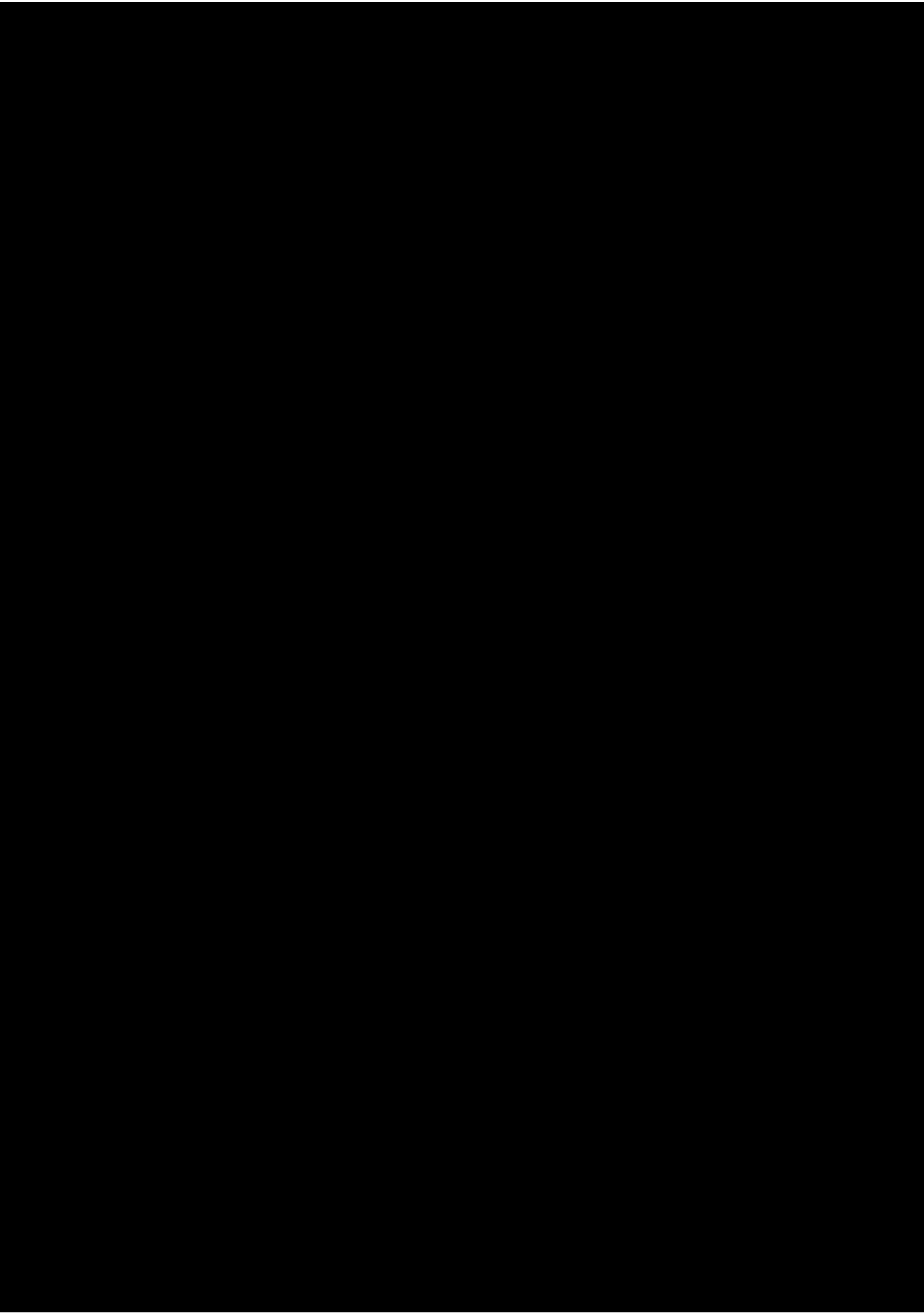
Telephone #: _____

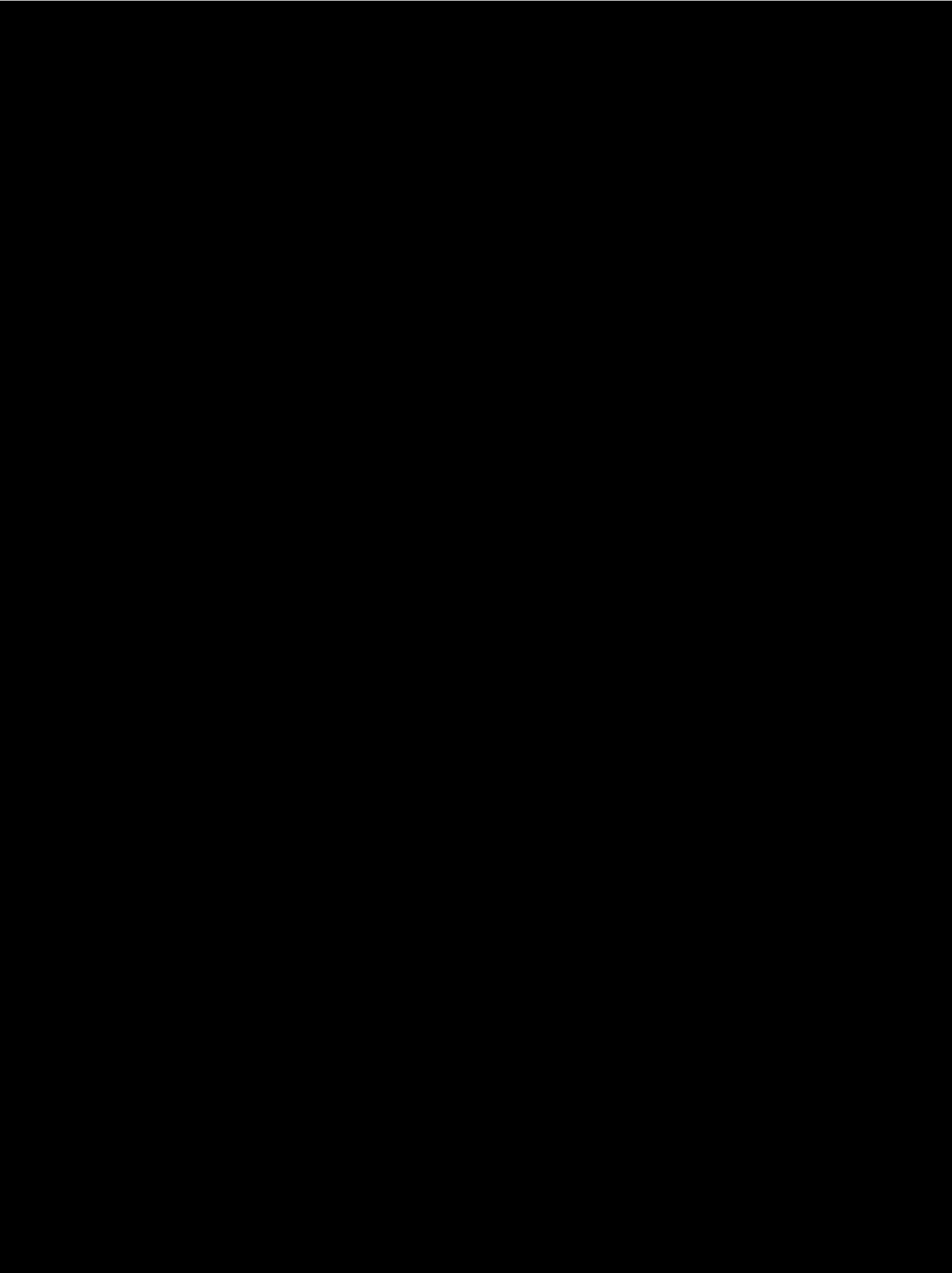
Failure to adhere to these instructions or the falsification of any information on this form shall result in breach of contract and subject to the appropriate penalties as determined by NJ TRANSIT.

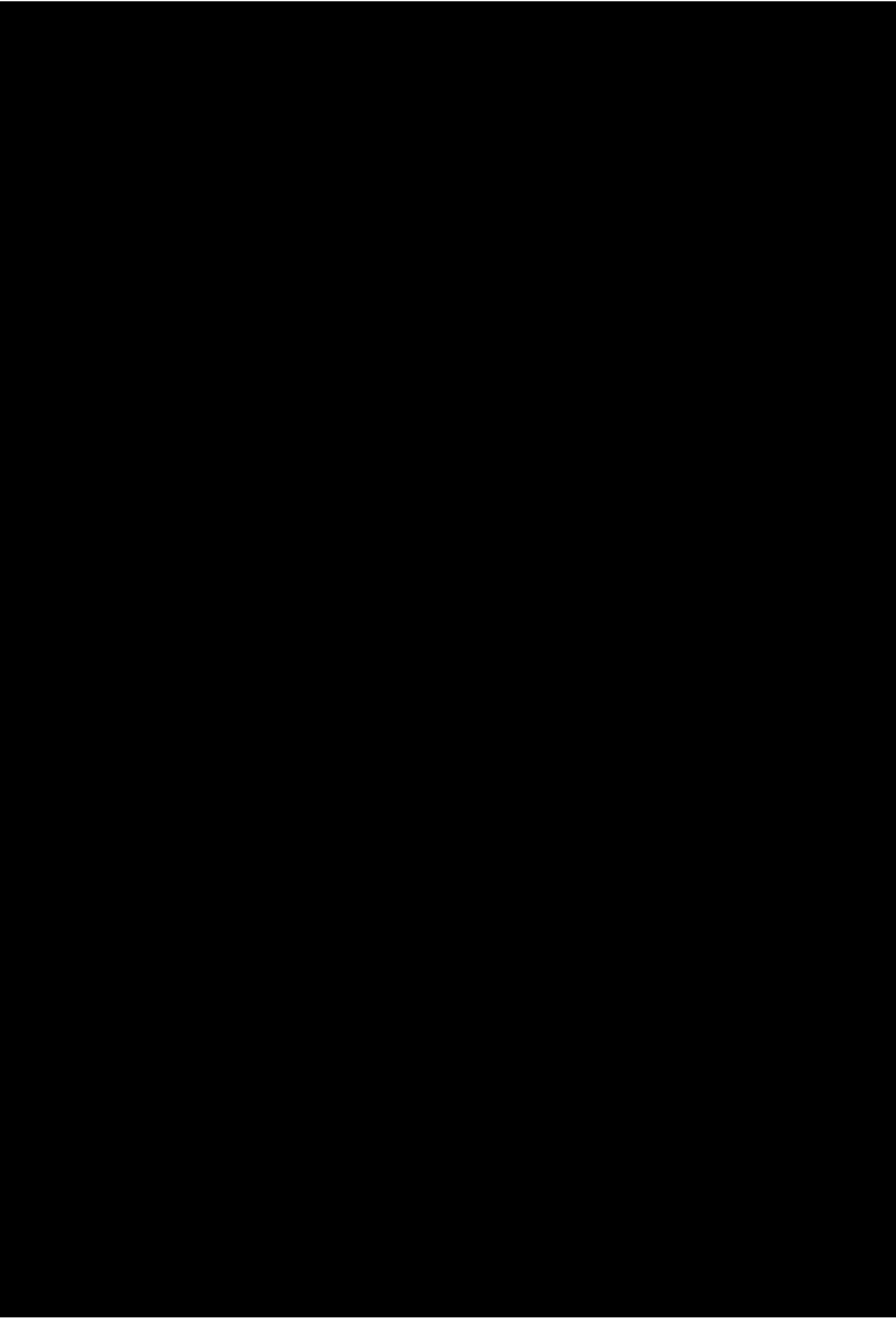
**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

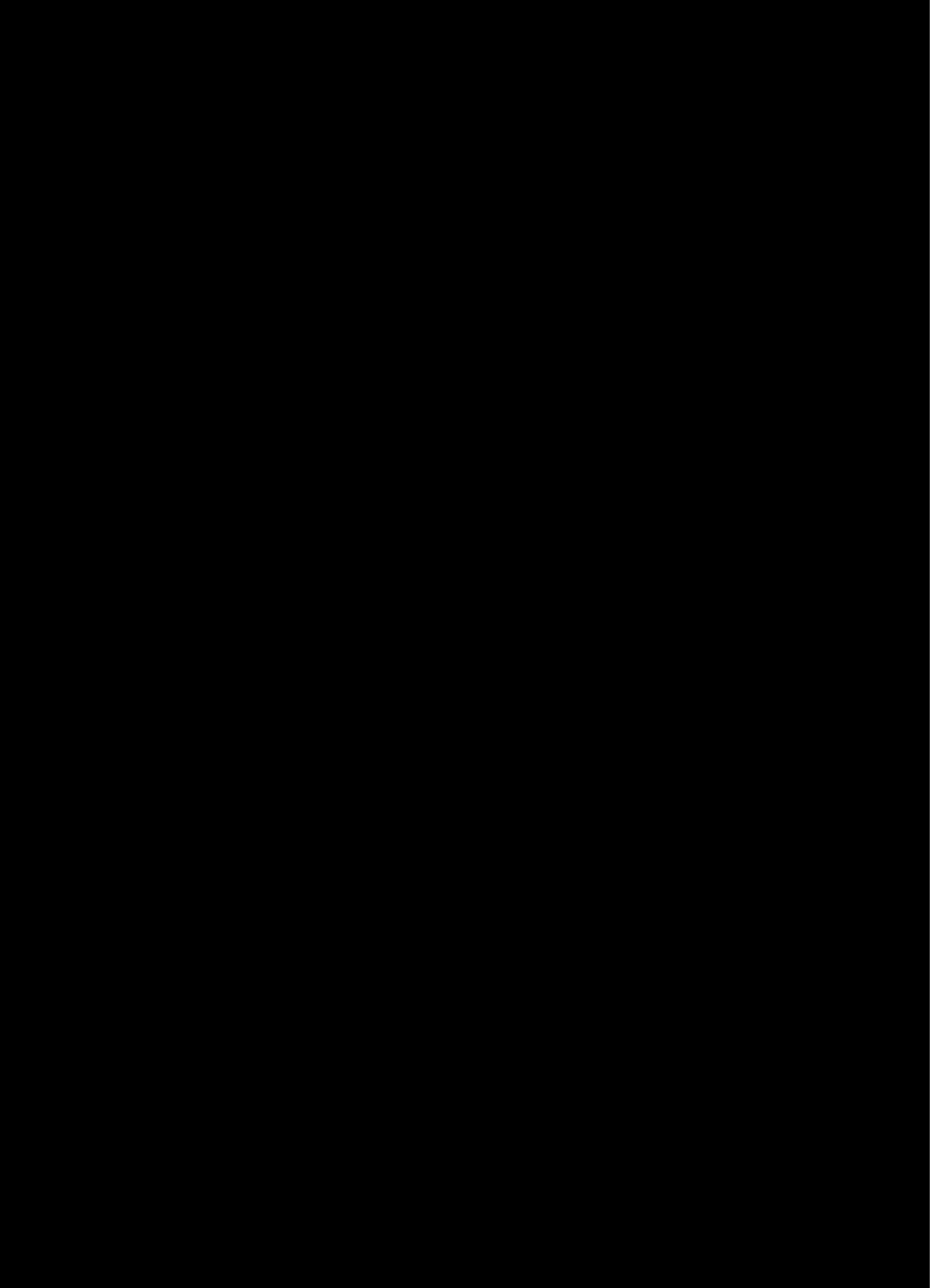
Attachment 7: Detailed Monitoring Work Plan Template











**NJ TRANSIT Contact No. 14-033
Integrity Oversight Monitoring Services
Work Authorization Request:
Superstorm Sandy Integrity Oversight Monitoring Services for Long Slip Fill and Rail
Enhancement Project**

Attachment 8: Conflict of Interest Certification

NJ TRANSIT CONTRACT NO. 14-033
INTEGRITY OVERSIGHT MONITORING (IOM) PROGRAM
CONFLICT OF INTEREST DISCLOSURE FORM

The IOM and each of its sub-consultants must certify by completing this form that neither it nor any of its affiliates or subsidiaries or sub-consultants is 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 any other involvement or activities to NJ TRANSIT or third-parties that could create a direct or indirect conflict with providing IOM services to NJ TRANSIT under its current IOM agreement either directly or as a member of a joint venture, partnership, or as a sub-consultant or subcontractor of any tier.

COMPLETE ALL QUESTIONS BELOW	YES	NO
1. Has any person or the firm previously performed or is currently performing any materials, services, or any other work for NJ TRANSIT? <i>(If yes, complete and attach a form containing the contract number, contract title, dates, the contact person, and brief description of the work.)</i>	_____	_____
2. Has any person or the firm previously performed or is currently performing any design, preparation, delivery or any other services for the Superstorm Sandy Program or Resilience Program at NJ TRANSIT? <i>(If yes, attach a detailed explanation for each instance.)</i>	_____	_____
3. Has any person or the firm previously performed or is currently performing any design, preparation, delivery or any other services for Superstorm Sandy or Resilience Program for contractors, firms, entities, corporations or any other parties? <i>(If yes, attach a detailed explanation for each instance.)</i>	_____	_____
4. Are there now any potential, anticipated, or actual conflict of interests between any person or the firm either directly or as a member of a joint venture, partnership or as a sub-consultant or subcontractor of any tier <i>(If yes, attach a detailed explanation for each instance.)</i>	_____	_____

CERTIFICATION: I, being duly sworn upon my oath, hereby represent and state that the foregoing information and any attachments thereto to the best of my knowledge are true and complete. I acknowledge that NJ TRANSIT is relying on the information contained herein and thereby acknowledge that I am under a continuing obligation from the date of this certification through the completion of any contracts with NJ TRANSIT to notify NJ TRANSIT in writing of any changes to the answers or information contained herein.

I, being duly authorized, certify that the information supplied above, including all attached pages, is complete and correct to the best of my knowledge. I certify that all of the foregoing statements made by me are true. I am aware that if any of the foregoing statements made by me are willfully false, that it will constitute a material breach of my agreement(s) with NJ TRANSIT and that NJ TRANSIT at its option, may declare any contract(s) resulting from this certification void and unenforceable.

COMPANY NAME: _____		_____ (Signature)
ADDRESS: _____	PRINT OR TYPE	_____ (Name)
_____		_____ (Title)
_____		_____ (Date)

August 7, 2019

ADDENDUM NO. 1

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

To Whom It May Concern:

Firms are hereby advised of the following clarifications, additions and/or revisions to the above-referenced Work Authorization Request:

I. GENERAL PROJECT INFORMATION

1. Work Authorization Request Schedule

Replace the dates provided in the cover letter and e-mail dated August 2, 2019 with the following:

1. Pre-Proposal Conference: Wednesday, August 14, 2019 at 2:00 p.m.
2. Questions Due: Wednesday, August 21, 2019 at 4:00 p.m.
3. Proposals Due: Friday, September 13, 2019 at 2:00 p.m.

FOR PROSPECTIVE PROPOSERS ONLY

Firms are required to acknowledge receipt of Addendum No. 1 by signing the enclosed "Acknowledgement of Receipt of Addenda" form and returning it to the undersigned with its proposal submittal.

Sincerely,



Taishida S. Chapman
Managing Contract Specialist
Contracts Unit/Division of Procurement
E-Mail: tchapman@njtransit.com

**NJ TRANSIT Contract No. 14-033
Work Authorization Request for
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

**ACKNOWLEDGMENT OF RECEIPT
OF ADDENDUM NO. 1**

Acknowledgement is hereby made of the receipt of Addendum No. 1, dated **August 7, 2019**, containing information for the above project.

This acknowledgement is made by the Proposer, if an individual; by a partner, if a partnership; or an officer of the corporation, if a corporation.

The undersigned acknowledges receipt of Addendum No. 1.

(Name of Firm)_____

(Signature)_____

(Title)_____

(Date)_____

September 11, 2019

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

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

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

Mr. Paul Ryan
Thacher Associates, LLC
845 Third Avenue, 13th Floor
New York, New York 10022
pryan@k2intelligence.com

ADDENDUM NO. 2

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

To Whom It May Concern:

Firms are hereby advised of the following clarifications, additions and/or revisions to the above-referenced Work Authorization Request:

I. GENERAL PROJECT INFORMATION

1. The due date for proposals has been extended to **2:00 p.m. Thursday October 31, 2019**
2. Namibia Muid will be the Contracting Officer for this IOM Work Authorization going forward. All communications regarding this Work Authorization shall be forwarded to her at the contact information below;

Namibia Muid
Senior Contract Specialist
(973) 491 – 8494
nmuid@njtransit.com

3. The responses for questions submitted by IOM firms will be provided in Addendum No. 3.

FOR PROSPECTIVE PROPOSERS ONLY

Firms are required to acknowledge receipt of Addendum No. 2 by signing the enclosed "Acknowledgement of Receipt of Addenda" form and returning it to the undersigned with its proposal submittal.

Sincerely,



Namibia Muid
Senior Contract Specialist
Contracts Unit/Division of Procurement
E-Mail: nmuid@njtransit.com

**NJ TRANSIT Contract No. 14-033
Work Authorization Request for
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

**ACKNOWLEDGMENT OF RECEIPT
OF ADDENDUM NO. 2**

Acknowledgement is hereby made of the receipt of Addendum No. 2, dated **September 11, 2019**, containing information for the above project.

This acknowledgement is made by the Proposer, if an individual; by a partner, if a partnership; or an officer of the corporation, if a corporation.

The undersigned acknowledges receipt of Addendum No. 2.

(Name of Firm)_____

(Signature)_____

(Title)_____

(Date)_____

October 11, 2019

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

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

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

Mr. Paul Ryan
Thacher Associates, LLC
845 Third Avenue, 13th Floor
New York, New York 10022
pryan@k2intelligence.com

ADDENDUM NO. 3

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

To Whom It May Concern:

Firms are hereby advised of the following clarifications, additions and/or revisions to the above-referenced Work Authorization Request:

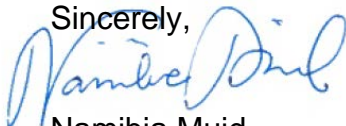
I. GENERAL PROJECT INFORMATION

1. The responses for questions submitted by IOM firms are attached hereto as Attachment A. Additional questions will be answered at a later date.

FOR PROSPECTIVE PROPOSERS ONLY

Firms are required to acknowledge receipt of Addendum No. 3 by signing the enclosed "Acknowledgement of Receipt of Addenda" form and returning it to the undersigned with its proposal submittal.

Sincerely,

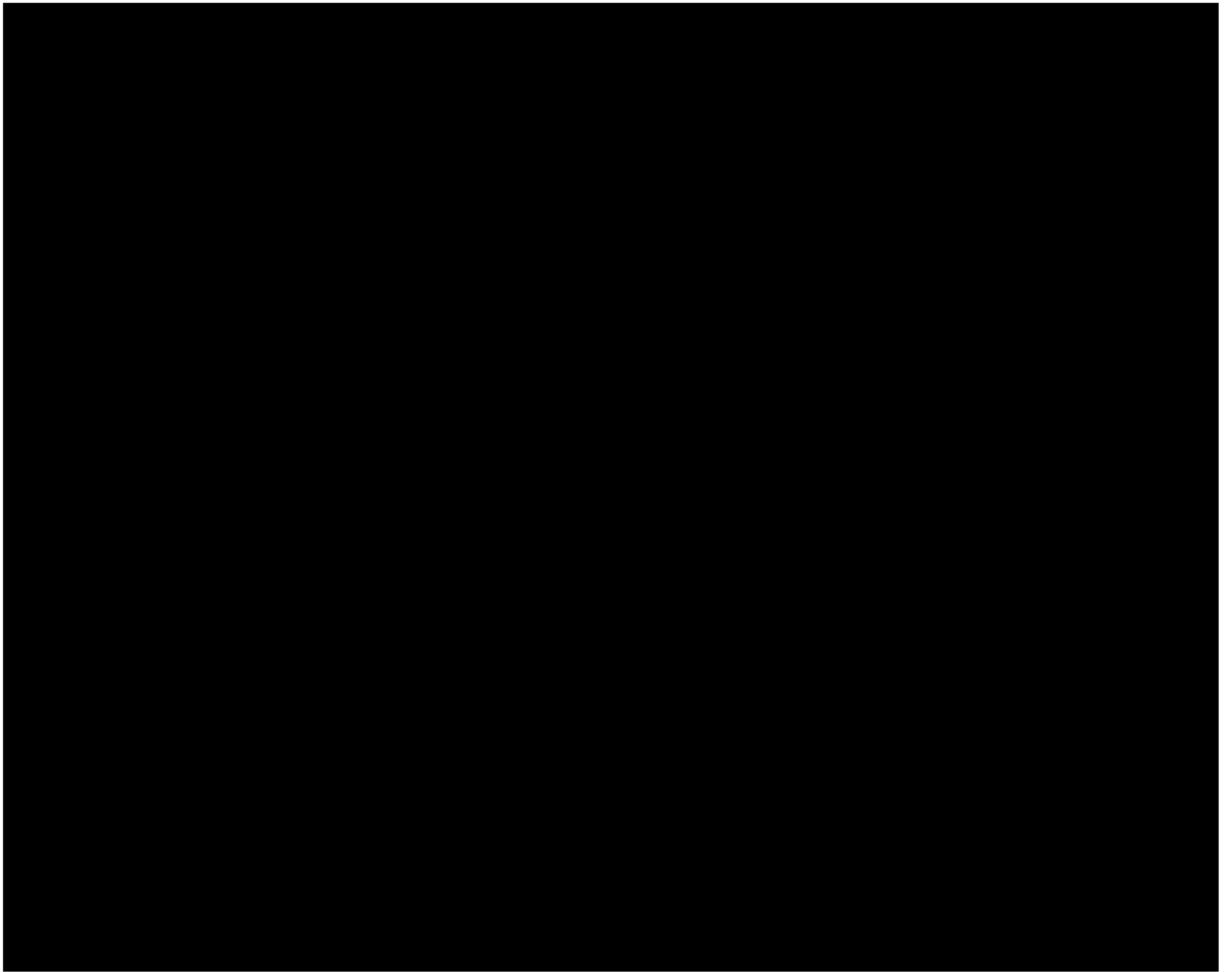


Namibia Muid
Senior Contract Specialist
Contracts Unit/Division of Procurement
E-Mail: nmuid@njtransit.com

**NJ TRANSIT CONTRACT NO. 14-033
INTEGRITY OVERSIGHT MONITORING SERVICES
WORK AUTHORIZATION REQUEST
LONG SLIP& RAIL ENHANCEMENT PROJECT**

ADDENDUM NO. 3

**ATTACHMENT A
QUESTIONS AND RESPONSES**



NJ TRANSIT Contract No. 14-033			
Integrity Oversight Monitoring Services			
IOM Services for the Long Slip Project			
Questions and/or Request for Clarification			
Page #	RFP Section	Question	NJ TRANSIT Response
		What is the anticipated start date for the IOM's monitoring of The Construction Management Services Contract?	
Attachment 1, pages 1-4	Attachment 1, Project Information	Is there a proposed project schedule? If so, can we obtain it?	
Attachment 1, pages 1-4	Attachment 1, Project Information	Is there a management flow chart regarding the relationships of the design team, the contractor(s) and the construction manager?	
Attachment 1, pages 1-4	Attachment 1, Project Information	Is there/ will there be a Project Labor Agreement for this project?	
Pages 2-4	C	Will there be site access restrictions applicable to the IOM staff?	
Pages 2-4	Section C	Will the IOM be responsible for monitoring safety practices?	
Page 7	F	What are the planned start dates for the IOM(s) on each phase?	
Page 7	F	If the planned duration of the work exceeds the stated September 2023 date for completion of IOM services, should we use the later date for our cost proposal? At the pre-proposal conference, it was said that the project would be completed in approximately 2025, and that the OIM's services should continue another 4 to 6 months, to monitor close-out and to prepare a final report. In light of this discussion, what time frame should we use for completion of IOM services?	
Page 9	J	For purposes of emailing an electronic copy of the technical and cost proposals to Ms. Taishida Chapman, may we send them all together in the same email?	
Page 10	Section J and Attachment 7	Please provide the form or template that you wish that we use in the technical proposal for showing the number of person-hours proposed for each task. The request for proposals did not contain a form or template for showing Fraud Risk Monitoring Hours.	
Page 10	Section J and Attachment 7	Are separate work plans required for each of the four Phases? Can they all be included in one technical proposal, or is it necessary to produce four separate technical proposals?	
Pages 11-12	J	Does NJ Transit have budget or person-hour estimates for the IOM work? If so, may we obtain that information?	
Pages 11-12	Section J and Attachment 5	Are separate cost proposals required for each of the four Phases? If so, are we supposed to submit copies of DBE forms and other attachments with each cost proposal?	
Pages 11-12	J	Are we allowed to mark up the cost of subcontractor time?	
Pages 11-12	J	Are we allowed to charge for travel time and costs to and from the work site, to and from offices or facilities of the Construction Manager, the Design Contractor, the General contractor(s), other subcontractors and vendors, and/or to and from the offices of NJ Transit?	
Pages 11-12	J	Will office work space near the construction site be made available to the IOM(s)?	
N/A	N/A	Please provide the value of the Phase A AECOM design contract and the value of the Phase D STV contract.	
1	B	Please provide the estimated duration and the start and end dates for work for each Phase of the project.	

NJ TRANSIT Contract No. 14-033			
Integrity Oversight Monitoring Services			
IOM Services for the Long Slip Project			
Questions and/or Request for Clarification			
Page #	RFP Section	Question	NJ TRANSIT Response
		Please provide the estimated start and end date for the IM services.	
2	C		
N/A	N/A	What are the anticipated labor hours expected for the construction related to each phase - Phase B and Phase C.	
N/A	N/A	How many workers do you estimate for the field work required for each phase - Phase B and Phase C.	
N/A	N/A	We noted the FTA grant award for the Long Slip project to be \$146,548,432 from the resiliency website. Is there any additional funding from other sources, and if so what is the value of it?	
Page 2 of 16	Task C	Is it LAD's intention to have the IOM firm perform background checks on all employees and subcontracted employees of the design, construction and construction management firms?	
Page 9 of 16	Proposal Content	Please confirm the information provided during the preproposal conference; for this work authorization NJT is seeking one (1) technical proposal, and (4) cost proposals (i.e. design, gc 1, gc 2 and construction management).	
Attachment 1	Project Information	Will the 2 GC contracts be procured as a lump sum / fixed price using NJT's computerized procurement process, or will the selection be qualification based and the work billed at cost plus fee?	
Attachment 1	Project Information	Is the STV contract for construction management services structured as a lump sum / fixed price, a not to exceed with a rate card, or other method (please explain).	
Attachment 1	Project Information	Can NJT confirm that no task order contracts will be in scope for this work authorization?	
11	J. Proposal Content	Please confirm that only one Cost Proposal (Attachment 5), including associated Forms A, A-1, A-2 and B, are required encompassing all four phases of the project scope.	
1	Attachment 1	Provide a breakdown of the cost associated with each phase of the Long Slip Project.	
	Attachment 7	Confirm that a separate Attachment 7 should be provided for each phase of the Long Slip Project.	
	Attachment 1	Please provide the contract form (fixed price, unit price, cost plus fixed fee, guaranteed maximum price) for each phase of the Long Slip Project.	

**NJ TRANSIT Contract No. 14-033
Work Authorization Request for
Integrity Oversight Monitoring Services for the
Long Slip Fill & Rail Enhancement Project**

**ACKNOWLEDGMENT OF RECEIPT
OF ADDENDUM NO. 3**

Acknowledgement is hereby made of the receipt of Addendum No. 3, dated **October 11, 2019**, containing information for the above project.

This acknowledgement is made by the Proposer, if an individual; by a partner, if a partnership; or an officer of the corporation, if a corporation.

The undersigned acknowledges receipt of Addendum No. 3.

(Name of Firm)_____

(Signature)_____

(Title)_____

(Date)_____

October 23, 2019

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

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

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

Mr. Paul Ryan
Thacher Associates, LLC
845 Third Avenue, 13th Floor
New York, New York 10022
pryan@k2intelligence.com

ADDENDUM NO. 4

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

To Whom It May Concern:

Firms are hereby advised of the following clarifications, additions and/or revisions to the above-referenced Work Authorization Request:

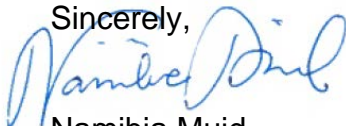
I. GENERAL PROJECT INFORMATION

1. The complete list of responses for questions submitted by IOM firms are attached hereto as Attachment A.

FOR PROSPECTIVE PROPOSERS ONLY

Firms are required to acknowledge receipt of Addendum No. 4 by signing the enclosed "Acknowledgement of Receipt of Addenda" form and returning it to the undersigned with its proposal submittal.

Sincerely,



Namibia Muid
Senior Contract Specialist
Contracts Unit/Division of Procurement
E-Mail: nmuid@njtransit.com

**NJ TRANSIT Contract No. 14-033
Work Authorization Request for
Integrity Oversight Monitoring Services for the
Long Slip Fill & Rail Enhancement Project**

**ACKNOWLEDGMENT OF RECEIPT
OF ADDENDUM NO. 4**

Acknowledgement is hereby made of the receipt of Addendum No. 4, dated **October 23, 2019**, containing information for the above project.

This acknowledgement is made by the Proposer, if an individual; by a partner, if a partnership; or an officer of the corporation, if a corporation.

The undersigned acknowledges receipt of Addendum No. 4.

(Name of Firm)_____

(Signature)_____

(Title)_____

(Date)_____

**NJ TRANSIT CONTRACT NO. 14-033
INTEGRITY OVERSIGHT MONITORING SERVICES
WORK AUTHORIZATION REQUEST
LONG SLIP& RAIL ENHANCEMENT PROJECT**

ADDENDUM NO. 4

**ATTACHMENT A
QUESTIONS AND RESPONSES**

14-033
IOM Services for the Long Slip Project

NJ TRANSIT Contract No. 14-033			
Integrity Oversight Monitoring Services			
IOM Services for the Long Slip Project			
Questions and/or Request for Clarification			
Page #	RFP Section	Question	NJ TRANSIT RESPONSES
Attachment 1, pages 1-2	Attachment 1, Project Information - With respect to Phase A, the Design Contract:	What is the actual/ planned/ approximate start date and duration?	
		What is the actual/ planned/ approximate contract value?	
		Is there a Prevailing Wage requirement applicable to the Design Contract? What actual/ planned/ approximate portion, if any, of the Design Contract is to be performed by trade labor? What is the value of that work?	
		Is there a DBE goal applicable to the Design Contract? (13-001C & 16-006) If so, what is the DBE goal?	
		Are Buy America or Buy American requirements applicable to the Design Contract?	
		What is the anticipated start date for the IOM's monitoring of the Design Contract?	
		We understand from the pre-proposal conference that Design Phase 1 is complete. Please confirm that is the case, and if so, what is the value of the work completed?	
Attachment 1, page 2	Attachment 1, Project Information -With respect to Phase B, Construction Contract GC-01:	What is the actual/ planned/ approximate start date and duration?	
		What is the actual/ planned/ approximate contract value?	
		Is there a Prevailing Wage requirement applicable to the Construction Contract GC-01? What actual/ planned/ approximate portion, if any, of the Construction Contract GC-01 is to be performed by trade labor? What is the value of that work?	
		Will the work take place during day-time hours on weekdays? If a portion of the work is planned for evenings, weekends and holidays, what is the value of that work?	
		Is there a DBE goal applicable to Construction Contract GC-01? (18-035X) If so, what is the DBE goal?	
		Are Buy America or Buy American requirements applicable to Construction Contract GC-01?	

ADVISORY, CONSULTATIVE, DELIBERATIVE

14-033
IOM Services for the Long Slip Project

NJ TRANSIT Contract No. 14-033		
Integrity Oversight Monitoring Services		
IOM Services for the Long Slip Project		
Questions and/or Request for Clarification		
Page #	RFP Section	Question
		What is the anticipated start date for the IOM's monitoring of the Construction Contract GC-01?
Attachment 1, page 3	Attachment 1, Project Information With respect to Phase C, Construction Contract GC-02:	What is the actual/ planned/ approximate start date and duration?
		Is there any anticipated delay between the completion of work on Construction Contract GC-01 and the start of work on Construction Contract GC-02? If so, what is the anticipated period of delay?
		What is the actual/ planned/ approximate contract value?
		Is there a Prevailing Wage requirement applicable to the Construction Contract GC-02? What actual/ planned/ approximate portion, if any, of the Construction Contract GC-02 is to be performed by trade labor? What is the value of that work?
		Will the work take place during day-time hours on weekdays? If a portion of the work is planned for evenings, weekends and holidays, what is the value of that work?
		Is there a DBE goal applicable to Construction Contract GC-02? If so, what is the DBE goal?
		Are Buy America or Buy American requirements applicable to Construction Contract GC-02?
		What is the anticipated start date for the IOM's monitoring of the Construction Contract GC-02?
Attachment 1, pages 3-4	Attachment 1, Project Information - With respect to Phase D, The Construction Management Services Contract:	What is the actual/ planned/ approximate start date and duration?
		What is the actual/ planned/ approximate contract value?

ADVISORY, CONSULTATIVE, DELIBERATIVE

14-033
IOM Services for the Long Slip Project

NJ TRANSIT Contract No. 14-033		
Integrity Oversight Monitoring Services		
IOM Services for the Long Slip Project		
Questions and/or Request for Clarification		
Page #	RFP Section	Question
		Is there a Prevailing Wage requirement applicable to The Construction Management Services Contract? What actual/ planned/ approximate portion, if any, of The Construction Management Services Contract is to be performed by trade labor? What is the value of that work?
		Is there a DBE goal applicable to The Construction Management Services Contract? (18-003) If so, what is the DBE goal?
		Are Buy America or Buy American requirements applicable to The Construction Management Services Contract?
		What is the anticipated start date for the IOM's monitoring of The Construction Management Services Contract?
Attachment 1, pages 1-4	Attachment 1, Project Information	Is there a proposed project schedule? If so, can we obtain it?
Attachment 1, pages 1-4	Attachment 1, Project Information	Is there a management flow chart regarding the relationships of the design team, the contractor(s) and the construction manager?
Attachment 1, pages 1-4	Attachment 1, Project Information	Is there/ will there be a Project Labor Agreement for this project?
Pages 2-4	C	Will there be site access restrictions applicable to the IOM staff?
Pages 2-4	Section C	Will the IOM be responsible for monitoring safety practices?
Page 6	E	In order to meet and satisfy the "Race Conscious DBE goal," may we use any DBE listed in the NJ Unified Certification Program?
Page 7	F	What are the planned start dates for the IOM(s) on each phase?
Page 7	F	If the planned duration of the work exceeds the stated September 2023 date for completion of IOM services, should we use the later date for our cost proposal? At the pre-proposal conference, it was said that the project would be completed in approximately 2025, and that the OIM's services should continue another 4 to 6 months, to monitor close-out and to prepare a final report. In light of this discussion, what time frame should we use for completion of IOM services?

ADVISORY, CONSULTATIVE, DELIBERATIVE

14-033
IOM Services for the Long Slip Project

NJ TRANSIT Contract No. 14-033			
Integrity Oversight Monitoring Services			
IOM Services for the Long Slip Project			
Questions and/or Request for Clarification			
Page #	RFP Section	Question	NJ TRANSIT RESPONSES
Page 9	J	For purposes of emailing an electronic copy of the technical and cost proposals to Ms. Taishida Chapman, may we send them all together in the same email?	
Page 10	Section J and Attachment 7	Please provide the form or template that you wish that we use in the technical proposal for showing the number of person-hours proposed for each task. The request for proposals did not contain a form or template for showing Fraud Risk Monitoring Hours.	
Page 10	Section J and Attachment 7	Are separate work plans required for each of the four Phases? Can they all be included in one technical proposal, or is it necessary to produce four separate technical proposals?	
Pages 11-12	J	Does NJ Transit have budget or person-hour estimates for the IOM work? If so, may we obtain that information?	
Pages 11-12	Section J and Attachment 5	Are separate cost proposals required for each of the four Phases? If so, are we supposed to submit copies of DBE forms and other attachments with each cost proposal?	
Pages 11-12	J	Are we allowed to mark up the cost of subcontractor time?	
Pages 11-12	J	Are we allowed to charge for travel time and costs to and from the work site, to and from offices or facilities of the Construction Manager, the Design Contractor, the General contractor(s), other subcontractors and vendors, and/or to and from the offices of NJ Transit?	
Pages 11-12	J	Will office work space near the construction site be made available to the IOM(s)?	
N/A	N/A	Please provide the value of the Phase A AECOM design contract and the value of the Phase D STV contract.	
1	B	Please provide the estimated duration and the start and end dates for work for each Phase of the project.	

ADVISORY, CONSULTATIVE, DELIBERATIVE

14-033
IOM Services for the Long Slip Project

NJ TRANSIT Contract No. 14-033			
Integrity Oversight Monitoring Services			
IOM Services for the Long Slip Project			
Questions and/or Request for Clarification			
Page #	RFP Section	Question	NJ TRANSIT RESPONSES
2	C	Please provide the estimated start and end date for the IM services.	
N/A	N/A	What are the anticipated labor hours expected for the construction related to each phase - Phase B and Phase C.	
N/A	N/A	How many workers do you estimate for the field work required for each phase - Phase B and Phase C.	
N/A	N/A	We noted the FTA grant award for the Long Slip project to be \$146,548,432 from the resiliency website. Is there any additional funding from other sources, and if so what is the value of it?	
Page 2 of 16	Task C	Is it IAD's intention to have the IOM firm perform background checks on all employees and subcontracted employees of the design, construction and construction management firms?	
Page 9 of 16	Proposal Content	Please confirm the information provided during the preproposal conference; for this work authorization NJT is seeking one (1) technical proposal, and (4) cost proposals (i.e. design, gc 1, gc 2 and construction management).	
Attachment 1	Project Information	Will the 2 GC contracts be procured as a lump sum / fixed price using NJT's computerized procurement process, or will the selection be qualification based and the work billed at cost plus fee?	
Attachment 1	Project Information	Is the STV contract for construction management services structured as a lump sum / fixed price, a not to exceed with a rate card, or other method (please explain).	
Attachment 1	Project Information	Can NJT confirm that no task order contracts will be in scope for this work authorization?	

ADVISORY, CONSULTATIVE, DELIBERATIVE

14-033
IOM Services for the Long Slip Project

NJ TRANSIT Contract No. 14-033			
Integrity Oversight Monitoring Services			
IOM Services for the Long Slip Project			
Questions and/or Request for Clarification			
Page #	RFP Section	Question	NJ TRANSIT RESPONSE
11	J. Proposal Content	Please confirm that only one Cost Proposal (Attachment 5), including associated Forms A, A-1, A-2 and B, are required encompassing all four phases of the project scope.	
1	Attachment 1	Provide a breakdown of the cost associated with each phase of the Long Slip Project.	
	Attachment 7	Confirm that a separate Attachment 7 should be provided for each phase of the Long Slip Project.	
	Attachment 1	Please provide the contract form (fixed price, unit price, cost plus fixed fee, guaranteed maximum price) for each phase of the Long Slip Project.	

ADVISORY, CONSULTATIVE, DELIBERATIVE

November 6, 2019

ADDENDUM NO. 5

**Re: NJ TRANSIT Contract No. 14-033
Integrity Oversight Monitoring Services for
the Long Slip Fill & Rail Enhancement Project**

To Whom It May Concern:

Firms are hereby advised of the following clarifications, additions and/or revisions to the above-referenced Work Authorization Request:

I. GENERAL PROJECT INFORMATION

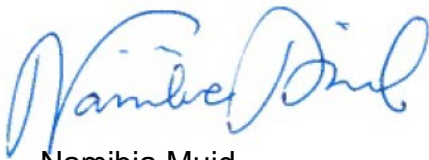
1. Close Out Report

Please be advised that the attached document is the template to be used by the IOM firm when submitting its Close out Report and/or Interim Report(s) as referenced in the RFP, specifically Section D, Deliverables, Paragraph B., Required Reports and Documents, Subparagraph 7, Close out Report.

FOR PROSPECTIVE PROPOSERS ONLY

Firms are required to acknowledge receipt of Addendum No. 5 by signing the enclosed "Acknowledgement of Receipt of Addenda" form and returning it to the undersigned with its proposal submittal.

Sincerely,



Namibia Muid
Senior Contract Specialist
Contracts Unit/Division of Procurement
E-Mail: nmuid@njtransit.com

**NJ TRANSIT Contract No. 14-033
Work Authorization Request for
Integrity Oversight Monitoring Services for the
the Long Slip Fill & Rail Enhancement Project**

**ACKNOWLEDGMENT OF RECEIPT
OF ADDENDUM NO. 5**

Acknowledgement is hereby made of the receipt of Addendum No. 5, dated **November 6, 2019**, containing information for the above project.

This acknowledgement is made by the Proposer, if an individual; by a partner, if a partnership; or an officer of the corporation, if a corporation.

The undersigned acknowledges receipt of Addendum No. 5.

(Name of Firm)_____

(Signature)_____

(Title)_____

(Date)_____

NJ TRANSIT Contract No. 14-033

**Work Authorization Request:
Integrity Oversight Monitoring Services for the Long Slip Fill &
Rail Enhancement Project**

Addenda No. 5

Attachment - Close Out Report Template

NOTE: Cover page of report should be on IOM firm's letterhead.

INTEGRITY OVERSIGHT MONITOR'S CLOSE OUT (OR INTERIM) REPORT

IOM Firm Name: _____

NJT Contract No: _____

Project Name: _____

In addition to other reporting requirements, prior to the expiration of the Integrity Oversight Monitor's Work Authorization (WA), or on an interim basis as necessary for longer-term engagements, the Integrity Oversight Monitor (IOM) firm shall submit to the NJ Transit Internal Audit Department (IA) a summary report of:

- audit findings,
- observations, and
- process recommendations and/or best practice recommendations 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 IA three (3) weeks after 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 IOM and IA.

Report Type: **Close-Out** _____

Interim _____

Report Date: _____

Prepared and Submitted by:

Name and Title

NJT Distribution:

ADVISORY, CONSULTATIVE & DELIBERATIVE

Close-Out/Interim Report for: Project Name
Submitted by: Firm Name

TABLE OF CONTENTS

I. EXECUTIVE SUMMARY	2
II. DETAILED REPORT: INTEGRITY OVERSIGHT MONITORING SERVICES – FINDINGS AND/OR OBSERVATIONS	4
III. DETAILED REPORT: PROCESS AND/OR BEST PRACTICE RECOMMENDATIONS	6

Close-Out/Interim Report for: Project Name
Submitted by: Firm Name

I. EXECUTIVE SUMMARY

Purpose

- Brief statement regarding the federal and state requirements requiring integrity oversight monitoring services.

Background

Suggested content:

- Date NJT advised IOM firm it had been awarded the contract
- Effective date and dollar amount of Limited Notice to Proceed (where applicable)
- Effective date and expiration date of Work Authorization (include all revisions to original Work Authorization, including extensions of time, adding scope, increasing value of the of Work Authorization)
- The value and descriptions of the Contracts that were monitored by IOM under this engagement.
- Funding source(s) and funding amounts of the project(s) that were monitored.

Scope

- Brief description of:
 - fraud risk assessment categories that were addressed in the IOM's workplan;
 - the type of monitoring activities performed; and
 - if applicable, DBE Compliance Monitoring performed.
- Statement whether this is an interim report (for a longer-term IOM project) or whether this is a close-out report at the end of the engagement.

Conclusion

- Begin with a statement that whether there were findings of fraud, waste, or abuse. If no, please state as such. If there were findings of fraud, waste, or abuse, please provide an explanation of the finding as well as when and to whom the findings were reported. (Reminder: if there is a finding of a likely criminal violation or lesser degree of any malfeasance, inefficiency, waste, fraud, abuse or mismanagement of funds, the IOM must immediately report its written findings to the New Jersey Office of the State Comptroller and the New Jersey Attorney General's Office with a copy to NJ Transit Auditor General

Close-Out/Interim Report for: Project Name
Submitted by: Firm Name

consistent with the requirements of N.J.S.A. 52:15D-2.) If the IOM firm is aware of how a fraud, waste, or abuse issue was resolved, please explain.

- Provide a summary of:
 - the audit findings,
 - observations, and
 - process recommendations and/or best practice recommendations for NJ Transit's review and consideration. Observations and recommendations should also be made in the Detailed section of the close-out or interim report. Indicate whether the Observations are operational, financial, compliance and/or technology-related.

II. DETAILED REPORT: INTEGRITY OVERSIGHT MONITORING SERVICES – FINDINGS AND/OR OBSERVATIONS

A. Issue Statement (statement of issue identified)

Finding 1:

Describe observation including specifics of findings identified.

Fraud Risk Category and Risk Description:

Specify the Fraud Risk Assessment Category of the workplan procedures that led to this observation.

Recommendation 1: (state type of Recommendation, e.g. operational, compliance, financial, information technology)

Recommendations should be based on strengthening internal controls and/or implementing industry best practices as appropriate.

Corrective Action Taken (if applicable)

Report actions taken by NJT during the engagement in response to observations relayed to NJT during the engagement.

(Repeat above categories for each Observation under Issue A)

Close-Out/Interim Report for: Project Name
Submitted by: Firm Name

B. Issue Statement for Observation (statement of issue identified)

Observation 1:

Fraud Risk Category and Risk Description:

Recommendation 1: (state type of Recommendation, e.g. operational, compliance, financial, information technology)

Corrective Action Taken (if applicable)

(Repeat above section categories for each Observation under Issue B)

Close-Out/Interim Report for: Project Name
Submitted by: Firm Name

**III. DETAILED REPORT: PROCESS AND/OR BEST PRACTICE
RECOMMENDATIONS**

Report to NJ Transit process and/or best practice recommendations based on IOM activities during the engagement.

Add additional Issue Sections as needed.