

**NEW JERSEY TRANSIT
CHANGE ORDER FORM**

**NEW JERSEY TRANSIT CORPORATION
HEADQUARTERS**

Work Authorization No:	<u>1</u>	Revision No.:	<u>1</u>	Effective Date:	<u>5/5/2021</u>
Contract No:	<u>14-033C</u>	Purchase Order No:	<u>200011630 Revision 1</u>		
Contractor:	RSM US, LLP 333 Thornall Street, 6th Floor Edison, New Jersey 08837 Attention: Mr. Shawn Dahl				

NJ TRANSIT hereby incorporates Work Authorization No. 1 Revision 1 entitled "Hoboken Yard Wayside Power Repair Project and Hoboken Yard Signal Power Repair Projects: CM Services, Design Phase and Construction Phase" into NJ TRANSIT's Contract No. 14-033C as follows:

Section 1: Scope of Work

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

Section 2: Cost Information

RSM US, LLP total costs and fees for Work Authorization No. 1 Revision 1 shall be in accordance with the schedule of rates set forth in NJ TRANSIT Contract No. 14-033C Exhibit B, Cost Information, and the Attachment B, Cost Proposal for the Fraud Risk Assessment dated June 9, 2020 to this Work Authorization No. 1 Revision 1. The total cost for Work Authorization No. 1 Revision 1 is an amount not to exceed \$451,575.00.

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

Section 3: Schedule

The Scope of Work to be performed under Work Authorization No. 1 shall be completed by April 30, 2028.

Section 4: Disadvantaged Business Enterprise Requirements

RSM US, LLP Disadvantaged Business Enterprise Utilization Plan for Work Authorization No. 1 Revision 1 shall be in accordance with the Disadvantaged Business Enterprise Requirements for Race-Conscious Federal Procurement Activities of Contract No. 14-033C.

Total Value of Work Authorization No. 1 Revision 1\$451,575.00

**NEW JERSEY TRANSIT
CHANGE ORDER FORM****NEW JERSEY TRANSIT CORPORATION
HEADQUARTERS**

Work Authorization No: 1 Revision No.: 1 Effective Date: 5/5/2021

Contract No: 14-033C Purchase Order No: 200011630 Revision 1

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

WORK AUTHORIZATION NO. 1 SUMMARY

Initial Work Authorization Amount: \$0.00
Modifications to Date: \$305,638.00
Value of this Work Authorization Modification: \$451,575.00
Present Total Amount of this Work Authorization:..... \$757,213.00

SUMMARY OF WORK AUTHORIZATIONS ISSUED TO DATE

Work Authorization No. 1 – IOM Services for the Hoboken Yard Signal Power Repair and the Hoboken Boiler and Terminal Repair (Hoboken) Projects	\$ 305,638.00
Work Authorization No. 1 Revision 1 - Hoboken Yard Wayside Power Repair Project and Hoboken Yard Signal Power Repair Projects: CM Services, Design Phase and Construction Phase	\$ 451,575.00
Work Authorization No. 2 - MMC/ROC	\$ 166,620.00
Work Authorization No. 3 - Integrity Oversight Monitoring Services for the Long Slip Fill & Rail Enhancement Project - LNTP	\$ 180,000.00
Work Authorization No. xx - Integrity Oversight Monitoring Services for the Raritan River Bridge Replacement Project - LNTP	\$ 300,000.00
Total of All Work Authorizations Issued to Date:	\$1,403,833.00

**NEW JERSEY TRANSIT
CHANGE ORDER FORM**

**NEW JERSEY TRANSIT CORPORATION
HEADQUARTERS**

Work Authorization No: 1 Revision No.: 1 Effective Date: 5/5/2021

Contract No: 14-033C Purchase Order No: 200011630 Revision 1

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

NJ TRANSIT CONTRACT NO. 14-033C CONTRACT SUMMARY

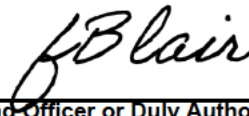
Original Contract Amount:.....\$0.00
Total of All Work Authorizations Issued to Date: \$952,258.00
Amount of this Modification:\$451,575.00
Present Total Contract Amount:\$1,403,833.00

CONTRACTOR



President or Duly Authorized Designee

NJ TRANSIT



Contracting Officer or Duly Authorized Designee

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

Attachment A – Scope of Work

SCOPE OF WORK

In September 2019, NJ TRANSIT issued Work Authorization No. 1 to RSM to perform IOM Services for the:

- Design Phase for PRINTS ID 850 - Hoboken Boiler and Terminal Repairs and PRINTS ID 851 – Hoboken Yard – Signal Power Repair, Task Order Contract awarded to STV in the amount of \$6,912,909;
- Construction: PRINTS ID 850 Hoboken Boiler and Terminal Repairs – Contract awarded to DMR in the amount of \$10,354,455; and,
- Construction: PRINTS ID 851 – Hoboken Yard – Signal Power Repair. This contract was estimated to be completed by June 2023 in the January 25, 2018 Work Authorization Request. However, according to NJT's December 31, 2019 quarterly report to the FTA, the expected completion date is September 2026, with full close-out by April 2027. The extension of time of 46 months stems from the push-back of the construction start date and a scheduling modification to much of the work being performed on weekends due to needed track outages.

IA now requests that RSM's Work Authorization No. 1 be revised to include the respective additional contracts related to the Hoboken Yard – Wayside Power Repair Project (Design and Construction phases) under PRINTS ID 849 and the Construction Management Services (CM) contract for the Hoboken Yard Signal Power Repair Project under PRINTS ID 851. Regarding the CM Services, the Work Authorization Request dated January 25, 2018 did not include the work in the scope because it was not contemplated that a CM contract would be part of the project and if it were, it would exceed the \$5 million threshold requiring IOM services.

Scope of work added subsequent to the January 25, 2018 Work Authorization Request for Hoboken Projects:

- CM Services for PRINTS ID 849 and PRINTS ID 851 – Hoboken Yard – Wayside Power Repair Project and Hoboken Yard – Signal Power Repair. This contract has not yet been advertised but is anticipated to be approximately \$5.2 million and will be identified as Contract No. 19-048.
- PRINTS ID 849 - Hoboken Yard – Wayside Power Repair Project:

This Project includes the assessment, design and construction of repairs, restoration and resiliency work for power distribution systems and equipment located in the Hoboken Rail Yard that were damaged by Superstorm Sandy. The work includes new transmission poles, feeder cables and the associated hardware to distribute 13.2 kV power from the Henderson Street substation to the Depot Terminal substation and Wayside power:

Request Cost Proposal from RSM for Revision 1 to Work Authorization No. 1 to Provide Additional IOM Services for Hoboken Projects – Scope, Tasks and Deliverables
Page 2 of 7

- Design Phase: Task Order Assignment awarded to STV in the amount of \$2,610,777. Designs are 100% complete according to NJT's December 31, 2019 quarterly report to the FTA.
- Construction Phase: The construction contract has not yet been advertised. It is estimated to be approximately \$16,000,000 with an anticipated completion date of September 2026 with full close-out by April 2027.

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;

Request Cost Proposal from RSM for Revision 1 to Work Authorization No. 1 to Provide Additional IOM Services for Hoboken Projects – Scope, Tasks and Deliverables
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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 New Jersey Office of the 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.

Request Cost Proposal from RSM for Revision 1 to Work Authorization No. 1 to Provide Additional IOM Services for Hoboken Projects – Scope, Tasks and Deliverables
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- 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.

DELIVERABLES

All deliverables must be in sufficient detail to allow:

1. NJT to verify and evaluate the conclusions, recommendations, plans, documentation, etc. provided.

Request Cost Proposal from RSM for Revision 1 to Work Authorization No. 1 to Provide Additional IOM Services for Hoboken Projects – Scope, Tasks and Deliverables
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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 of the original Request for Work Authorization for this project. 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 of the original Request for Work Authorization for this project 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 of the original Request for Work Authorization for this project)

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 (2) 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. Interim and Close-Out Reports:

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.

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

Attachment B – Cost Proposal for Fraud Risk Assessment

Total hours and fee table

Estimated hours on the following tables assume project activities do not extend beyond 2027. Typically, our rates increase at 3% annually.

NJ TRANSIT Contract No. 14-033C—Work Authorization No. 1, Rev-1 Hoboken Projects Integrity Oversight Monitoring Services Attachment 5 - Cost Proposal Format Combined RSM US LLP (PRIME) and MFS Consulting Engineers & Surveyors, DPC (Subconsultant)										
	Staffing Category	Partner/Principal/ Director	Program Manager/Project Manager	Subject Matter Expert	Supervisor/ Senior Consultant	Consultant Associate/ Staff	Administrative Support	Totals	% Hours per Category / Total Hrs	Target % Per Category
Risk / Billing Category	Hourly Billing Rate (\$)	285	205	285	160	130	-			
Fraud Risk Assessment	Hours	4	12	69	57	60	-	202	9%	9%
	Amount (\$)	1,140	2,460	19,665	9,120	7,800	-	40,185		
Grant Management (Where applicable)	Hours	11	13	5	41	43	-	113	5%	5%
	Amount (\$)	3,135	2,665	1,425	6,560	5,590	-	19,375		
Disbursement/ Invoicing	Hours	52	54	46	93	162	-	407	19%	19%
	Amount (\$)	14,820	11,070	13,110	14,880	21,060	-	74,940		
Procurement	Hours	15	13	15	41	55	-	139	6%	6%
	Amount (\$)	4,275	2,665	4,275	6,560	7,150	-	24,925		
Task Order Contractors (Where applicable)	Hours	-	-	-	-	-	-	-	0%	0%
	Amount (\$)	-	-	-	-	-	-	-		
Subcontractors	Hours	9	11	11	27	23	-	81	4%	4%
	Amount (\$)	2,565	2,255	3,135	4,320	2,990	-	15,265		
Disadvantaged Business Enterprises (Fraud)	Hours	5	7	8	43	77	-	140	6%	6%
	Amount (\$)	1,425	1,435	2,280	6,880	10,010	-	22,030		
Change Orders	Hours	11	33	32	34	42	-	152	7%	7%
	Amount (\$)	3,135	6,765	9,120	5,440	5,460	-	29,920		
Claims Management	Hours	8	8	6	16	24	-	62	3%	3%
	Amount (\$)	2,280	1,640	1,710	2,560	3,120	-	11,310		
Fieldwork Construction (Where applicable)	Hours	10	102	115	280	46	-	553	25%	25%
	Amount (\$)	2,850	20,910	32,775	44,800	5,980	-	107,315		
Construction Assistance (Design Only)	Hours	-	-	-	-	-	-	-	0%	0%
	Amount (\$)	-	-	-	-	-	-	-		
Project-wide Activities	Hours	87	87	-	173	-	-	347	16%	16%
	Amount (\$)	24,795	17,835	-	27,680	-	-	70,310		
	Total Hours	212	340	307	805	532	-	2,196	100%	100%
Total \$ Amount		60,420	69,700	87,495	128,800	69,160	-	415,575		

Total Direct Cost	415,575
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Total Travel Cost	36,000
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Total PRIME and Subconsultant Cost	451,575
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RSM hours and fee table

NJ TRANSIT Contract No. 14-033C—Work Authorization No. 1, Rev-1 Hoboken Projects
Integrity Oversight Monitoring Services
Attachment 5 - Cost Proposal Format

RSM US LLP (PRIME)

	Staffing Category	Partner/Principal/ Director	Program Manager/Project Manager	Subject Matter Expert	Supervisor/ Senior Consultant	Consultant Associate/ Staff	Administrative Support	Totals	% Hours per Category / Total Hrs	Target % Per Category
Risk / Billing Category	Hourly Billing Rate (\$)	285	205	285	160	130	-			
Fraud Risk Assessment	Hours	4	12	60	51	60	-	187	10%	10%
	Amount (\$)	1,140	2,460	17,100	8,160	7,800	-	36,660		
Grant Management (Where applicable)	Hours	11	13	5	41	43	-	113	6%	6%
	Amount (\$)	3,135	2,665	1,425	6,560	5,590	-	19,375		
Disbursement/ Invoicing	Hours	52	54	46	93	162	-	407	21%	21%
	Amount (\$)	14,820	11,070	13,110	14,880	21,060	-	74,940		
Procurement	Hours	15	13	15	41	55	-	139	7%	7%
	Amount (\$)	4,275	2,665	4,275	6,560	7,150	-	24,925		
Task Order Contractors (Where applicable)	Hours	-	-	-	-	-	-	-	0%	0%
	Amount (\$)	-	-	-	-	-	-	-		
Subcontractors	Hours	9	11	11	27	23	-	81	4%	4%
	Amount (\$)	2,565	2,255	3,135	4,320	2,990	-	15,265		
Disadvantaged Business Enterprises (Fraud)	Hours	5	7	8	43	77	-	140	7%	7%
	Amount (\$)	1,425	1,435	2,280	6,880	10,010	-	22,030		
Change Orders	Hours	11	33	16	17	21	-	98	5%	5%
	Amount (\$)	3,135	6,765	4,560	2,720	2,730	-	19,910		
Claims Management	Hours	8	8	3	8	12	-	39	2%	2%
	Amount (\$)	2,280	1,640	855	1,280	1,560	-	7,615		
Fieldwork Construction (Where applicable)	Hours	10	102	69	168	23	-	372	19%	19%
	Amount (\$)	2,850	20,910	19,665	26,880	2,990	-	73,295		
Construction Assistance (Design Only)	Hours	-	-	-	-	-	-	-	0%	0%
	Amount (\$)	-	-	-	-	-	-	-		
Project-wide Activities	Hours	87	87	-	173	-	-	347	18%	18%
	Amount (\$)	24,795	17,835	-	27,680	-	-	70,310		
Prime Total Hours		212	340	233	662	476	-	1,923	100%	100%
Prime Total \$ Amount		60,420	69,700	66,405	105,920	61,880	-	364,325		

Total Direct Cost	364,325
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Total Travel Cost	36,000
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Total PRIME Cost	400,325
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MFS hours and fee table

NJ TRANSIT Contract No. 14-033C—Work Authorization No. 1, Rev-1 Hoboken Projects
Integrity Oversight Monitoring Services
Attachment 5 - Cost Proposal Format

MFS Consulting Engineers & Surveyors, DPC (Subconsultant)

	Staffing Category	Partner/Principal/ Director	Program Manager/Project Manager	Subject Matter Expert	Supervisor/ Senior Consultant	Consultant Associate/ Staff	Administrative Support	Totals	% Hours per Category / Total Hrs	Target % Per Category
Risk / Billing Category	Hourly Billing Rate (\$)	285	205	285	160	130	-			
Fraud Risk Assessment	Hours	-	-	9	6	-	-	15	5%	5%
	Amount (\$)	-	-	2,565	960	-	-	3,525		
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	-	-	16	17	21	-	54	20%	20%
	Amount (\$)	-	-	4,560	2,720	2,730	-	10,010		
Claims Management	Hours	-	-	3	8	12	-	23	8%	8%
	Amount (\$)	-	-	855	1,280	1,560	-	3,695		
Fieldwork Construction (Where applicable)	Hours	-	-	46	112	23	-	181	66%	66%
	Amount (\$)	-	-	13,110	17,920	2,990	-	34,020		
Construction Assistance (Design Only)	Hours	-	-	-	-	-	-	-		
	Amount (\$)	-	-	-	-	-	-	-		
Project-wide Activities	Hours	-	-	-	-	-	-	-		
	Amount (\$)	-	-	-	-	-	-	-		
Subconsultant Total		-	-	74	143	56	-	273	100%	100%
Subconsultant Total \$ Amount		-	-	21,090	22,880	7,280	-	51,250		

Total Direct Cost	51,250
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Total Travel Cost	-
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Total Subconsultant Cost	51,250
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**NJ TRANSIT Contract No. 14-033C
Integrity Oversight Monitoring Services
Work Authorization No. 1
Revision 1**

Attachment C – DBE Forms

MANDATORY FORM FOR BIDDER/PROPOSER/PRIME: COMPLETE ENTIRELY

FORM A (Fed)

First Tier DBE UTILIZATION - FORM A

Project Name: 14-033C-Work Authorization No. 1, Rev. 1 Hoboken Projects

NJ Transit Contract No: 14-033C

Wayside Power Repair Project (Design and Construction phases) and Construction Management Services

Assigned DBE Goal %: 10%

NJ Transit Procurement Specialist [REDACTED]

Contract Value (\$): \$451,575

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 <u>Detailed</u> Scope of Work to be Performed (Identify all suppliers)	Dollar Value of Subcontract/Sub-consultant Work (\$) Awarded	Percentage of Subcontract Work (%)
MFS Consulting Engineers & Surveyors, DPC 2780 Hamilton Blvd. South Plainfield, NJ 07080 908 932 4622	MFS will assist RSM in development of our audit plan, perform evaluations of pay applications and change orders and provide technical support and quality control to the team members performing the work.	\$51,250	11.34 %
			%
			%
			%
			%
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	\$ 51,250	11.34 %

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

Company Name: RSM US LLP

Authorized Signature: 

Company Address: 151 W 42nd Street

Print Name: Shawn L. Dahl

New York, NY 10036

Title: Principal

Federal Tax ID #: [REDACTED]

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

Company Tel #: 203 388 7098

Date Signed: May 25, 2020

To Add Subs Use Additional Forms

NJ Transit SubRe:ip Fed Form A rev May 2013

MANDATORY FORM: COMPLETE ENTIRELY

Form A1 (Fed)

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM A1

14-033C--Work Authorization No. 1, Rev. 1 Hoboken Projects
 Project Title: Wayside Power Repair Project (Design and Construction phases) and Date: May 25, 2020
Construction Management Services
 Prime Contractor/Consultant: RSM US LLP

Telephone #: 203 388 7098

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

	Bidder/Proposer/Prime	Bidder/Proposer/Prime	Bidder/Proposer/Prime
Company's Full Name	RSM US LLP		
Address	151 W 42nd Street		
City	New York, NY		
Zip	10036		
County	New York County		
Phone	203 388 7098		
Fax			
E-mail	shawn.dahl@rsmus.com		
Owner	Limited Liability Partnership		
Date Established	1926		
Date Certified	Not certified as a DBE or ethnic- or gender-specific		
Ethnicity	Multiple		
Gender	Multiple		
Certification Status: DBE or Non-DBE	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	E		
Primary NAICS Code:	541211		

Page 1

To Add Subs Use Additional Forms

NJT - Fed Form A1 rev Jun 2010, rev 0314

MANDATORY FORM: COMPLETE ENTIRELY

Form A1 (Fed)

BIDDER SOLICITATION & CONTRACTOR INFORMATION - FORM A1

14-033C-Work Authorization No. 1, Rev. 1 Hoboken Projects
 Project Title: Wayside Power Repair Project (Design and Construction phases) and Construction Management Services Date: May 25, 2020

Prime Contractor/Consultant: RSM US LLP Telephone #: 203 388 7098

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

	Subcontractor/Subconsultant	Subcontractor/Subconsultant	Subcontractor/Subconsultant
Company's Full Name	MFS Consulting Engineers & Surveyor, DPC	N/A	N/A
Address	2780 Hamilton Blvd.		
City	South Plainfield, New Jersey		
Zip	07080		
County	Middlesex		
Phone	908 972 4622		
Fax	866 517 7413		
E-mail	ja@mfseengineers.com		
Owner	Jose Fuentes		
Date Established	08/07/2009		
Date Certified	10/29/2015		
Ethnicity	Hispanic		
Gender	Male		
Certification Status: DBE or Non-DBE	DBE		
Federal Tax ID # / SSN #			
Annual Gross Receipts: A - Less than \$500K B - \$500K to \$1M C - \$1M to \$2M D - \$2M to \$5M E - \$5M and over indicate the letter that applies	E		
Primary NAICS Code:	541330, 541370		

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

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

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

RSM US LLP

Name of Bidder/Proposer/Prime:

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

Project/Contract Name:

MFS Consulting Engineers & Surveyor, DPC

Name of DBE Firm:

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

Does the undersigned DBE (Answer Accordingly):

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

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

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

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

At what percent? _____%

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

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

If yes, **must complete and submit Form AA2.**

At what percent? _____%

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

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

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

Dollar Value of DBE Subcontract: \$ 51,250

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

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

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

DBE Contract Start Date: TBD DBE Contract Completion Date TBD

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

Marcelo A Fuentes

Digitally signed by Marcelo A Fuentes
Date: 2020.05.28 18:10:52 -04'00'

5/28/2020

Signature of 1st Tier DBE

Date

Project Executive

Title

Marcelo A. Fuentes

908.922.4622

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.



State of New Jersey

CHRIS CHRISTIE
Governor

DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE AND ENTERPRISE SERVICES
33 WEST STATE STREET, 5TH FLOOR

KIM GUADAGNO
Lt. Governor

P.O. BOX 026
TRENTON, NEW JERSEY 08625-026
PHONE: 609-292-2146 FAX: 609-984-6679

FORD M. SCUDDER
State Treasurer

CERTIFIED

under the

Small Business Set-Aside Act and Minority and Women Certification Program

This certificate acknowledges **MFS CONSULTING ENGINEERS & SUVEYOR DPC** is a **MBE** owned and controlled company, which has met the criteria established by N.J.A.C. 17:46.

This certification will remain in effect for three years. Annually the business must submit, not more than 20 days prior to the anniversary of the certification approval, an annual verification statement in which it shall attest that there is no change in the ownership, control or any other factor of the business affecting eligibility for certification as a minority or women-owned business.

If the business fails to submit the annual verification statement by the anniversary date, the certification will lapse and the business will be removed from the SAVI that lists certified minority and women-owned business. If the business seeks to be certified again, it will have to reapply and pay the \$100 application fee. In this case, a new application must be submitted prior the expiration date of this certification.



Peter Lowicki
Deputy Director

Issued: May 18 2017
Certificate Number: 69516-22

Expiration: May 17, 2020



State of New Jersey

CHRIS CHRISTIE
Governor

DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE & ENTERPRISE SERVICES
P.O. BOX 026

KIM GUADAGNO
Lt. Governor

TRENTON, NJ 08625-034
PHONE: 609-292-2146 FAX: 609-984-6679

FORD M. SCUDDER
Acting State Treasurer

APPROVED *under the*

Small Business Set-Aside Act and Minority and Women Certification Program

This certificate acknowledges MFS Consulting Engineers & Surveyor, DPC as a Category 2 and 4 approved Small Business Enterprise that has met the criteria established by N.J.A.C. 17:13 and/or 17:14.

This registration will remain in effect for three years. Annually the business must submit, not more than 60 days prior to the anniversary of the registration notice, an annual verification statement in which it shall attest that there is no change in the ownership, revenue eligibility or control of that business.

If the business fails to submit the annual verification statement by the anniversary date, the SBE registration will lapse and the business SBE status will be revoked in the New Jersey Selective Assistance Vendor information (NJSAVI) database that lists registered small businesses. If the business seeks to be registered again, it will have to reapply and complete the New SBE online registration located at:
www.njportal.com/DOR/SBERegistry/.



Peter Lowicki
Deputy Director

Issued: 7/9/2018
Certification Number: A0072-92

Expiration: 7/9/2021

January 8, 2019

Mr. Jose Fuertes
Principal Engineer
MFS Consulting Engineers & Surveyor, DPC
2780 Hamilton Blvd
South Plainfield, NJ 07080

RE: ANNUAL AFFIDAVIT - CONTINUED DBE ELIGIBILITY

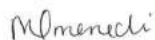
Dear Mr. Fuertes:

We are pleased to inform you that **MFS Consulting Engineers & Surveyor, DPC** continues to meet the eligibility criteria for Disadvantaged Business Enterprise (DBE) certification pursuant to U.S. Department of Transportation, Code of Federal Regulations Title 49 Part 26.

Annually, you must submit a signed and notarized Annual "No Change" Affidavit with supporting documentation. It is your responsibility to notify this office in writing within 30 days of any changes. Failure to do so may result in decertification of your business.

If you have any questions regarding this letter, please contact me at (201) 395-3192 or via email at mamenechi@panynj.gov.

Sincerely,



Marie Amenechi
Certification Analyst

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

THE PORT AUTHORITY OF NY & NJ

October 29, 2015

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

Re: Minority Business Enterprise (MBE) Certification
Type: Architects & Engineers

Dear Mr. Fuertes:

We are pleased to inform you that The Port Authority of NY & NJ has certified your business to participate in the agency's Minority and Women-owned Business Enterprise (MWBE) Program. MFS Consulting Engineers & Surveyor, DPC has been included in the Port Authority's on-line directory of certified MWBEs.

Please be advised that we periodically review all certifications and reserve the right to decertify any firm that no longer meets our guidelines. You must notify the Office of Business Diversity and Civil Rights in writing within 30 days of any significant changes to your business. These include, but are not limited to, a change of officers, directors, location and business name. Failure to advise us of these changes can result in decertification of your business.

This certification will remain in effect for five years or until October 29, 2020 after which you must submit a recertification application with supporting documentation. The application can be accessed from our Web site: www.panynj.gov/supplierdiversity

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

Sincerely,



Jayson Ortiz
Certification Analyst
Office of Business Diversity and Civil Rights

Enclosure: Certificate

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

THE PORT AUTHORITY OF NY & NJ

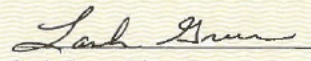
David Samson
Chairman

Patrick J. Foye
Executive Director

MFS Consulting Engineers & Surveyor, DPC

This certificate acknowledges that the above-named firm is certified as a Minority Business Enterprise.

Certification Date: October 29, 2015
Re-Evaluation Date: October 29, 2020


Lash Green, Director
Office of Business Diversity and Civil Rights