

Firm Name: Thacher Associates LLC  
 Engagement: NJ Transit - Gladstone Line Poles & Foundations Replacement Project  
 For Quarter Ending: 12/31/2016

Reports required under A-60 will be submitted by Integrity 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
<b>A. General Info</b>			
1.	Recipient of funding	New Jersey Transit Corporation	
2.	Federal Funding Agency? (e.g. HUD, FEMA)	Federal Transit Administration	
3.	State Funding (if applicable)	N/A	
4.	Award Type	Emergency Relief Program	
5.	Award Amount	\$13,308,080.00	Represents the contract value of the single contract in Thacher Associates current scope of work.
6.	Contract/Program Person/Title	Amy Herbold, Deputy Executive Director (Interim Procurement Officer)	
7.	Brief Description, Purpose and Rationale of Project/Program	This project consists of installing new concrete foundations and steel poles on the Gladstone Branch of New Jersey Transit's (NJT) Morris & Essex Line.	
8.	Contract/Program Location	Gladstone Branch (New Providence to Gladstone Rail Yard)	
9.	Amount Expended to Date	\$ 12,495,977.58 through December 31, 2016; approved by New Jersey Transit and paid to Case Foundation Company (CFC).	
10.	Amount Provided to other State or Local Entities	None	
11.	Completion Status of Contract or Program	In Progress	
12.	Expected Contract End Date/Time Period	April 2017 (Est.)	
<b>B. Monitoring Activities</b>			
13.	If FEMA funded, brief description of the status of the project worksheet and its support.	N/A	
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)	Thacher performed business office visits in October during which it met with Charlie Huynh, Project Manager at CFC, and Judith, Volmer, Owner of L&R. Thacher also coordinated with NJT's office of business development and internal audit during this quarter to discuss project status and latest findings. Additionally, Thacher reviewed various documents obtained from NJT, CFC and L&R and performed related procedures in accordance with its integrity oversight monitoring work plan.	
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.	Thacher continued its reviews of documents received from NJT including electronic copies of payment requisitions, certified payroll reports, Forms E and E2 filings, and procurement files. Thacher also performed procedures for DBE compliance and DBE fraud during which it requested and obtained additional documents from CFC and L&R, following its October business office visit.	

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16.	Description of quarterly auditing activities that have been conducted to ensure procurement compliance with terms and conditions of the contracts and agreements.	Thacher continues its review of monthly payment requisitions and certified payroll reports to assess CFC's and L&R's compliance with contractual and legal requirements in the areas of procurement, prevailing wage rules, and payment to contractor and subcontractor. Crescent Consulting - DBE sub-consultant to Thacher - (Crescent) provided additional support following the business office visit to CFC and continues its performance of DBE compliance activities pursuant to the workplan.	
17.	Have payment requisitions in connection with the contract/program been reviewed? Please describe	Thacher reviewed payment requisitions submitted by CFC for periods during the second quarter of 2016. Construction work was completed during the third quarter of 2016 and additional reviews of payment requisitions was limited to closeout items. Thacher requested payment requisitions including any notices of final payment which it will review during the first quarter of 2017.	
18.	Description of quarterly activity to prevent and detect waste, fraud and abuse.	Thacher is reviewing various filings and supporting documentation pertinent to certified payroll reports submitted by L&R, prevailing wage requirements, and monthly Form E and Form E2 DBE utilization reports submitted by CFC and L&R through the end of 2016. Thacher was informed that work on the project was completed in September 2016 and that CFC was addressing closeout items.	
19.	Provide details of any integrity issues/findings	None.	
20.	Provide details of any work quality or safety/environmental/historical preservation issue(s).	None.	
21.	Provide details on any other items of note that have occurred in the past quarter	None.	
22.	Provide details of any actions taken to remediate waste, fraud and abuse noted in past quarters	None.	
<b>C. Miscellaneous</b>			
23.	Attach a list of hours and expenses incurred to perform your quarterly integrity monitoring review	For the period July 1, 2016 through September 30, 2016 Thacher expended 55.50 hours (see Comments for breakdown) and no expenses. This includes site and office visits, document reviews, and preliminary follow-up discussions with NJT. Additionally, Thacher filed prior quarterly reports with the Department of the Treasury for the quarters ended September 30, 2016, June 30, 2016, March 31, 2016, December 31, 2015, September 30, 2015, and June 30, 2015.	Chris Ward, Senior Consultant - 0.50 Jose L. Velazquez, Project Manager - 50 Hector Calderon, Principal (DBE) - 5.00
24.	Add any item, issue or comment not covered in previous sections but deemed pertinent to monitoring program.	None.	

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Name of Integrity Monitor: Thacher Associates LLC Name of Report Preparer: Jose L. Velazquez, Jr. Signature:  Date: March 31, 2017
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