

**Integrity Monitor Report
Category 3**

Integrity Monitor Firm Name: Rumph & Associates, P.C.
Quarter Ending: 09/30/2023
Expected Engagement End Date: 07/30/2030

A. General Info

1. Recovery Program Participant:

[New Jersey Department of Transportation]

2. Federal Funding Source (e.g. CARES, HUD, FEMA, ARPA):

[CRRSAA, COVID-19 Recovery Funds]

3. State Funding Source (if applicable):

Not Applicable

4. Deadline for Use of State or Federal Funding by Recovery Program Participant:

NJDOT plans to obligate all CRRSAA funding in Federal FY 2023 by September 30, 2023. The deadline for obligation is September 30, 2023.

5. Accountability Officer:

Chuck Maciejuenes, CFO

6. Program(s) under Review/Subject to Engagement:

[Route 130, Bridge over Big Timber Creek, Bridge Replacement]

7. Brief Description, Purpose, and Rationale of Integrity Monitor Project/Program:

A Category 3 Integrity Monitor's primary roles are to monitor for fraud or misuse of funding and ensure that Recovery Program Participants are performing according to the sub-award agreement and applicable Federal and State regulations and guidelines.

8. Amount Allocated to Program(s) under Review:

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Route 130, Bridge over Big Timber - \$80,000,000

9. Amount Expended by Recovery Program Participant to Date on Program(s) under Review:

[As of September 2023, no funds have been expended,

10. Amount Provided to Other State or Local Entities:

Not applicable

11. Completion Status of Program (e.g. planning phase, application review, post-payment):

Route 130, Bridge over Big Timber – Planning Phase

12. Completion Status of Integrity Monitor Engagement:

[In Progress]

B. Monitoring Activities

13. If FEMA funded, brief description of the status of the project worksheet and its support:

- a) IM Response

Not Applicable

- b) Recovery Program Participant Comments

[None]

14. Description of the services provided to the Recovery Program Participant during the quarter (i.e. activities conducted, such as meetings, document review, staff training, etc.):

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a) IM Response

Rumph & Associates, P.C submitted the initial risk assessment and work plan based on our review of the Route 130 project (early phase) on 9/12/2023. The risk assessment identifies the related risk areas and potential fraud activities applicable to the projects. The fraud risk assessment also demonstrates how specific monitoring activities will meet the objectives of identifying possible fraud or risks. For the quarter ending September 30th, we have provided the following other services:

- Site Visit 7/13/23
- Completed a walkthrough of systems and databases with NJDOT Procurement Team 7/19/23
- Held NJDOT Status Meeting 8/2/203
- Held NJDOT Status Meeting 8/30/23
- Completed quality control review of draft FRA and Work Plan 9/8/23
- Submitted Fraud Risk Assessment and Work Plan 9/12/23
- Began monitoring test procedures 9/13/23
- Held Status Meeting with NJDOT 9/27

b) Recovery Program Participant Comments

[None]

15. Description to confirm appropriate data/information has been provided by the Recovery Program Participant and description of activities taken to review the project/program:

a) IM Response

Rumph & Associates, P.C submitted the Fraud Risk Assessment and Work Plan on 9/12/23 and met with NJDOT to review prior to submission on after submission to review the document. All other tasks completed and meetings held are noted in response to #14.

b) Recovery Program Participant Comments

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[None]

16. Description of quarterly auditing activities conducted to ensure procurement compliance with terms and conditions of contracts and agreements:

a) IM Response

Rumph & Associates, P.C is in the process of reviewing the risk assessment based on our review of the early phase of the Route 130 Project. We are reviewing the FRA with NJDOT's Internal Audit Manager and POC, Jon Trauger.

b) Recovery Program Participant Comments

[None]

17. If payment documentation in connection with the contract/program has been reviewed, provide description.

a) IM Response

Not applicable as no payments on the projects under review have been made as of the date of this report.

b) Recovery Program Participant Comments

[None]

18. Description of quarterly activity to prevent and detect waste, fraud, and/or abuse:

a) IM Response

Our meetings with key stakeholders, including the Internal Audit Manager and the Internal Audit Team, the Procurement Team, reviewing various NJDOT documents used in procurement and fund authorization, developing risk factors, monitoring objectives and specific review procedures to verify the existence of fraud estimates all contribute to the prevention and detection of waste, fraud and abuse.

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b) Recovery Program Participant Comments

[None]

19. Details of any integrity issues/findings, including findings of waste, fraud, and/or abuse:

a) IM Response

None

b) Recovery Program Participant Comments

[None]

20. Details of any other items of note that have occurred in the past quarter:

a) IM Response

None

b) Recovery Program Participant Comments

[None]

21. Details of any actions taken to remediate waste, fraud, and/or abuse noted in past quarters:

a) IM Response

Not applicable

b) Recovery Program Participant Comments

[None]

C. Miscellaneous

22. List of hours (by employee) and expenses incurred to perform quarterly integrity monitoring review:

a) IM Response

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For the quarter ending September 30th, the following individuals have expended a total of 1776hours:

Marisa Doras – 640 hours
Matthew Blondell – 200 hours
Stephanie Tantillo – 214 hours
Devann Marchand – 350 hours
Tom Rumph – 32 hours
Brandi Gowdy – 8 hours
Hein Mass – 44 hours
Gabrielle Rumph – 288 hours

b) Recovery Program Participant Comments

[None]

23. Add any item, issue, or comment not covered in previous sections but deemed pertinent to monitoring program:

a) IM Response

[None]

b) Recovery Program Participant Comments

[None]

Name of Integrity Monitor: [Rumph & Associates, P.C.]
Name of Report Preparer: [Marisa Doras]
Signature: *MDoras*
Date: 10/3/2023