



**Invitation to Bid 20-ATJ-Ballast-005**  
**Railroad Ballast**  
**April 24, 2020**

**SUPPLIER NAME:** \_\_\_\_\_

**DESCRIPTION OF MATERIAL REQUESTED:**

- **Domestically Produced No. 4 Prepared Stone Ballast** conforming to the attached Pan Am Railways specification.

**BID ITEMS, DELIVERY REQUIREMENTS, AND OTHER INFORMATION:**

**Bid Item 1 – Approximately 5,000 Tons of Domestically Produced No. 4 Prepared Stone Ballast Delivered by Railcar**

- The ballast delivered by railcar is anticipated to be required between late-May and June 2020. Please provide a proposed start of delivery date on the bid form. Due to the ongoing COVID-19 pandemic and associated reduction in rail traffic, NNEPRA intends to complete a Cross Tie Replacement Project with Pan Am Railways (PAR) and would like to begin receiving ballast delivered by railcar as soon as possible. Bids with earlier delivery dates may be given preference.
- The ballast that is part of Bid Item 1 shall be loaded into ballast rail cars and transported to Dover Yard in Dover, New Hampshire. The ballast cars will be provided by PAR to the supplier. At their option, suppliers may use their own ballast rail cars to supply the ballast. Any ballast rail cars provided by the supplier shall be approved by PAR Chief Engineer of Design & Construction prior to loading. Suppliers shall be able to provide as much as 2,500 Tons of ballast per week if requested. Suppliers shall coordinate with NNEPRA's Project Manager and PAR Chief Engineer of Design & Construction regarding the final schedule of deliveries (see contact information below). Loading locations and rail transportation fees to Dover Yard in Dover, New Hampshire are to be negotiated directly with PAR. It is acceptable to coordinate directly with PAR to truck the ballast to Dover Yard and load the railcars at the yard.
- The supplier shall be responsible for manufacturing, testing, trucking, loading and weight verification of prepared stone ballast delivered by ballast rail cars.
- Specific siding location details for loading ballast as well as rail transportation coordination and fees are to be negotiated directly with PAR Chief Engineer of Design & Construction.
- All costs for manufacturing, testing, trucking (if applicable), loading and weight verification of the ballast shall be included in the bid unit price.

**Bid Item 2 – Up to 1,200 Tons of Domestically Produced No. 4 Prepared Stone Ballast Delivered by Truck**

- The quantity of ballast delivered by truck is anticipated to be required between late-May and December of 2020. NNEPRA and PAR anticipate rehabilitating up to 10 public grade crossings in 2020 and the ballast will be used for those projects.
- The prepared stone ballast that is part of Bid Item 2 shall be delivered by truck to selected railroad grade crossings along PAR Mainline between Plaistow, New Hampshire and Portland, Maine. The exact location of the grade crossings is not known at this time. It is anticipated that all grade crossing locations will be able to accommodate up to 60' trailer dump trucks.
- Approximately 120 tons of ballast shall be delivered to each grade crossing location. Suppliers will be paid at the bid unit price for the actual amount of ballast supplied.
- Suppliers will be given a minimum of 7 days' notice prior delivery of the prepared stone ballast to each grade crossing location. Suppliers shall coordinate with NNEPRA's Project Manager and PAR Chief Engineer of Design & Construction regarding the final schedule of deliveries (see contact information below).
- All costs for manufacturing, testing, trucking and weight verification of the prepared stone ballast shall be included in the bid unit price.

**Contract Information**

- NNEPRA Project Manager:  
Jim Russell, Special Projects Manager  
Email: [james@nnepra.com](mailto:james@nnepra.com)  
Phone: 207-699-9989
- Pan Am Railways Chief Engineer of Design & Construction:  
Ted Krug, Chief Engineer of Design & Construction  
Email: [tkrug@panam.com](mailto:tkrug@panam.com)  
Phone: 978-793-1004

**BID OPENING TIME AND LOCATION:**

- Sealed bids for the above product must be received at the following location by **3:00 p.m. local time, May 4, 2020:**  
William Gayle, Grant and Policy Administrator  
Northern New England Passenger Rail Authority  
75 West Commercial Street, Suite #104,  
Portland, Maine 04101
- Bids received after this time will not be accepted.
- Sealed bids will be publicly opened and read aloud at 3:30pm on May 4, 2020. *Please note that suppliers will not be permitted to attend the bid opening in person due to COVID-19 restrictions.* NNEPRA will make reasonable efforts to provide a live stream or virtual meeting invitation for the bid opening. This information will be provided to suppliers as soon as possible.

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY INVITATION TO BID  
ITB #20-ATJ-Ballast-005

- Each bid shall contain all pages of the **Bid Form** and **signed Federal Clauses (3 total)** in a single sealed envelope. The envelope shall be clearly marked “**Bid for Prepared Stone Ballast, Bid # 20-ATJ-Ballast-005**”.
- Bids for this procurement may submitted via email to [william@nnepra.com](mailto:william@nnepra.com), rather than in a sealed envelope, at the supplier’s option.

**ADDITIONAL INFORMATION:**

- Portions of this project are being funded by the Federal Funding Sources and the State of Maine.
- Compliance with attached Federal Clauses is required.
- NNEPRA encourages their contractors to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community and to make reasonable efforts to use these institutions. Contact NNEPRA for further information or assistance.
- All bids shall be valid for 60 days after the bid opening.
- NNEPRA intends to provide notice of award within five business days of the bid opening to the lowest bidder that is responsive to the requirements and is a responsible supplier.
- NNEPRA has a dispute and protest policy. Contact the NNEPRA for more information.
- NNEPRA reserves the right to reject any or all Bids, to waive any technical or legal deficiencies, and to accept any Bid that it may deem to be in the best interest of the Authority.

**POST BID REQUIREMENTS:**

The successful Bidder must begin execution of this contract within ten (10) calendar days following the Notice of Award.

**PAYMENT PROVISIONS:**

Payment will be made within 30 days after approval of invoices.

**BID QUESTIONS:**

- All questions must be received no later than Tuesday April 28, 2020 at 5:00 p.m. local time to be considered.
- NNEPRA will issue an addendum, if needed, by April 29, 2020 answering questions received prior to the deadline.
- All questions regarding this bid must be made in writing by **email only** and directed to:  
William Gayle, Grant and Policy Administrator  
Northern New England Passenger Rail Authority  
75 West Commercial Street, Suite #104  
Portland, Maine 04101  
[william@nnepra.com](mailto:william@nnepra.com)  
**Phone calls will not be accepted.**

## BID FORM

**SUPPLIER NAME:** \_\_\_\_\_

**PRODUCT IDENTIFICATION:**

**Domestically Produced No. 4 Prepared Stone Ballast** conforming to this Invitation to Bid and the attached Pan Am Railways specification.

**THIS BID IS SUBMITTED TO:**

Mr. William Gayle  
Grant and Policy Administrator  
Northern New England Passenger Rail Authority  
75 W Commercial Street, Suite #104  
Portland, Maine 04101

By submitting this Bid the undersigned Bidder:

1. Proposes and agrees, if the Bid is accepted, to enter into an Agreement with Northern New England Passenger Rail Authority to supply the Materials in accordance with the specifications and other Bid Documents, for the prices and in accordance with the delivery schedule as detailed in the Bid Form.
2. Accepts all the terms and conditions included in the Invitation to Bid and agrees that this Bid will remain open for sixty days after the day of Bid opening.
3. Agrees that:
  - a. Bidder has examined copies of all the Bid Documents and any addenda, receipt of all of which is hereby acknowledged.
  - b. This Bid is genuine and not made in the interest of or on behalf of any undisclosed person, firm or corporation, and is not submitted in conformity with any agreement or rules of any group, association, organization or corporation; Bidder has not directly or indirectly induced or solicited any other Bidder to submit a false or sham Bid; Bidder has not solicited or induced any person, firm or corporation to refrain from bidding; and Bidder has not sought by collusion to obtain for himself any advantage over any other Bidder or over Northern New England Passenger Rail Authority.
4. Acknowledges that this Invitation to Bid does not constitute an order or contract.
5. Acknowledges that Northern New England Passenger Rail Authority is exempt from all taxes. The undersigned hereby certifies that no taxes are included in the prices bid.

Bidders shall state if exemption certificate is required: Yes \_\_\_\_\_ No \_\_\_\_\_.

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY INVITATION TO BID  
ITB #20-ATJ-Ballast-005

**BID FORM**

This Bid is submitted for the following product:

**Domestically Produced No. 4 Prepared Stone Ballast** conforming to this Invitation to Bid and the attached Pan Am Railways specification

***Bidders are not required to provide a bid for all bid items. NNEPRA may award the two bid items separately.***

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<b><u>Bid Item 1</u></b>	<b><u>Quantity</u></b>	<b><u>Unit Price</u></b>	<b><u>Total Price</u></b>
No. 4 Prepared Stone Ballast – Delivered Via Railcar	Approx. 5,000 Tons	_____ /TON	_____
		<b>Total Price</b>	_____
	Proposed Start of Delivery Date		_____
	Minimum anticipated weekly production/delivery rate		_____

**All suppliers bidding on Bid Item 1 shall respond to the question below.**

Due to the ongoing COVID-19 pandemic and associated reduction in rail traffic, NNEPRA would like to begin receiving ballast as soon as possible. However, if all materials for the intended work are not available soon enough to reasonably take advantage of the currently reduced rail traffic, NNEPRA and Pan Am Railways may require receiving the ballast in late summer of 2020. Please indicate below if you are willing to deliver the approximately 5,000 tons of ballast delivered via railcar in late summer 2020 at the bid unit price:

\_\_\_\_\_ **Yes**      \_\_\_\_\_ **No**

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<b><u>Bid Item 2</u></b>	<b><u>Quantity</u></b>	<b><u>Unit Price</u></b>	<b><u>Total Price</u></b>
No. 4 Prepared Stone Ballast – Delivered via Truck	Up to 1,200 Tons	_____ /TON	_____
		<b>Total Price</b>	_____

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NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY INVITATION TO BID  
ITB #20-ATJ-Ballast-005

Communications concerning this Bid shall be addressed to:

Bidder Company Name: \_\_\_\_\_

Bidder's Representative: \_\_\_\_\_

Bidder's Address: \_\_\_\_\_

Bidder's Telephone No: \_\_\_\_\_

Bidder's E-mail Address: \_\_\_\_\_

Bidder's Fax Number: \_\_\_\_\_

*(Please note that the information below is used for internal purposes only and will not be disclosed.)*

Age of your company: \_\_\_\_\_ Gross Annual Receipts: \_\_\_\_\_

# Employees: \_\_\_\_\_ DUNS #: \_\_\_\_\_

In submitting this bid, it is understood and agreed by vendor that THE AUTHORITY reserves the right to reject any and all Bids, or part of any Bid, and it is agreed that the Bid may not be withdrawn for a period of [60] days subsequent to the receipt of bids, without the written consent of the Authority.

BIDDER AUTHORIZED SIGNATURE: \_\_\_\_\_

Printed Name & Title: \_\_\_\_\_

SUBMITTED ON: \_\_\_\_\_, 2020



# PAN AM RAILWAYS

1700 IRON HORSE PARK  
NO. BILLERICA, MA 01862

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## Pan Am Railways Specifications for: Prepared Stone Ballast

1. All material supplied under this item must meet current applicable AREMA Specifications unless instructed below.

2. Scope.

These specifications cover the requirements for grading and other significant physical properties of mineral aggregates for prepared ballast.

3. General Requirements.

Prepared stone ballast shall be crushed stone composed of hard, strong and durable particles, free from injurious amounts of deleterious substances and conforming to the requirements of these specifications.

4. Quality Requirements.

- (a) Aggregate for stone ballast shall be clean and graded crushed stone aggregate with a hard, dense angular particle structure providing sharp corners and cubicle fragments with prime consideration of drainage efficiency.
- (b) The material retained on the 3/8 inch sieve shall contain no more than 5 percent, by weight of flat elongated particles when performed in accordance with test ASTM D 4791, Flat Particles, Elongated Particles, or Flat and Elongated Particles in Coarse Aggregate, using a dimensional ratio of 1:5.
- (c) The material shall have an absorption no greater than 1.5 percent by weight and a bulk specific gravity of not less than 2.60 as determined in accordance with AASHTO T 85 modified for weight of sample.
- (d) The material shall not exceed 30 percent loss on ASTM C535, Resistance to Degradation of Large-Size Coarse Aggregate by Abrasion and Impact in the Los Angeles Machine.



# PAN AM RAILWAYS

1700 IRON HORSE PARK  
NO. BILLERICA, MA 01862

## 5. Grading Requirements.

Crushed stone for prepared ballast shall conform to the following requirements for grading:

Sieve Designation	Percentage by Weight Passing Square Mesh Sieves
	<b>Type 4</b>
2 inch	100
1 ½ inch	90 - 100
1 inch	20 - 55
¾ inch	0 - 15
3/8 inch	0 - 5
No. 200	1.0 max.

## 6. Handling.

Prepared stone ballast shall be handled at the producing plant in such a manner that it is kept clean and free from segregation.

## 7. Inspection.

If material does not conform to these specifications, the inspector shall notify the supplier to stop further loading until the fault has been corrected and to dispose of all defective material without cost to the railroad.

Only materials conforming to the requirements of these specifications and which have been approved by the engineer shall be delivered to the railroad. The methods and equipment used to handle and deliver the stone ballast shall not cause the material to change in character, quality or gradation to the extent that such material would fall outside of these specifications.

Any material which, after prior approval, has for any reason become unfit for use or falls outside of these specifications shall not be incorporated into work.





# PAN AM RAILWAYS

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## 8. Testing.

The quality of stone for ballast from any quarry or new strata opened up, including its soundness, resistance to abrasion and weight per cubic foot, shall be determined prior to its acceptance at a testing laboratory approved by the Chief Engineering Officer or the Railroad. Each stratum or portion of a quarry containing a variation in the quality of stone shall be tested separately and not averaged. Quality tests and gradation tests shall subsequently be made from time to time as deemed necessary by the Chief Engineering Officer of the Railroad to control the quality and size of ballast furnished by the producer.

Sufficient visual observation, determinations of deleterious substances and analyses of gradation shall be made by the producer prior to shipment to assure compliance with these specifications.

## 9. Methods of Test.

- (a) Samples shall be secured in accordance with the current ASTM Methods of Sampling, designation D 75-59.
- (b) Sieve analysis shall be made in accordance with current ASTM Method of Test, designation C 136-63.
- (c) Material finer than the No. 200 sieve shall be determined in accordance with the current ASTM Method of Test, designation C 117-62T.
- (d) The percentage of soft particles shall be determined in accordance with the current ASTM Method of Test, designation C 235-62T.
- (e) The percentage of clay lumps shall be determined in accordance with the current ASTM Method of Test, designation C 142-64T.
- (f) The resistance to abrasion shall be determined in accordance with the current ASTM Method of Test, designation C 535-65 for the size of the ballast specified.
- (g) Soundness test shall be made in accordance with the current ASTM Method of Test, designation C 88-63.
- (h) The weight per cubic foot shall be determined in accordance with the current ASTM Method of Test, designation C 29-60.



# PAN AM RAILWAYS

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## 10. Delivery.

Stone ballast shall be delivered as outlined in the Invitation to Bid. The producer shall include the costs for delivery of the ballast in the bid price.

Certified weigh slips shall be provided for each rail car or truck of ballast delivered.

### **Federal Grant Compliance Requirements**

Supplier further agrees with the Northern New England Passenger Rail Authority (referred to in this Addendum A as the "Authority") to comply with the following, to the extent applicable to Supplier. The parties agree that this document is not intended to enlarge or increase the applicability of any federal requirements to Supplier beyond those requirements that arise under federal law, regulation or the United States of America Department of Transportation Federal Transit Administration Master Agreement for Federal Transit Administration Agreements, as the same is amended from time to time by FTA, presently published at:

<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/funding/grantee-resources/sample-fta-agreements/114766/fta-master-agreement-fy2018.pdf>

(the "Master Agreement") by virtue of Supplier's participation in the Project.

**No Government Obligation to Third Parties.** Supplier acknowledges and agrees that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying Contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to the Recipient, Supplier or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying Contract. The Supplier agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by the FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

**Program Fraud.** Supplier recognizes that the requirements of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. §§ 3801 *et seq.*, and U.S. DOT Regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions hereunder. Accordingly, by signing the Agreement, Supplier certifies and affirms the truthfulness and accuracy of any statement it has made, it makes, or may make pertaining to the activities covered hereunder. In addition to other penalties that may be applicable, Supplier also acknowledges that if it makes false, fictitious or fraudulent claims, statements, submissions, assurances, or certifications, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986, as amended, on Supplier to the extent the Federal Government deems appropriate.

Supplier recognizes that if Supplier makes a false, fictitious, or fraudulent claim, statement, submission, certification, assurance, or representation to the Federal Government or includes a false, fictitious, or fraudulent statement or representation in any agreement with the Federal Government in connection with a project authorized under 49 U.S.C. chapter 53 or any other federal law, the Federal Government reserves the right to impose on Supplier the penalties of 49 U.S.C. § 5323(1), 18 U.S.C. § 1001 or other applicable federal law to the extent the Federal Government deems appropriate.

The Supplier agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

### **Access to Records and Reports.**

Record Retention. The Supplier will retain and will require its subcontractors of all tiers to retain, complete and readily accessible records related in whole or in part to the contract, including, but not limited to, data, documents, reports, statistics, sub-agreements, leases, subcontracts, arrangements, other third-party agreements of any type, and supporting materials related to those records.

Retention Period. The Supplier agrees to comply with the record retention requirements in accordance with 2 C.F.R. § 200.333. The Supplier shall maintain all books, records, accounts and reports required under this Contract for a period of at not less than three (3) years after the date of termination or expiration of this Contract, except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case records shall be maintained until the disposition of all such litigation, appeals, claims or exceptions related thereto.

Access to Records. The Supplier agrees to provide sufficient access to FTA and its Suppliers to inspect and audit records and information related to performance of this contract as reasonably may be required.

Access to the Sites of Performance. The Supplier agrees to permit FTA and its Suppliers access to the sites of performance under this contract as reasonably may be required.

**Federal Changes.** Supplier shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Master Agreement between Purchaser and FTA, as they may be amended or promulgated from time to time during the term of this contract. Supplier's failure to so comply shall constitute a material breach of this contract.

**Civil Rights and Equal Opportunity.** - The Supplier agrees to comply with all applicable Federal civil rights laws and implementing regulations. Apart from inconsistent requirements imposed by Federal laws or regulations, the Supplier agrees to comply with the requirements of 49 U.S.C. § 5323(h) (3) by not using any Federal assistance awarded by FTA to support procurements using exclusionary or discriminatory specifications.

Under this Agreement, the Supplier shall at all times comply with the following requirements and shall include these requirements in each subcontract entered into as part thereof.

**Nondiscrimination.** In accordance with Federal transit law at 49 U.S.C. § 5332, the Supplier agrees that it will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, disability, or age. In addition, the Supplier agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

**Race, Color, Religion, National Origin, Sex.** In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e *et seq.*, and Federal transit laws at 49 U.S.C. § 5332, the Supplier agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment

Opportunity, Department of Labor," 41 C.F.R. chapter 60, and Executive Order No. 11246, "Equal Employment Opportunity in Federal Employment," September 24, 1965, 42 U.S.C. § 2000e note, as amended by any later Executive Order that amends or supersedes it, referenced in 42 U.S.C. § 2000e note. The Supplier agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, national origin, or sex (including sexual orientation and gender identity). Such action shall include, but not be limited to, the following: employment, promotion, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Supplier agrees to comply with any implementing requirements FTA may issue.

Age. In accordance with the Age Discrimination in Employment Act, 29 U.S.C. §§ 621-634, U.S. Equal Employment Opportunity Commission (U.S. EEOC) regulations, "Age Discrimination in Employment Act," 29 C.F.R. part 1625, the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101 *et seq.*, U.S. Health and Human Services regulations, "Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance," 45 C.F.R. part 90, and Federal transit law at 49 U.S.C. § 5332, the Supplier agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Supplier agrees to comply with any implementing requirements FTA may issue.

Disabilities. In accordance with section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 *et seq.*, the Architectural Barriers Act of 1968, as amended, 42 U.S.C. § 4151 *et seq.*, and Federal transit law at 49 U.S.C. § 5332, the Supplier agrees that it will not discriminate against individuals on the basis of disability. In addition, the Supplier agrees to comply with any implementing requirements FTA may issue.

**Incorporation of Federal Transit Administration (FTA) Terms.** The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Supplier shall not perform any act, fail to perform any act, or refuse to comply with any Authority requests which would cause the Authority to be in violation of the FTA terms and conditions.

**Energy Conservation.** To the extent applicable to the services to be performed by Supplier hereunder, Supplier shall comply with the mandatory energy efficiency standards and policies within the applicable state energy conservation plans issued in compliance with the Energy Policy and Conservation Act.

**Disadvantaged Business Enterprise.** The Authority has adopted a Disadvantaged Business Enterprise and Women's Business Enterprise Policy in accordance with Federal Regulations issued by U.S. DOT (49 C.F.R. Part 26). This Policy provides that Disadvantaged Business Enterprises ("DBEs") and Women's Business Enterprises ("WBEs") will be afforded every practicable opportunity to participate in the

performance of contracts related to the Authority's construction, procurement and professional service activities. The Supplier shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. Supplier shall carry out applicable requirements of 49 C.F.R. part 26 in the award and administration of DOT-assisted contracts. Failure by the Supplier to carry-out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate, which may include, but is not limited to:

1. Withholding monthly progress payments;
2. Assessing sanctions;
3. Liquidated damages; and/or
4. Disqualifying the Supplier from future bidding as non-responsible. 49 C.F.R. §26.13(b)

**Prompt Payment.** The Supplier is required to pay its Subcontractors performing work related to this contract for satisfactory performance of that work no later than 30 days after the Supplier's receipt of payment for that work from the Authority. In addition, is required to return any retainage payments to those Subcontractors within 30 days after the Subcontractor work related to this contract is satisfactorily completed.

**Safe Operation of Motor Vehicles.**

Seat Belt Use. The Supplier is encouraged to adopt and promote on-the-job seat belt use policies and programs for its employees and other personnel that operate company-owned vehicles, company rented vehicles, or personally operated vehicles. The terms "company-owned" and "company-leased" refer to vehicles owned or leased either by the Supplier.

Distracted Driving. The Supplier agrees to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies to ban text messaging while using an electronic device supplied by an employer, and driving a vehicle the driver owns or rents, a vehicle Contactor owns, leases, or rents, or a privately-owned vehicle when on official business in connection with the work performed under this agreement.

**Termination Provisions.**

**Termination for Convenience.**

The Authority shall have the right to terminate the Agreement for convenience, in accordance with 2 C.F.R. §200.339. Any termination for convenience by the Authority shall not excuse the Authority's obligations under the Agreement arising prior to the effective date of such termination.

**Termination for Default (Breach or Cause).**

If the Supplier does not deliver supplies in accordance with the contract delivery schedule, or if the contract is for services, the Supplier fails to perform in the manner called for in the contract, or if the Supplier fails to comply with any other provisions of the contract, the Authority may terminate this contract for default. Termination shall be affected by serving a Notice of Termination on the Supplier

setting forth the manner in which the Supplier is in default. The Supplier will be paid only the contract price for supplies delivered and accepted, or services performed in accordance with the manner of performance set forth in the contract.

If it is later determined by the Authority that the Supplier had an excusable reason for not performing, such as a strike, fire, or flood, events which are not the fault of or are beyond the control of the Supplier, the Authority, after setting up a new delivery of performance schedule, may allow the Supplier to continue work, or treat the termination as a Termination for Convenience.

#### Opportunity to Cure.

The Authority, in its sole discretion may, in the case of a termination for breach or default, allow the Supplier an appropriately short period of time in which to cure the defect. In such case, the Notice of Termination will state the time period in which cure is permitted and other appropriate conditions.

If Supplier fails to remedy to NNEPRA's satisfaction the breach or default of any of the terms, covenants, or conditions of this Contract within 10 days after receipt by Supplier of written notice from the Authority setting forth the nature of said breach or default, the Authority shall have the right to terminate the contract without any further obligation to Supplier. Any such termination for default shall not in any way operate to preclude the Authority from also pursuing all available remedies against Supplier and its sureties for said breach or default.

#### Waiver of Remedies for any Breach.

In the event that the Authority elects to waive its remedies for any breach by Supplier of any covenant, term or condition of this contract, such waiver by the Authority shall not limit the Authority's remedies for any succeeding breach of that or of any other covenant, term, or condition of this contract.

Supplier recognizes and agrees that the FTA may suspend or terminate the Project for various reasons set forth in the Master Agreement at Section 11, that such termination may act to cancel or invalidate certain obligations incurred by FTA prior to the termination date, and that such Termination may act to relieve the Authority of such obligations as well.

**Suspension and Debarment.** The Supplier shall comply and facilitate compliance with U.S. DOT regulations, "Nonprocurement Suspension and Debarment," 2 C.F.R. part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," 2 C.F.R. part 180. These provisions apply to each contract at any tier of \$25,000 or more, and to each contract at any tier for a federally required audit (irrespective of the contract amount), and to each contract at any tier that must be approved by an FTA official irrespective of the contract amount. As such, the Supplier shall verify that its principals, affiliates, and subcontractors are eligible to participate in this federally funded contract and are not presently declared by any Federal department or agency to be:

- a) Debarred from participation in any federally assisted Award;
- b) Suspended from participation in any federally assisted Award;

- c) Proposed for debarment from participation in any federally assisted Award;
- d) Declared ineligible to participate in any federally assisted Award;
- e) Voluntarily excluded from participation in any federally assisted Award; or
- f) Disqualified from participation in any federally assisted Award.

By signing and submitting its bid or proposal, the Supplier or proposer certifies as follows:

The certification in this clause is a material representation of fact relied upon by the Authority. If it is later determined by the Authority that the Supplier or proposer knowingly rendered an erroneous certification, in addition to remedies available to the Authority, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The Supplier or proposer agrees to comply with the requirements of 2 C.F.R. part 180, subpart C, as supplemented by 2 C.F.R. part 1200, while this offer is valid and throughout the period of any contract that may arise from this offer. The Supplier or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

**Buy America.** The Supplier agrees to comply with 49 U.S.C. 5323(j) and 49 C.F.R. part 661, which provide that Federal funds may not be obligated unless all steel, iron, and manufactured products used in FTA funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. General waivers are listed in 49 C.F.R. § 661.7. Separate requirements for rolling stock are set out at 49 U.S.C. 5323(j)(2)(C) and 49 C.F.R. § 661.11.

The Supplier must submit to The Authority the appropriate Buy America certification with its bid or offer. Bids or offers that are not accompanied by a completed Buy America certification will be rejected as nonresponsive.

**Resolution of Dispute, Breach or Other Litigation.** FTA and the Authority have a vested interest in the settlement of any dispute, default, breach, or litigation involving any federally-assisted third-party contract. Supplier agrees to pursue all legal rights available under any third-party subcontract. FTA and the Authority reserve the right to concur in any compromise or settlement of any third-party subcontract claim involving Supplier. Supplier agrees to notify FTA and the Authority of any current or prospective major dispute, breach, default, or litigation pertaining to any third-party subcontract. If Supplier seeks to name the Federal Government or the Authority as a party to litigation for any reason, in any forum, Supplier agrees to inform the FTA and/or the Authority, as applicable, before doing so. The Federal Government retains the right to a proportionate share, based on the percentage of the Federal share committed to the Project, of any proceeds derived from any third-party recovery. If the third-party subcontract at issue contains a liquidated damages provision, Supplier agrees to credit any liquidated damages recovery to the Project unless the Federal Government permits otherwise.

In the event of any failure on the part of Supplier or the Authority to comply with any of its obligations contained in the Agreement and the continuation of such failure for a period of thirty (30) days after receipt of notice thereof from the other party, the other party shall have the right, at its option, to declare a default. Upon giving the party in default an additional notice of thirty (30) days and an opportunity to cure the default, the party not in default may terminate the Agreement. The rights to terminate shall be in addition to the other rights and remedies provided hereunder as well as those



available, at law or in equity, including claims for money damages and specific performance, which remedies will be cumulative.

**Lobbying.** Supplier agrees that it will not use Federal assistance funds received from the Authority to support lobbying or to pay any person or organization to influence or attempt to influence an officer or employee of any federal department or agency, a member of Congress, a member of a State legislature, an officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal grant, cooperative agreement, or any other Federal award used for the Project (“Lobbying”), and it will comply with applicable requirements of U.S. DOT regulations “New Restrictions on Lobbying,” 49 C.F.R. Part 20, modified as necessary by 31 U.S.C. § 1352. Prior to execution of this Agreement Supplier has provided, and hereafter upon notice from the Authority’s Supplier will provide, to the Authority (i) a certification that Supplier has not used Federal assistance funds for Lobbying and (ii) if applicable, Supplier’s statement disclosing any Lobbying that it has undertaken with funds other than Federal appropriated funds. Supplier shall include the requirements of this paragraph in any third-party agreement with a Supplier or any subrecipient and require such Suppliers or subrecipients to extend applicable requirements to all SubContractors at any tier in connection with the Project. Supplier agrees to maintain a file with all such certifications as part of the records required to be maintained.

**Clean Air and Clean Water.** The Supplier agrees:

- 1) It will not use any violating facilities;
- 2) It will report the use of facilities placed on or likely to be placed on the U.S. EPA “List of Violating Facilities;”
- 3) It will report violations of use of prohibited facilities to FTA; and
- 4) It will comply with the inspection and other requirements of the Clean Air Act, as amended, (42 U.S.C. §§ 7401 – 7671q); and the Federal Water Pollution Control Act as amended, (33 U.S.C. §§ 1251-1387).

## NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY

### CERTIFICATION OF A POTENTIAL PRIME CONTRACTOR (DIRECT THIRD-PARTY CONTRACTOR) REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

The Contractor \_\_\_\_\_, certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period preceding this proposal or bid had one or more public transactions (Federal, State or local) terminated for cause or default.
5. The potential Contractor agrees to provide the Authority with immediate written notice if, at any time, it learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. Each Subcontractor or Vendor for the potential Contractor shall provide the same updated notice to the potential Contractor and the potential Contractor shall be solely responsible for collecting, updating and submitting updated information to the Authority.

NOTE: If for any reason the potential Contractor is unable to certify to any of the statements in this certification, the potential Contractor shall attach an explanation to this certification.

THE POTENTIAL CONTRACTOR, \_\_\_\_\_, CERTIFIES OR AFFIRMS THE TRUTHFULLNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION.

\_\_\_\_\_  
(Company Name)

DATE: \_\_\_\_\_

By: \_\_\_\_\_

Its \_\_\_\_\_

CERTIFICATION REGARDING LOBBYING  
FOR  
CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities" in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 21, U.S. Code. Any Person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Name of Organization: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Authorized Official)

\_\_\_\_\_  
(Title of Authorized Official)

(Date) \_\_\_\_\_



Northern New England Passenger Rail Authority  
FTA America Certification

**BUY AMERICA CERTIFICATE  
FOR COMPLIANCE WITH TITLE 49 USC § 5323(J)(1) (For  
Procurement of Steel, Iron, or Manufactured Products)**

The Bidder/Proposer hereby certifies that it will comply with the requirements of Title 49 USC § 5323(j)(1) and the applicable regulations in 49 CFR Part 661.

Executed on: \_\_\_\_\_, 20 \_\_\_\_, at \_\_\_\_\_, \_\_\_\_\_  
(Date) (City) (State)

\_\_\_\_\_  
Printed Name Signature of Authorized Official Title

**BUY AMERICA CERTIFICATE FOR NON-COMPLIANCE WITH TITLE 49 USC §. 5323(J)(1)**

The Bidder/Proposer hereby certifies that it cannot comply with the requirements of Title 49 USC § 5323(j)(1), but it may qualify for an exception pursuant to Title 49 USC § 5323(j)(2)(B) or (j)(2)(D) and the regulations in 49 CFR 661.7.

Executed on: \_\_\_\_\_, 20 \_\_\_\_, at \_\_\_\_\_, \_\_\_\_\_  
(Date) (City) (State)

\_\_\_\_\_  
Printed Name Signature of Authorized Official Title