



**Request for Quotes 20-ATJ-OTM-004**  
**Domestically Produced Other Track Materials**  
**April 21, 2020**

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

**DESCRIPTION OF MATERIAL REQUESTED:**

- **New, Domestically Produced Other Track Material (OTM)** conforming to the attached Pan Am Railways specification.
- NNEPRA intends to issue a purchase order for the minimum quantities noted in the Quote Form shortly after this procurement. NNEPRA may have need for additional materials through the end of 2020 and will issue additional purchase orders, as needed, if the supplier is willing to hold their quoted unit price through December 31, 2020.

**DELIVERY REQUIREMENTS:**

- Delivery costs shall be included in the quoted unit price.
- All materials shall be delivered as soon as possible. Please provide a proposed delivery date on the quote form. Due to the ongoing COVID-19 pandemic and associated reduction in rail traffic, NNEPRA would like to begin receiving materials for installation as soon as possible. Quotes with earlier delivery dates may be given preference.
- If materials are not available soon enough to reasonably take advantage of the currently reduced rail traffic, NNEPRA and Pan Am Railways would consider receiving the materials in late summer of 2020 if the supplier is willing to hold their quoted unit price.
- All materials shall be delivered to Pan Am Railways' Dover Yard. Materials may be delivered via flatbed truck or gondola railcar, at the supplier's option. Pan Am Railways will unload the materials at no cost to the suppliers.

**REQUEST FOR QUOTES DUE DATE:**

- Please provide a written quote no later than **3:00 p.m. local time, April 29, 2020**. All quotes shall be made on the attached **Quote Form** and shall include **signed Federal Clauses (3)** that are attached to this RFQ.
- Quotes may be submitted via email or mail.
- All quotes shall be valid for 30 days.

**REQUEST FOR QUOTE QUESTIONS:**

- All questions must be received no later than Thursday April 23, 2020 at 5:00 p.m. local time to be considered.
- NNEPRA will issue an addendum, if needed, by April 24, 2020 answering questions received prior to the deadline.
- All questions regarding this quote must be made in writing by **email only** and directed to:  
William Gayle, Grant and Policy Administrator  
Northern New England Passenger Rail Authority

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY REQUEST FOR QUOTES  
RFQ 20-ATJ-OTM-004

75 West Commercial Street, Suite #104  
Portland, Maine 04101  
[william@nnepra.com](mailto:william@nnepra.com)

**Phone calls will not be accepted.**

**ADDITIONAL INFORMATION:**

- Portions of this project are being funded by 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.
- NNEPRA intends to provide a purchase order within five business days of the Request for Quotes due date to the lowest quoted price 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 Quotes, to waive any technical or legal deficiencies, and to accept any Quote that it may deem to be in the best interest of the Authority.

**POST QUOTE REQUIREMENTS:**

- The successful Supplier shall begin execution of this contract within ten (10) calendar days after a Purchase Order has been issued.

**PAYMENT PROVISIONS:**

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

## QUOTE FORM

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

**PRODUCT IDENTIFICATION:** **New, Domestically Produced Other Track Materials** conforming to the attached Pan Am Railways specifications.

**THIS QUOTE 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  
[william@nnepra.com](mailto:william@nnepra.com)

By submitting this Quote the undersigned Supplier:

1. Proposes and agrees, if the Quote 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 Request for Quote Documents, for the prices and in accordance with the delivery schedule as detailed in the Quote Form.
2. Accepts all of the terms and conditions included in the Request for Quotes and agrees that this Quote will remain open for thirty days after the day of Request for Quotes due date.
3. Agrees that:
  - a. Supplier has examined copies of all the Quote Documents and any addenda, receipt of all of which is hereby acknowledged.
  - b. This Quote 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; Supplier has not directly or indirectly induced or solicited any other Supplier to submit a false or sham Quote; Supplier has not solicited or induced any person, firm or corporation to refrain from quoting; and Supplier has not sought by collusion to obtain for himself any advantage over any other Supplier or over Northern New England Passenger Rail Authority.
4. Acknowledges that this Request for Quotes 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 quoted.

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

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY REQUEST FOR QUOTES  
RFQ 20-ATJ-OTM-004

**QUOTE FORM**

This Quote is submitted for the following product:

**New, Domestically Produced Other Track Materials** conforming to the attached Pan Am Railways specifications.

**Note: Each quote item will be awarded separately. Suppliers are not required to provide a quote on all items.**

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<b><u>Quote Item 1</u></b>	<b><u>Quantity</u></b>	<b><u>Unit Price</u></b>	<b><u>Total Price</u></b>
Cut Track Spikes	75,000 Each	_____/EA	_____
	Proposed Delivery Date		_____

**All suppliers shall respond to the two items below.**

Due to the ongoing COVID-19 pandemic and associated reduction in rail traffic, NNEPRA would like to begin receiving materials for track spikes as soon as possible. However, if materials are not available soon enough to reasonably take advantage of the currently reduced rail traffic, NNEPRA and Pan Am Railways would consider receiving the track spikes in late summer of 2020. Please indicate below if you are willing to deliver the initial 75,000 track spikes in late summer 2020 at the quoted unit price:

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

NNEPRA intends to issue a purchase order for 75,000 track spikes shortly after this procurement. NNEPRA may have need for additional track spikes through the end of 2020 and will issue additional purchase orders, as needed, if the supplier is willing to hold their quoted unit price through December 31, 2020. The additional quantity of track spikes is anticipated to be less than 50,000. Delivery timeframes for the additional track spikes shall be mutually agreed upon by NNEPRA and the Supplier. Please indicate below if you are willing to supply additional track spikes through December 31, 2020 at the quoted unit price:

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

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY REQUEST FOR QUOTES  
RFQ 20-ATJ-OTM-004

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<u>Quote Item 2</u>	<u>Quantity</u>	<u>Unit Price</u>	<u>Total Price</u>
Rail Anchors	15,000 Each	_____ /EA	_____
	Proposed Delivery Date	_____	_____

**All suppliers shall respond to the two items below.**

Due to the ongoing COVID-19 pandemic and associated reduction in rail traffic, NNEPRA would like to begin receiving materials for rail anchors as soon as possible. However, if materials are not available soon enough to reasonably take advantage of the currently reduced rail traffic, NNEPRA and Pan Am Railways would consider receiving the rail anchors in late summer of 2020. Please indicate below if you are willing to deliver the initial 15,000 rail anchors in late summer 2020 at the quoted unit price:

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

NNEPRA intends to issue a purchase order for 15,000 rail anchors shortly after this procurement. NNEPRA may have need for additional rail anchors through the end of 2020 and will issue additional purchase orders, as needed, if the supplier is willing to hold their quoted unit price through December 31, 2020. The additional quantity of rail anchors is anticipated to be less than 10,000. Delivery timeframes for the additional rail anchors shall be mutually agreed upon by NNEPRA and the Supplier. Please indicate below if you are willing to supply additional rail anchors through December 31, 2020 at the quoted unit price:

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

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<u>Quote Item 3</u>	<u>Quantity</u>	<u>Unit Price</u>	<u>Total Price</u>
Tie Plates	2,000 Each	_____ /EA	_____
	Proposed Delivery Date	_____	_____

**All suppliers shall respond to the two items below.**

Due to the ongoing COVID-19 pandemic and associated reduction in rail traffic, NNEPRA would like to begin receiving materials for tie plates as soon as possible. However, if materials are not available soon enough to reasonably take advantage of the currently reduced rail traffic, NNEPRA and Pan Am Railways would consider receiving the tie plates in late summer of 2020.

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY REQUEST FOR QUOTES  
RFQ 20-ATJ-OTM-004

Please indicate below if you are willing to deliver the initial 2,000 tie plates in late summer 2020 at the quoted unit price:

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

NNEPRA intends to issue a purchase order for 2,000 tie plates shortly after this procurement. NNEPRA may have need for additional tie plates through the end of 2020 and will issue additional purchase orders, as needed, if the supplier is willing to hold their quoted unit price through December 31, 2020. The additional quantity of tie plates is anticipated to be less than 1,500. Delivery timeframes for the additional tie plates shall be mutually agreed upon by NNEPRA and the Supplier. Please indicate below if you are willing to supply additional tie plates through December 31, 2020 at the quoted unit price:

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

Communications concerning this Quote shall be addressed to:

Supplier Company Name: \_\_\_\_\_

Supplier's Representative: \_\_\_\_\_

Supplier's Address: \_\_\_\_\_

Supplier's Telephone No: \_\_\_\_\_

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

Supplier'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 #: \_\_\_\_\_

NORTHERN NEW ENGLAND PASSENGER RAIL AUTHORITY REQUEST FOR QUOTES  
RFQ 20-ATJ-OTM-004

In submitting this quote, it is understood and agreed by Supplier that THE AUTHORITY reserves the right to reject any and all quotes, or part of any quote, and it is agreed that the quote may not be withdrawn for a period of [30] days subsequent to the receipt of quotes, without the written consent of the Authority.

SUPPLIER AUTHORIZED SIGNATURE: \_\_\_\_\_

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

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



# PAN AM RAILWAYS

1700 IRON HORSE PARK  
NO. BILLERICA, MA 01862

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## Specifications for: Cut Track Spikes

1. Cut track spikes shall be new, domestically produced and conform to AREMA specifications for steel track spikes.
2. Cut track spikes shall conform to AREMA design of 6" under head, 5/8" reinforced throat track spikes.
3. Cut track spikes shall be shipped in steel kegs which shall not exceed a weight of 50 pounds.





# PAN AM RAILWAYS

1700 IRON HORSE PARK  
NO. BILLERICA, MA 01862

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## Specifications for: Rail Anchors

1. Rail anchors shall be new, domestically produced and conform to AREMA specifications for rail anchors.
2. Rail anchors shall be the drive-on type Unit 5 design for use with AREMA 115# RE rail.
3. Rail anchors shall be shipped in steel kegs or reinforced poly bags which shall not exceed a weight of 50 pounds.



# PAN AM RAILWAYS

1700 IRON HORSE PARK  
NO. BILLERICA, MA 01862

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## Specifications for: Tie Plates

1. Tie plates shall be new, domestically produced and conform to AREMA specifications for steel tie plates.
2. Tie plates shall conform to AREMA plans for 13" or greater length tie plates for use with 5-1/2" base of rail width.
3. Tie plates shall conform to AREMA specifications for low-carbon steel tie plates.
4. All spike holes shall be square.
5. Six hole punching is preferred but eight hole punching is acceptable.
6. All tie plates shall be consistent in size and design unless approved by Pan Am Railways.

### **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