

Mary Matuszak  
Fiscal Admin. Supv.  
(860)594-2342  
Telephone Number

**STATE OF CONNECTICUT**  
**DEPARTMENT OF TRANSPORTATION**  
**DIVISION OF PURCHASING & MATERIALS MANAGEMENT**  
Room #2418  
2800 Berlin Turnpike  
Newington, CT 06131-7546

RFP NO.  
13DOT7000

RFP Due Date:  
15 November 2013

Date Addendum Issued:  
30 September 2013

**PLEASE NOTE:**

This document must be signed where indicated below by a person authorized to sign Proposals and Addenda on behalf of your company, and returned with your Request for Proposal (RFP) submission. Failure to do so may result in rejection of your Proposal.

**RFP Addendum #2**

DESCRIPTION: Overhaul of P40 and Top Deck Overhaul of GP40 Locomotives  
FOR: State of Connecticut, Department of Transportation (ConnDOT)

**PROPOSER'S NOTE:**

This addendum is being issued to include the following:

1. ConnDOT requires additional time to answer the Proposer questions that have been received. Therefore, the Proposal Schedule has been revised accordingly, as follows:

Answers to Questions posted as Addendum:	Date: November 20, 2013
RFP Due Date:	Date: December 12, 2013, by 2:00 p.m.

2. An additional Form is now required for a large State contract. Therefore, please submit the following with your Proposal:  
**Attachment #6 - OPM Iran Certification Form 7**

For your information only, the following has been modified to reflect the additional Form 7 requirement above:  
**Attachment #7 - Revised LISTING OF FORMS TO BE SUBMITTED WITH PROPOSAL**. The Listing of Forms does not have to be returned with your Proposal.

3. It has been determined that Prevailing Wages are not required for this project. Please note the following revisions to the RFP regarding this determination:  
**Attachment #8 - Revised Table of Contents of RFP Document, removing reference to "Exhibit D. Federal Wage Rates"**  
**Attachment #9 - Revised Page 29 of 36 of RFP Document, removing Section 5.2 "Wage Rates"**
4. Two (2) pages unrelated to this RFP were inadvertently included in the posted document. Please disregard the two pages following page 33 of 33 of the RFP Document.

All other Terms and Conditions remain the same.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**ATTACHMENT #6**

**OPM Iran Certification Form 7**

**STATE OF CONNECTICUT**

Written or electronic PDF copy of the written certification to accompany a large state contract pursuant to P.A. No. 13-162 (Prohibiting State Contracts With Entities Making Certain Investments In Iran)

**Respondent Name:** \_\_\_\_\_

**INSTRUCTIONS:**

**CHECK ONE:** ☐ Initial Certification.  
☐ Amendment or renewal.

**A. Who must complete and submit this form.** Effective October 1, 2013, this form must be submitted for any large state contract, as defined in section 4-250 of the Connecticut General Statutes. This form must always be submitted with the bid or proposal, or if there was no bid process, with the resulting contract, regardless of where the principal place of business is located.

Pursuant to P.A. No. 13-162, upon submission of a bid or prior to executing a large state contract, **the certification portion of this form must be completed** by any corporation, general partnership, limited partnership, limited liability partnership, joint venture, nonprofit organization or other business organization **whose principal place of business is located outside of the United States**. United States subsidiaries of foreign corporations are exempt. For purposes of this form, a "foreign corporation" is one that is organized and incorporated outside the United States of America.

**Check applicable box:**

- ☐ Respondent's principal place of business is within the United States or Respondent is a United States subsidiary of a foreign corporation. Respondents who check this box **are not required to complete the certification portion of this form**, but must submit this form with its Invitation to Bid ("ITB"), Request for Proposal ("RFP") or contract package if there was no bid process.
- ☐ Respondent's principal place of business is outside the United States and it is not a United States subsidiary of a foreign corporation. **CERTIFICATION required.** Please complete the certification portion of this form and submit it with the ITB or RFP response or contract package if there was no bid process.

**B. Additional definitions.**

- 1) "Large state contract" has the same meaning as defined in section 4-250 of the Connecticut General Statutes;
- 2) "Respondent" means the person whose name is set forth at the beginning of this form; and
- 3) "State agency" and "quasi-public agency" have the same meanings as provided in section 1-79 of the Connecticut General Statutes.

**C. Certification requirements.**

No state agency or quasi-public agency shall enter into any large state contract, or amend or renew any such contract with any Respondent whose principal place of business is located outside the United States and is not a United States subsidiary of a foreign corporation unless the Respondent has submitted this certification.

Complete all sections of this certification and sign and date it, under oath, in the presence of a Commissioner of the Superior Court, a Notary Public or a person authorized to take an oath in another state.

**CERTIFICATION:**

I, the undersigned, am the official authorized to execute contracts on behalf of the Respondent. I certify that:

- ☐ Respondent has made no direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010.
- ☐ Respondent has either made direct investments of twenty million dollars or more in the energy sector of Iran on or after October 1, 2013, as described in Section 202 of the Comprehensive Iran Sanctions, Accountability and Divestment Act of 2010, or Respondent made such an investment prior to October 1, 2013 and has now increased or renewed such an investment on or after said date, or both.

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
**Printed Respondent Name**

\_\_\_\_\_  
**Printed Name of Authorized Official**

\_\_\_\_\_  
**Signature of Authorized Official**

Subscribed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
**Commissioner of the Superior Court (or Notary Public)**

# **ATTACHMENT #7**

**Revised Listing of Forms to be Submitted with Proposal**

## **LISTING OF FORMS TO BE SUBMITTED WITH PROPOSAL**

Please be sure to check your Proposal prior to submission to insure that the following forms have been included. Failure to submit a complete RFP Package may result in rejection of your Proposal

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- DOT-26 Request for Proposals
  - Vendor Authorizations (Per the instructions noted in Guidance for Vendor Authorizations)
  - Standard Bid Bond
  - DAS-14 Statement of Qualifications
  - Non-Collusion Affidavit
  - DOT-25 Recommended Spare Parts List
  - Agency Vendor Form
  - W-9
  - OPM-Nondiscrimination Certification (as determined in "Explanation of Forms" section of instructions)
  - OPM Iran Certification Form 7 (Issued via Addendum #2)
- 

The following required documentation is detailed in the RFP Document; Section 7, "Submittal Requirements"; page 34 of 36 and page 35 of 36.

- Transmittal Letter
  - Selection Criteria Submittals
- 

- Exhibit B -- Proposal (Price) Schedule
- 

### **FTA Required Documents:**

- Buy America Certification
  - Pre-Award and Post Delivery Audit Requirements
  - Lobbying Certification
- 

**Addenda** (Signed by a person authorized to sign Proposals and Addenda on behalf of your company)

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# **ATTACHMENT #8**

**Revised Table of Contents of RFP Document**

## TABLE OF CONTENTS

**NOTE:** This Table of Contents has been prepared for the convenience of those using this contract with the sole express purpose of locating quickly the information contained herein; and no claims shall arise due to omissions, additions, deletions, etc., as this Table of Contents shall not be considered part of the contract.

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### **EXHIBITS:**

**A.1 General Specifications**

**A.2 Technical Specifications**

**B. Price Proposal Template**

**C. Federal Requirements**

**[REDACTED] (Removed via Addendum #2)**

**E. SECC**

## **ATTACHMENT #9**

**Revised Page 29 of 36 of RFP Document**



## 5. SPECIAL PROVISIONS

### 5.1 Laws to be Observed

- A. The Contractor at all times shall observe and comply with all Federal and State laws and local bylaws, ordinances and regulations in any manner affecting the conduct of the work, and all such orders or decrees as exist at present and those which may be enacted later, of bodies or tribunals having any jurisdiction or authority over the work. He shall indemnify and save harmless the State and all of its officers, agents and servants against any claim or liability arising from or based on the violation of any such law, bylaw, ordinance, regulation, order or decree, whether by himself or his employees.
  - B. If any discrepancy or inconsistency is discovered in the Contract for the work in relation to any law, ordinance, regulations, order or decree; the Contractor shall forthwith report the same to ConnDOT in writing.
  - C. The Contractor shall at all times observe and comply with and shall cause all his agents, employees and Subcontractors to observe and comply with, all existing laws, ordinances, regulations, orders, and decrees.
- [REDACTED]
- [REDACTED]
- [REDACTED]

(Removed via Addendum #2)

### 5.3 Motor Carrier Safety Review

If the performance of the Contract requires the use and operation of any commercial motor vehicle, as defined in section 14-1 of the Connecticut General Statutes, or other motor vehicle with a gross vehicle weight rating (GVWR) of 18,000 pounds or more, each Proposer will be the subject of an evaluation, conducted by the Connecticut Department of Motor Vehicles (CTDMV) of its motor carrier safety fitness. The primary factor in the evaluation is the current SAFESTAT score, calculated by the U.S. Federal Motor Carrier Safety Administration (FMCSA) in accordance with the provisions of Title 49, Section 385.1, et seq., of the Code of Federal Regulations.

To be deemed qualified, the Proposer must have an overall SAFESTAT category rating of "D" or better, on the date of evaluation. In addition, the proposer's driver and vehicle out-of-service rates will be consulted. The rates are determined by the number of out-of-service violations cited to the motor carrier in the course of all official, reported vehicle and/or driver inspections conducted during the preceding thirty (30) months. To be deemed qualified, the proposer must not have either a vehicle or driver out-of-service rate, by percentage of out-of-service violations per the total number of inspections reported, that is more than twice the national average. In addition, the proposer must have a current federal safety management practices rating of "Satisfactory," as defined in 49 CFR section 385.3, as amended.

Further information concerning the motor carrier safety evaluation, to which a proposer is subject, may be obtained from CTDMV, at <http://www.ct.gov/dmv/cwp/view.asp?a=798&q=413206&dmvPNavCtr=1#49068>. All official inspection and rating data that is used in the performance of each evaluation is available to any motor carrier through the federal SAFESTAT website, at <http://www.ai.volpe.dot.gov/>.