

Exhibit A – Division 100 General Conditions

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DIVISION 100 - GENERAL CONDITIONS

100.1 Replacement of Former Standard Specifications and Standard Details This 2020 edition of the Maine Department of Transportation's (MDOT) Standard Specifications and Standard Details for Construction ("Standard Specifications") was drafted and adopted by MDOT pursuant to the authority granted to it by 23 MRSA § 4243. These Standard Specifications replace and supersede all previous Standard Specifications and Standard Details and are being utilized by the Maine Department of Marine Resources (the Department or MDMR) for the reference Project in close coordination with Maine DOT. The Standard Specifications are Contract provisions issued by the Department that govern the relationship between the Department and the Department's Contractors. By virtue of submitting a Bid on a project, each Bidder is bound by the terms of these Standard Specifications. These Standard Specifications in this document have been modified as appropriate by the Maine Department of Marine Resources to best address the Woodland Fishway Passage System Project.

SECTION 101 - CONTRACT INTERPRETATION

Scope of Section This Section consists of abbreviations, definitions, and general rules of interpretation.

101.1 Abbreviations Abbreviations are defined in the following list. Abbreviations not defined in this Section or otherwise in the Contract shall have the meaning that is commonly accepted in the engineering and construction industry.

| | |
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| AAN | American Association of Nurserymen, Incorporated |
| AAR | Association of American Railroads |
| ACI | American Concrete Institute |
| ADA | Americans with Disabilities Act |
| AGC | Associated General Contractors of America |
| AIA | American Institute of Architects |
| AISC | American Institute of Steel Construction |
| ANLA | American Nursery & Landscape Association |
| ANSI | American National Standards Institute |
| ARA | American Railway Association |
| AREMA | American Railway Engineering and Maintenance-of-way Association |
| ASCE | American Society of Civil Engineers |
| ASD | Allowable Stress Design |
| ASLA | American Society of Landscape Architects |
| ASME | American Society of Mechanical Engineers |
| ASTM | American Society for Testing and Materials |
| AWWA | American Water Works Association |
| AWPA | American Wood Protection Association |
| AWS | American Welding Society |
| BMP | Best Management Practices |
| CFR | Code of Federal Regulations |
| DBE | Disadvantaged Business Enterprise |
| DREW | Daily Reports of Extra Work |
| EIA | Electronic Industries Association |
| EEO | Equal Employment Opportunity |

| | |
|---------|---|
| EMS | Emergency Medical Service |
| FAA | Federal Aviation Administration |
| FRA | Federal Railroad Administration |
| FSS | Federal Specifications and Standards, General Services Administration |
| IES | Illuminating Engineering Society |
| IJCSRCB | International Joint Commission St. Croix River Board of Control |
| IMSA | International Municipal Signal Association |
| IPCEA | Insulated Power Cable Engineers Association |
| ISEE | International Society of Explosives Engineers |
| ISO | Insurance Services Office |
| LFD | Load Factor Design |
| LRFD | Load and Resistance Factor Design |
| LUPC | Land Use Planning Commission - Maine |
| MCTCB | Maine Concrete Technician Certification Board |
| MDEP | Maine Department of Environmental Protection |
| MDMR | Maine Department of Marine Resources |
| MDOT | Maine Department of Transportation |
| MDIFW | Maine Department of Inland Fisheries and Wildlife |
| MHPC | Maine Historic Preservation Commission |
| MIL | Military Specifications |
| MRSA | Maine Revised Statutes Annotated |
| NBS | National Bureau of Standards |
| NEC | National Electrical Code |
| NEMA | National Electrical Manufacturers Association |
| NEPCOAT | Northeast Protective Coating Committee |
| NESC | National Electric Safety Code |
| NICET | National Institute for Certification in Engineering Technologies |
| NMFS | National Marine Fisheries Service |
| NOAA | National Oceanic and Atmospheric Administration |
| OJT | On-The-Job Training |
| OSHA | Occupational Safety and Health Administration |
| PCI | Precast/Prestressed Concrete Institute |
| PIN | Project Identification Numbers |
| QA | Quality Assurance |
| QC | Quality Control |
| QCP | Quality Control Plan |
| QPL | Qualified Products List |
| RFI | Request for Information |
| SAE | Society of Automotive Engineers |
| SEWPCP | Soil Erosion and Water Pollution Control Plan |
| SPCCP | Spill Prevention Control and Countermeasure Plan |
| SSPC | The Society for Protective Coatings |
| TAPPI | Technical Association of Pulp and Paper Industry |
| USACE | US Army Corps of Engineers |
| USC | United States Code |
| USDA | United States Department of Agriculture |

| | |
|-------|-----------------------------------|
| USFWS | US Fish and Wildlife Service |
| UL | Underwriter's Laboratory |
| VECP | Value Engineering Change Proposal |
| VFL | Verdantas Flow Labs |

101.2 Definitions Certain words, terms, and phrases are defined below. Capitalized words in this Division 100 General Conditions are defined under this Section. Words, terms, or phrases that are not defined in this Section 101.2 or otherwise in the Contract or Specifications shall have the meaning commonly accepted in the engineering and construction industry.

Acceptable Work Work that Conforms or Substantially Conforms to the Contract and is satisfactory to the Department.

Acceptance Consideration of operations, inspections, samples, tests, certifications, proper QCP implementation, and end product properties to determine whether the product will be accepted for payment, including any adjustments to compensation as provided in the Contract.

Acceptance Test Test utilized by the Department to evaluate the quality of a Material or product.

Actual Costs Direct, Project-specific, costs actually incurred by the Contractor in the performance of Work. Actual Costs consist of labor, Material, Equipment, and administrative overhead. For related provisions, see Section 109.7, Equitable Adjustments to Compensation and Time and Section 109.7.2 – Basis of Payment.

Addendum See Bid Amendment.

Aggregate Inert Material such as sand, gravel, broken stone, crushed stone, or a combination of any of these Materials.

Agreement Agreement means Contract Agreement.

Apparent Low Bidder A Bidder that submits the lowest apparently responsive Bid. The Apparent Low Bidder may not be Awarded the Contract if a) the Bid is later found to be non-responsive in accordance with Section 102.11, b) the Bidder is found to be not responsible, c) the Bidder fails to comply with all applicable pre-Award Conditions or other pre-execution requirements of the Contract, or d) the Department chooses not to Award a Contract.

Apparent Successful Bidder The Bidder with the lowest responsive Bid as determined by the Department. A responsive responsible Bidder, usually the Apparent Low Bidder, that is Awarded the Contract. The Department may not execute the Contract with the Apparent Successful Bidder if a) the Apparent Successful Bidder fails to comply with all applicable

pre-Award conditions or other pre-execution requirements of the Contract or b) if the Department chooses not to Award a Contract.

Award The execution of the Contract by the Department, conditioned upon the Successful Bidder's performance of all pre-execution requirements of the Bid Documents.

Award Conditions Pre-Award or pre-execution requirements that the Contractor must meet before Contract Execution, including bonding and insurance. For a related provision, see Section 103.5 - Award Conditions.

Bid The offer by a Bidder on forms prescribed by the Department to perform the Work in Conformity with all provisions of the Bid Documents for the price(s) set forth.

Bid Amendment A written change to the Bid Documents issued by the Department after advertisement and before the Bid Opening.

Bid Bond A bond furnished with a Bid by a Bidder and its Surety in the amount set forth in the Notice to Contractors or elsewhere in the Bid Documents. The Bid Bond is forfeited if the Apparent Low Bidder refuses to enter into a Contract with the Department.

Bid Contact Person The person identified in the advertised Notice to Contractors, usually the Project Manager, as the person to whom the Bidder must refer technical or Engineering questions from the time of advertisement through Contract Execution, said person being duly authorized by the Commissioner. The Contracts Engineer for MDOT may be contacted regarding Bidding and contracting procedures. If no one is so identified, the Bidder must refer questions to the Contracts Engineer. All technical or project specific questions must be submitted as described in the Notice to Contractors.

Bidder An individual, firm, corporation, limited liability company, partnership, joint venture, sole proprietorship, or other entity that submits a Bid. Upon Contract Execution, the successful Bidder becomes the Contractor.

Bid Documents Documents issued by the Department to solicit Bids from Contractors. Bid Documents generally include the Project Specific Bid Book, Notice to Contractors, Plans and Specifications, Bidding instructions, and any Bid Amendments issued by the Department. Documents attached to or referenced in the Bid Documents are part of the Bid Documents.

Bid Escrow Documentation All writings, working papers, computer printouts, charts, schedules of prices, and data compilation that contain or reflect information, quantities, unit costs, data, or calculations used by the Bidder to determine the Bid price, or technical and price proposal in the case of a Design-Build or Best Value Procurement type of Contract, shall be submitted, including but not limited to material relating to the determination and application of:

Design Costs

Equipment rates
Overhead rates and related time schedules
Labor rates
Arithmetic extensions
Subcontractor and Material Supplier Quotations

Any manuals standard to the industry used by the Bidder in determining the Bid are also considered Bid Escrow Documentation. These manuals may be included in the Bid Escrow Documentation by reference and shall show the name and date of the publication and the publisher. Bid Escrow Documentation need not include Bid Documents provided by the Department to all Bidders.

Bid Guaranty A bond or other acceptable security specified in the Notice to Contractors or elsewhere in the Bid Documents that is forfeited if the Apparent Low Bidder refuses to enter into a Contract with the Department. For a related provision, see Section 102.6 - Bid Guaranty.

Bid Opening The date and precise time by which the Bidder must Deliver its Bid to be publicly opened and read as specified in the Notice to Contractors or any applicable Bid Amendment. For related provisions, see Sections 102.7 - Delivery of Bids and 102.9 - Bid Opening.

Blue Book The edition of publications entitled “Rental Rate Blue Book for Construction Equipment” or “Rental Rate Blue Book for Older Construction Equipment,” as applicable, published by Primedia Information Inc., that was current when the Work being priced was performed.

Bridge A structure that is erected over a depression or an obstruction, such as water, a highway or a railway.

Business Day Every Calendar Day other than Saturdays, Sundays, and Holidays.

Calendar Day Every day shown on the calendar, beginning at 12:01 a.m. and ending at midnight.

Change Order See Contract Modification

Project Manager The Project Manager of the Department.

Closeout Documentation All documentation listed in the Specifications or otherwise required by the Department to finish the Project in accordance with State, federal, and other requirements. These documents include but are not limited to:

Letter “All Bills Paid” on Contractor’s letterhead
Request for Final Payment on Contractor’s letterhead
Certificate of Materials

Agreement with Final Quantities on Contractor's letterhead
Testing Compliance Letter

The Department reserves the right to amend this list of required Closeout Documentation

Commissioner The Commissioner of the Department appointed by the Governor of Maine.

Compensable Delay See Section 109.5.1 - Definitions - Types of Delays.

Completion Completion occurs when the Contractor has finished all Work pursuant to the Contract, including Delivery of all Closeout Documentation. Completion does not mean substantial Completion. Unless the context indicates otherwise, Completion also does not mean Completion of Physical Work.

Completion of Physical Work Completion of Physical Work occurs when the Work is complete and has undergone a successful final inspection.

Conduit A pipe used for receiving and protecting wires or cable.

Conform or Conformity The performance of an item of Work in strict compliance with all applicable provisions of the Contract. For a related definition, see Substantially Conform.

Construction Easement A right acquired by the Department to use or control property, outside of the established Right-of-Way.

Construction Limit Line A line, usually outside of the Right-of-Way, within which the Contractor may Work and outside of which Work may not be performed without authorization by the Department.

Contract All documents affecting the respective rights and responsibilities of the Department and the Contractor. These documents may include, but are not limited to, the Contract Agreement, Project Specific Bid Book, the Notice to Contractors, Plans, the Specifications, Bid Amendments, Contract Modifications, Geotechnical Information, Permits, Bid Escrow Documentation (if any), the Contractor's Bid prices (as corrected mathematically pursuant to Section 103.1.1 - Unit Prices Govern, if necessary), and all documents incorporated by reference.

Contract Bonds The forms of security approved by the Department, executed by the Contractor and its Surety or Sureties, guaranteeing performance of the Work, and the payment of all obligations pertaining to the Work. For related provisions, see the definitions of Bid Guaranty, Performance Bond, and Payment Bond.

Contract Completion Time Length of time allowed under the Contract to complete the Work pursuant to the terms of the Contract.

Contract Completion Date The required completion date of all Work pursuant to the Contract, except the warranty work. The Contract Completion Date is usually included on the Contract Agreement, Offer, & Award form.

Contract Documents Contract Documents are all documents, whether physically attached or incorporated by reference, which make up the Contract.

Contract Execution Execution of the Contract by the Commissioner or his or her authorized agent by signing the Contract Agreement, Offer, & Award form, which action, upon written notification to the Contractor, forms a Contract as provided in Section 103.8 - Execution of Contract by Department.

Contract Modification A general term describing a formal change to a Contract. Types of Contract Modifications include change orders, extra work orders, and supplemental agreements. For a related provision, see Section 109.8 - Contract Modification

Contract Time See Contract Completion Time and Section 107.1 - Contract Time and Completion Date.

Contractor After the Department has executed the Contract by cosigning the Contract Agreement, Offer, & Award form provided in the Bid Documents, previously signed by the successful bidder, the Successful Bidder in a low Bid process or the successful Proposer in a best value type of Contract becomes the Contractor. The Contractor will be the single point of responsibility for all Contract obligations to the Department. The Contractor shall be an independent Contractor with respect to the Department and shall not be an employee, agent, or representative of the Department. Alternatively, “contractor,” with a lower case “c,” may mean a firm engaged in construction Work.

Critical Path The sequence of activities from the Project start to its Completion having the greatest cumulative elapsed time, thereby determining the minimum time duration of the entire Project. The Critical Path is identified by the sequence of those activities with the least float.

Critical Rock Slopes Critical rock slopes shall be rock slopes higher than 6 feet with an overburden slope steeper than 3H:1V and all rock slopes greater than 10 feet high.

Days Calendar Days.

Default See Section 112.1 - Default.

Defects or Defective Work Work that is unsatisfactory, faulty, or deficient in that it is not in Conformity with the Contract or with prevailing industry standards applicable to the Work at the time of submission of the Bid as determined by the Department or its agents. For related provisions, see the definition of Acceptable Work and Section - 101.3.1 Meaning of “Approved,” Etc.

Delay To cause to be late. See Section 109.5 - Adjustments for Delay.

Deliver To cause Receipt by a means set forth in the definition of Received or Receipt.

Department The Department of Marine Resources of the State of Maine, acting through the Commissioner and his/her duly authorized representatives. The Department is the authorized administrator of this Contract. For related provisions, see the definition of Project Manager and Property Owner.

Differing Site Conditions See Section 109.4 - Differing Site Conditions.

Disputes Disagreements, claims, counterclaims, matters in question, and differences of opinion between the Department and the Contractor and those Working for or through the Contractor regarding matters related to the Work that arise after Contract Execution. These include, but are not limited to, interpretation of the Contract, compensation and costs, time for performance, and quality.

Drawings See Plans.

Dredge Material (Dredge Spoils) Sand, silt, mud, gravel, rock or other sediment or material removed from beneath any surface water.

The term, "beneath any surface water," has been interpreted by the MDEP to mean that area that falls beneath the plane bounded by the normal high water line of any stream, river, brook, pond, lake, vernal pool, etc. Note that the entire area of Dredge Material removal could be dry at the time of excavation.

Engineer The Department's on-site engineering representative or designee.

Environmental Information Hazardous waste assessments, dredge material test results, boring logs, geophysical studies, and other records and reports of the environmental conditions. For a related provision, see Section 104.3.14 - Interpretation and Interpolation.

Equipment All machinery, supplies for repair and maintenance of such machinery, tools, and other apparatus necessary or appropriate for Completion of the Work in Conformity with the Contract.

Equitable Adjustment An adjustment to compensation and time due to a change in the nature or scope of the Work made a part of a Contract by a formal Contract Modification. For a related provision, see Section 109.7 - Equitable Adjustments to Compensation and Time.

Excusable Delay See Section 109.5.1 - Definitions - Types of Delays.

Extra Work Work that is outside the scope of the Contract and that the Department determines is necessary.

Extra Work Order See Contract Modification.

Fabrication Engineer The Department's representative responsible for Quality Assurance of pre-fabricated products that are produced off-site.

Federal Contract Provisions Supplement Appendix A of the Project Specific Bid Book, which sets forth additional provisions that apply to federally funded Contracts.

Final Acceptance Acceptance by the Department for all Work and responsibility for the Project from the Contractor, except for any Contractor warranty obligations.

Force Account Work Prescribed Work paid on the basis of Actual Costs and additives as set forth in Section 109.7.5 - Force Account Work.

Geometrics The physical location (horizontally and vertically) and shape of the object under consideration.

Geotechnical Information Boring logs, soil reports, geotechnical design reports, ground penetrating radar evaluations, seismic refraction studies, and other records of subsurface conditions. For a related provision, see Section 104.3.14 - Interpretation and Interpolation.

Haul Road A private way leading to a public way that is used by the Contractor to move Equipment and Materials related to the Work.

Hearing Unless otherwise specified by the Department in writing, a Hearing is a review of a decision that includes a review of existing documentation on file with the Department and any additional documentation, including written arguments and supporting exhibits that may be submitted by any interested party. Unless the context clearly indicates otherwise, a Hearing need not include an evidentiary Hearing for the oral presentation of evidence if such an evidentiary Hearing is not requested or if the Department reasonably determines that such an evidentiary Hearing is not necessary to adequately review the matter at issue. Unless the context clearly indicates otherwise, a Hearing shall not be construed as an adjudicatory proceeding within the meaning of the Maine Administrative Procedure Act.

Holidays New Years Day, Martin Luther King Day, Presidents Day, Patriots Day, Memorial Day, Independence Day, Labor Day, Indigenous Peoples Day, Veterans Day, Thanksgiving Day, the Friday after Thanksgiving Day, and Christmas Day. For a related provision, see Section 107.3 Allowable Work Times.

Incentive/Disincentive Payment An adjustment to the contract price of a predetermined amount for each day the Work is completed ahead of or behind the Contract Time, Contract Completion Date, or some specified intermediary milestone. A disincentive is not a penalty, but an estimate of user and other costs incurred by the people of the State of Maine.

Incidentals The terms “Incidentals” and “Incidental to the Contract” mean items that are accessory to or incorporated into the Work and that have no separate Pay Item. Unless otherwise provided in the Contract, the cost of Incidentals shall be included in the Contractor’s prices for the Pay Items. There will be no separate payment for Incidentals.

Incomplete Not complete, as defined above by Completion.

Independent Assurance (IA) Independent assessment of the reliability of test results obtained from Acceptance Testing.

Inexcusable Delay See Section 109.5.1 - Definitions - Types of Delays.

Inspector A representative authorized by the Department and assigned to make detailed inspections of the Work to determine compliance with the Contract.

In Water Work Any activities conducted in the water which occurs below the mean high-water mark or Work which requires contact with liquid water which is part of a natural stream, river, or waterbody. (see permits in individual contract documents.)

In-Water Work Period – The period of time from July 1 to May 14 each year inclusive of these dates. No in-water Work shall be permitted outside the In-Water Work Period. (see permits in individual contract documents.)

Laboratory Unless the context indicates otherwise, the testing laboratory of the Department, the Engineer, or the Contractor as required by the Contract.

Liquidated Damages An amount due and payable to the Department by the Contractor, normally realized through a reduction of amounts to be paid to the Contractor. Liquidated Damages are calculated by multiplying a daily amount set forth in the Contract by the number of Days the Work remains Incomplete after the Contract Completion Time has expired.

Major Item An individual Pay Item that constitutes 10% or more of the amount of the Awarded Contract, calculated using the Contractor's Bid prices and the estimated quantities contained in the Bid Documents.

Material Any substance specified for use in the construction of the Project and related approaches.

Minor Item All Pay Items that are not Major Items.

Modification See Contract Modification.

Non-conforming Work All Defective, Unauthorized, or Uninspected Work.

Notice of Award A written notice to the Contractor stating that the Contract has been executed.

Notice of Intent to Award A written notice to the Successful Bidder stating that the Department has conditionally accepted its offer and upon receipt of a payment bond, performance bond, insurance certificate and the fulfillment of any other pre-award conditions, the contract will be signed (executed) by the Department. For a related provision, see Section 103.4 - Notice of Award.

Notice to Contractors The advertisement or invitation for Bids published in accordance with Maine law, including electronic advertising, applicable to the Department.

Offer A response to a solicitation that, if accepted, would bind the offeror to perform the resultant Contract. Submission of a Bid constitutes an Offer by the Bidder.

Order A directive from the Department requiring compliance by the Contractor.

Partnering See Section 104.4.1 - Partnering.

Pay Item An item of Work set forth in the Price Component Schedule for which the Contractor must provide a price.

Payment Bond The security furnished by the Contractor and its Surety to guarantee payment of all obligations incurred by the Contractor related to the Contract. For a related provision, see Section 110.2.1 - Bonds.

Performance Bond The security furnished by the Contractor and its Surety to guarantee performance of the Work in Conformity with the Contract. For a related provision, see Section 110.2.1 - Bonds.

Permits Permits granted to the Department for the Project. Permits often required include (a) environmental Permits, including Natural Resources Protection Act (NRPA) Permits from MDEP and the Army Corps of Engineers and (b) a U.S. Coast Guard Permit.

Physical Work All Work specified in the Contract that affects the physical environment, including all Work within the Project Limits, final cleaning up and finishing, and Completion of Punch List Items as provided in Section 107.9 - Project Closeout, and removal of traffic control devices.

Plans When the context so indicates, "Plans" mean applicable construction drawings, including plan, profile, typical cross sections, Working Drawings, details, and supplemental Drawings or exact reproductions thereof or electronically displayed equivalents, that show the location, character, dimensions, and details of the Work. Where the context so indicates, "Plan" may also mean a detailed process, program, or method worked out beforehand for the accomplishment of an objective. Examples include QCP, the SEWPCP, Safety Plan, and Project specific emergency planning.

Premises Land of the Property Owner on which the building or buildings now stand or to which they are to be moved and through which the Contractor will require access for construction.

Prequalification Application The Contractor's Prequalification Application form submitted by the Contractor, which is to be used to request prequalification and provide information that the Department will rely upon to determine the responsibility and qualifications of a Contractor. Said form is available through the MDOT Contracts Section and the MDOT webpage.

Prequalification Procedure The current procedure and requirements contained in the Contractor's Prequalification Procedure first adopted by MDOT in April 1998 and administered through MDOT's Contracts Section.

Price Component Schedule A document containing the list of items of Work provided in the Bid Documents on which the Contractor provides prices.

Process Control Test Test performed at the source of supply of Material to determine whether the Material meets the Specification prior to Delivery.

Profile Grade The trace of a vertical plane intersecting the top of the wearing surface, usually along the longitudinal centerline of the roadbed. Profile Grade means either elevation or gradient of such trace, according to the context.

Program The specific working unit of the Department within which a particular Department project is developed, designed, constructed and administered.

Progress Meeting See Section 104.4.3 - Progress Meetings.

Project The fish passage infrastructure improvements being constructed, rehabilitated, or repaired, together with all appurtenances and Incidentals.

Project Limits Areas within the Construction Limit Lines shown on the Plans or otherwise indicated in the Contract. If no Project Limits are indicated in the Contract, the Project Limits shall be the area actually occupied by the infrastructure before construction extending to and including the area outside the features to be demolished and/or constructed and within any landmarks or historic features such as fences, fence posts, tree rows, stone walls, corner stones, or other monuments indicating the boundary line.

Project Manager The Department's duly authorized representative for overall coordination of the Project and administration of the Contract.

Project Records Records or data of any type on any media, including those produced by the Contractor or its consultants, Subcontractors, suppliers, or manufacturers that are related to the Project. Project Records may include, but are not limited to, Plans, Working Drawings, Specifications, manufacturer's recommendations, catalog cuts, daily time reports,

records of Force Account Work, schedules and scheduled updates or revisions, quality control Plans and related documentation, inspectors' reports, safety program and incident reports, soil erosion and water pollution control Plans and log, employment records, payrolls, internal accounting records, equal opportunity and affirmative action records, on-the-job and Disadvantaged Business Enterprise reports, preconstruction conference records, Progress Meeting records, Partnering records, correspondence, e-mails, and any other documents related to the Work.

Property Owner The legal or record owner of the property or Premises on which the Project is to be constructed.

Proposal The response to a Request for Proposal in a Low Bid procurement process. In another context, sometimes the Department's solicitation for bids is called a Bid Proposal.

Proposer The entity submitting a Proposal.

Punch List See Sections 107.9.2 - Notice/Inspection/Punch List and 107.9.3 - Notices/Final Inspections / Physical Work Completion.

Quality Assurance (QA) All planned and systematic operations to ensure that the operation, material, and/or end product meets Specifications. Quality Assurance includes (A) approval and oversight of the Contractor's Quality Control Plan, (B) review of inspector, sampler, tester, and Laboratory qualifications, (C) inspection for Conformity with Contract requirements, (D) Contractor Quality Control, (E) Acceptance Testing, and (F) Independent Assurance.

Quality Control (QC) Planned and specified actions or operations necessary to produce an end product that Conforms to the quality requirements of the Contract. Unless otherwise specified, QC includes inspection and testing for process control to the extent determined necessary by the Contractor. Quality Control is also referred to as Process Control.

Quality Control Plan (QCP) The program and documentation of that program, approved by the Department, which specify the actions, inspection, sampling, and testing necessary to keep production and placement operations within Specifications, including provisions to quickly determine when an operation becomes out of control and those actions that the Contractor will take to restore compliance.

Receipted Bill Written Evidence provided by the Contractor that the cost of materials has actually been paid by the Contractor. This could take the form of a copy of a cancelled check, a copy of an invoice with written verification from the Subcontractor that the bill has been paid, or a written declaration from the Subcontractor, on its letterhead, that the bill has been paid.

Received or Receipt When considering documents, unless the context indicates otherwise, Receipt by regular US mail, overnight courier, service in hand, or by fax or electronic transmission with confirmation of Receipt originating from the recipient (which

may be a telephone confirmation). If delivered by regular US mail, notices that are properly addressed will be deemed Received three Days after mailing, unless the recipient admits earlier Receipt, in which case Receipt will be the date admitted.

Reference Stake A stake set beyond the proposed grading areas for use as a control for the new construction.

Related Entities All general partners, joint venturers, parent firms, subsidiaries, or sister firms that are owned or controlled by the Bidder or other entity under consideration.

Request for Proposal The Department's solicitation in a Low Bid Procurement Process for Proposals. See Proposal Process.

Schedule of Work A written Work schedule submitted and maintained by the Contractor by which the Contractor Plans and prosecutes the Work. The Schedule of Work contains dates of commencement and Completion of various items of Work within the Contract Time and all authorized extensions. For a related provision, see Section 107.4.2 - Schedule of Work Required.

Shop Drawings See Working Drawings.

Specifications A written or electronic textual compilation of provisions and requirements for the performance of the Work, including incorporations by reference.

State The State of Maine acting through its authorized agencies and representatives.

Street A general term denoting a public way for purposes of vehicular travel.

Structures Bridges, walls, erected steel, footings, sewers, service pipes, buildings, and all other constructed features.

Subcontractor An individual, firm, corporation, limited liability company, partnership, joint venture, sole proprietorship, or any other entity to whom the Contractor subcontracts a portion of the Work. A subcontracting arrangement shall be considered to exist when a person or firm assumes obligation through a written contract with the Contractor for performing part of the Work using its own Equipment and workers, procuring its own Materials and supplies, and furnishing its own supervision with only general overall supervision being exercised by the Contractor or higher tier Subcontractors. Unless the context indicates otherwise, Subcontractors include suppliers, vendors, fabricators, and any other entities with which the Contractor contracts to perform any portion of the Work.

Subgrade The top surface of a grade upon which a Structure is constructed.

Subgrade Treatment Modification of Subgrade material by stabilization.

Substantially Conform or Substantial Conformity Substantially Conform or Substantial Conformity means that the Work at issue, though not in strict accordance with the Plans, Specifications, or other Contract requirements, Conforms sufficiently to the applicable standard such that it may be acceptable to the Department (possibly with a credit to the Department) and not require removal, as determined by the Department. For a related definition, see Conformity. For a related provision, see Section 106.8.1 - Substantially Conforming Work.

Substructure All of that part of the Structure below the bearings of simple and continuous spans, skewbacks of arches, and tops of footings of rigid frames, together with the backwalls, parapets, and wingwalls of abutments.

Successful Bidder The low, responsive, responsible bidder to whom the Department intends to award the Contract. This status is evidenced by a “Notice of Intent to Award” Letter sent to the Successful Bidder.

Superintendent The Contractor’s authorized on-site representative who is in charge of and responsible for the Work.

Superstructure Excluding backwalls, wingwalls, and wing protection railing, the portion of the Structure above the bearings of simple and continuous spans, the skewbacks of arches, and the top of footings of rigid frames.

Supplemental Liquidated Damages Liquidated Damages for additional costs resulting from Contractor’s failure to complete a specific Work item, phase, or milestone within the time specified in the Contract for that item. Supplemental Liquidated Damages are in addition to and separate and distinct from Liquidated Damages.

Surety The corporation, limited liability company, partnership, or individual, or other entity, other than the Contractor, that executes or is obligated under a Contract Bond or Bid Bond.

Unacceptable Work All Work that does not Substantially Conform to the Contract as determined by the Department.

Unauthorized Work Work performed without providing the Department’s designated representative, which shall be the Project Manager or the Engineer, with reasonable notice of the date and time that the Work is to be performed, Work performed contrary to the instructions of the Department, or any Extra Work performed without written Contract Modification or Agreement. For a related provision, see Section 106.8.3 - Unauthorized Work.

Uncontrollable Events Events or acts that were unforeseeable at the time of Bid submission and that were beyond the Contractor’s control in that the risk of the event or act could not have been prevented or managed by the Contractor with proper planning, coordination, Subcontractor management, insurance, bonding, maintenance, erosion control,

traffic control, security precautions, workers or Equipment. Uncontrollable Events are of two types: (A) severe weather events that meet the requirements of the first sentence of this definition and/or (B) non-weather events that meet the requirements of the first sentence of this definition which might include acts by foreign enemy, quarantine restrictions, strikes not involving the Contractor, action or inaction by governmental authorities, action or inaction by Utility Companies or other third parties (not Subcontractors) working on Project related Work within the Project Limits, and freight embargoes. Uncontrollable Events specifically do not include: fires (unless caused by a weather event described in this definition above), acts by other third parties, including vandals and members of the traveling public, non-performance of Subcontractors (except in cases of unforeseeable, permanent, and complete cessation of all operations by the Subcontractor for reasons unrelated to the Contractor), and difficult, but foreseeable weather for the location and time of the Work, including but not limited to cold, snow, and ice in the winter, flooding caused by snow melt and rain in the spring, rain in the fall, and thunderstorms in the summer.

Uninspected Work Work that was performed without inspection by the Department or its designated representative.

Unit Price The price for one unit of Work submitted by the Bidder in its Bid.

Utility Companies All persons or entities set forth in 35-A MRSA § 2501(2).

Utility Facilities All Structures, facilities, Equipment, and all appurtenances thereto used by Utility Companies, including, but not limited to, poles, wires, support poles, guys, anchors, water pipelines, sewer pipelines, gas pipelines, all other pipelines, fire alarms, service connections, meter boxes, valve boxes, light standards, cableways, Conduits, signals, and manholes.

Value Engineering Change Proposal See Section 109.6 - Value Engineering.

Wetlands Areas inundated or saturated by surface or ground water at a frequency and duration sufficient to support, and that under normal circumstances do support, a prevalence of vegetation adapted for life in saturated soil conditions. Wetlands generally include swamps, marshes, bogs and similar areas.

Winter Suspensions See Section 107.5.1 - Winter Suspensions.

Woodland Pulp LLC See Property Owner. All instances of “Woodland Pulp” in the Contract, Plans, Specifications, and all other incorporated reference documents shall be interpreted to mean “Woodland Pulp LLC”.

Work All labor, services, personnel, Materials, Equipment, tools, supplies, and Incidentals required or indicated by the Contract in Conformity with the same. For a related provision, see Section 105.1 - Intent of the Contract.

Weather Event Any precipitation, such as rain, sleet, snow, or fog that causes wet conditions that prevent the contractor from completing work within the Construction Limits as determined by the Department. This excludes ambient air temperatures below Specification.

Weather Dependent Activities Contractor scheduled work that cannot be completed should a Weather Event outside of specified criteria occur. Concrete placement or other activities as determined by the Department will be considered Weather Dependent Activities.

Working Day Any Calendar Day except:

- Identified non-work days in the Contract
- Limitations outlined in Section 107.3
- Any day a Weather Event prevents the Contractor from performing at least seven hours of weather dependent activities, as determined by the Department. Up to a three-hour hold prior to the start of work may be required if weather conditions are uncertain.

The Contractor may request, in writing, a non-working day due to a Weather Event up to 16 hours in advance of the normal start time. The Department may approve this request depending on the certainty of the forecast.

Working Drawings Plans, sketches, or Drawings provided by the Contractor, or its Subcontractors, vendors, or fabricators for the purpose of supplementing the Plans provided in the Bid Documents and being necessary to demonstrate that the Work will comply with the Contract and meet the intent of the Contract. Working Drawings shall be of sufficient detail to meet the purpose set forth in the preceding sentence. Examples include Shop drawings, erection Plans, falsework Plans, cofferdam Plans, and bending diagrams for reinforcing steel.

Work Order See Contract Modification.

101.3 General Rules of Interpretation

101.3.1 Meaning of "Approved," Etc. Unless the Contract clearly indicates otherwise, whenever anything is to be done or is not to be done unless "approved," "accepted," "authorized," "ordered," "required," "determined," "directed," "specified," "designated," "established," "suitable," "satisfactory," "sufficient," "unacceptable," or a similar word or phrase, the word or phrase shall be interpreted as if it were followed by the words "by the Department" or "to the Department" as applicable.

101.3.2 Referenced Publications The Contractor is responsible for obtaining all manuals, Specifications, reference guides, or other publications referenced or indicated by the Contract and performing the Work in Conformity with the same. Unless a specific date

or version is specified, the Contractor shall use the most recent version of such publication that existed at the time the Bid was submitted.

101.3.3 Cross References Cross-references are sometimes provided in the Contract. (Example: “For a related provision, see Section ___”). These cross-references are provided for convenience only and are not a comprehensive listing of related Sections. The lack of a cross-reference or an incorrect reference shall not be interpreted as indicating that there are no related provisions and does not relieve the parties of the obligation to read the Contract as a whole.

101.3.4 Headings and Tables of Contents All headings, indices, titles, and tables of contents are for convenience only. They do not control interpretation and do not relieve the parties of the obligation to read the Bid Documents or Contract as a whole.

101.3.5 Calculated Dimensions Control In the case of discrepancy between calculated dimensions and scaled dimensions, calculated dimensions shall control.

101.3.6 Priority of Conflicting Contract Documents If the Contractor discovers any ambiguity, error, omission, conflict, or discrepancy (“ambiguity, etc.”) related to the Contract Documents that may significantly affect the cost, quality, Conformity, or timeliness of the Work, The Contractor must comply with Section 104.3.3 - Duty to Notify Department If Ambiguities Discovered. In the case of ambiguity, etc., the following components of the Contract Documents shall control in the following descending order of priority:

- Bid Amendments (most recent to least recent)
- Project Specific Permit Requirements
- Notes on Plans
- Plans
- Specifications

101.3.7 Multiple Pay Items When there is more than one Pay Item for similar Work governed by one Specification, the item number in the Specification may be appended with additional digits to differentiate such multiple Pay Items.

SECTION 102 - BIDDING

Scope of Section This Section includes requirements related to eligibility to Bid and the Bidding process from advertisement for Bids, through Bid Opening, to the analysis of Bids.

102.1 Eligibility to Bid

102.1.1 Basic Requirements To be eligible to Bid, prospective Bidders must (A) not have been debarred or suspended from Bidding, and (B) not be in Default with respect to any outstanding Contract with the Department, unless the Department grants written

permission to Bid despite such Default. For related provisions, see Sections 102.9 - Bid Opening and 103.3 - Post-Bid Qualification.

102.2 Advertisement - Notice to Contractors A Notice to Contractors will provide a solicitation or an invitation to bid and be advertised in printed or electronic media pursuant to Maine law. Such Notice will contain a brief and general description of the nature and location of the Work and information about how to Bid and how to provide any prequalification requirements.

102.3 Examinations of Documents, Site and Other Information Before submitting a Bid, the Bidder is responsible for: (A) obtaining and examining the Plans, Specifications, all Bid Amendments, and all other Bid Documents; (B) examining the Geotechnical Information and all other information provided or referenced in the Bid Documents; (C) examining the site(s) of Work and making other examinations and investigations that are needed to Make the Bidder fully aware of the conditions that would be encountered in performing the Work, and (D) communicating with the Department as provided in Section 102.5 - Communication Before Bid Opening. For a related provision, see Section 102.7.2 - Effects of Signing and Delivery of Bid.

102.3.1 Geotechnical Information Bidders and Contractors are obligated to examine and, if necessary, obtain any additional available geotechnical information. If one is available, the project geotechnical report may be accessed at the Department's web site.

The Department shall not be responsible for the Bidders' and Contractors' interpretations of or estimates or conclusions drawn from the Geotechnical Information. Data provided may not be representative of the subsurface conditions between the boring locations.

This section does not diminish the duties imposed upon parties in Section 102 or in any other sections.

102.4 Estimated Quantities Quantities shown in the Bid Documents are estimates, only to be used for the preparation and comparison of Bids. For related provisions, see Sections 109.1- Changes in Quantities and 109.2 - Elimination of Items.

102.5 Communication Before Bid Opening

102.5.1 Questions From Bidders Bidders shall direct all technical or engineering questions, including requests for explanations or interpretation, in writing to the Bid Contact Person noted in the Notice to Contractors. All questions must be transmitted as described in the Notice to Contractors and must be received by the Department at least 48 hours before Bid Opening. General questions relating to the Bidding process may be referred to MDOT's Contracts Engineer. For a related provision, see Section 102.5.3 - Bid Amendments.

102.5.2 Bidder's Duty To Notify Department If Ambiguities Discovered Bidders shall not take advantage of any ambiguity, error, omission, conflict, or discrepancy ("ambiguity, etc.") relating to the Bid Documents, Geotechnical Information, site conditions, or any other information that may significantly affect the cost, quality, Conformity, or timeliness of the Work. If a Bidder discovers any such ambiguity, etc., it must notify the Bid Contact Person immediately in writing. Failure to provide such notice constitutes a waiver of any claim for entitlement for additional compensation or time related to such ambiguity, etc.

102.5.3 Bid Amendment The Department will interpret or modify the Bid Documents only by written Bid Amendment or other writing issued by the Department. The Department is not bound by any other oral or written representations, including information exchanged verbally at pre-Bid meetings. The Department will issue written Bid Amendment in response to questions from Bidders when the answers: (A) relate to ambiguous, incorrect, or missing information in the Bid Documents; (B) are not apparent to Contractors experienced in the type of Work covered by the potential Contract; and (C) could have a significant impact on the cost, quality, Conformity or timeliness of the Work. For a related provision, see Section 102.5.1 - Questions From Bidders.

102.6 Bid Guaranty Bids must be accompanied by a Bid Guaranty that complies with all the requirements of this Section, unless noted otherwise in the Notice to Contractors and the Bid Documents.

The Bid Guaranty must be: (A) in the amount specified in the Notice to Contractors and the Bid Documents; (B) made payable to the "Treasurer - State of Maine, Attention: DMR"; and (C) one of the following types: a Bid Bond Conforming to the next paragraph, a cashier's check, a certified check, or a United States Postal money order.

Bid Bonds must be: (A) issued by an insurance company licensed or approved by the State of Maine, Department of Business Regulation, Bureau of Insurance, to do business in the State of Maine; (B) properly signed by the Bidder (as Principal) and a duly authorized representative of the insurance company referenced above, and (C) on the Department's Bid Bond form (or an exact copy thereof) OR must not contain any significant variations from said form as determined in the sole discretion of the Department.

Bid Bonds for electronic Bids must be delivered, received, or faxed to the number in the Notice to Contractors before the Bid Opening time. Original Bid Bonds must be received within 72 hours for faxed submittals. Electronic Bid Bonds that accompany electronic Bids are acceptable.

102.7 Delivery of Bids

102.7.1 Location and Time The Bidder must Deliver its Bid and Bid Guaranty in a sealed envelope to the exact location and before the precise time (as determined by the Department) specified in the Notice to Contractors or any applicable Bid Amendment. The Bid and Bid Guaranty must be signed by duly authorized individuals. The sealed envelope

must be labeled with the Bidder's name, the Project location, WIN, and the words "Bid Enclosed." As a minimum, the Bidder will submit a Bid Package consisting of the Notice to Contractors, the completed Acknowledgement of Bid Amendments form, the completed Price Component Schedule, 2 copies of the completed Agreement, Offer, & Award form, a Bid Bond or Bid Guarantee, and any other Certifications or Bid Requirements listed in the Project Specific Bid Book. For a related provision, see Section 102.11 – "Bid Responsiveness."

Electronic Bids must be submitted to the appropriate electronic bid system before the precise time (as determined by the Department) specified in the Notice to Contractors or any applicable Bid Amendment.

102.7.2 Effects of Signing and Delivery of Bids

A. Offer and Agreement to Pre-execution Terms The signing and Delivery of a Bid represents: (1) an offer by the Bidder to perform the Work for the price(s) submitted within the time(s) specified and in Conformity with all provisions of the Bid Documents; and (2) the Bidder's Agreement to all the provisions of the Bid Documents governing requirements and procedures applicable before Contract Execution. The Bidder's offer shall be irrevocable until the expiration of the time for Contract Execution by the Department set forth in Section 103.8, except as provided in Sections 102.8 and 102.10 regarding withdrawal of Bids.

B. Bidder Representations By signing and Delivering a Bid, the Bidder represents that: (1) the Bidder has performed the examinations required by Section 102.3 - Examinations of Documents, Site and Other Information; (2) the Bidder has given the Department written notice of all ambiguities, etc. discovered by the Bidder as required by Section 102.5.2 - Bidder's Duty to Notify Department if Ambiguities Discovered; and (3) the Bidder has sufficient knowledge of the Bid Documents, Geotechnical Information, the site, and other conditions to properly price, schedule, plan, and perform the Work.

C. Certifications By signing and Delivering a Bid on federally funded or partially federally funded Contract, the Bidder certifies as provided in all federal certifications set forth in the Project Specific Bid Book, including those set forth in Section 1 thereof. By signing and Delivering a Bid, the Bidder further certifies as provided in Section 105.10.2(F) - Certification of Continuing EEO Efforts.

102.8 Withdrawal of Bids Before the Time Specified for Bid Opening A Bidder may withdraw a Bid after Delivery, provided the request for such withdrawal is made in writing or in person before the time set for Bid Opening in the Notice to Contractors. The Bidder may revise and resubmit a Bid so withdrawn before the time specified for Bid Opening.

102.9 Bid Opening Bids will be opened and publicly read at the time and place specified in the Notice to Contractors or any applicable Bid Amendments. The Department will

normally read publicly only the total Bid Price of each Bid. Unit and lump sum prices are available for inspection by the Bidders immediately after the Bid Opening process.

The public reading of a Bid does not constitute a determination by the Department of whether the Bid is responsive or of whether the Bidder is responsible, though the Department may refuse to read Bids that are obviously non-responsive. Accordingly, the Department may reject a Bid as non-responsive and/or determine a Bidder is not responsible or ineligible to Bid even if that Bidder's Bid is read at Bid Opening.

102.10 Withdrawal of Bids in Multiple Bid Context Bids may not be withdrawn after the time of Bid Opening, except under the limited circumstance set forth in this Section 102.10.

If a Bidder has submitted Bids on multiple Projects that have the same Bid Opening time, and if after the reading of Bids the Bidder has submitted the apparent low Bid on one Project, then the Bidder may withdraw any Bids on other Projects for which no Bids have yet been read. Such a request for withdrawal must be made in person or in writing. Bids withdrawn will not be considered. The Bidder assumes sole responsibility for the risk that the Bidder's apparent low Bid is rejected as non-responsive or that the Bidder is determined to be not responsible.

102.11 Bid Responsiveness

102.11.1 Non-curable Bid Defects The Department **WILL REJECT** Bids as non-responsive if ANY ONE of the following occurs:

The Bid and Bid Guaranty are not Delivered to the precise location and by the precise time set forth in the Notice to Contractors or any applicable Bid Amendment.

The Bidder is not eligible to Bid as set forth in Section 102.1 - Eligibility to Bid.

The Bid is not signed by a duly authorized representative of the Bidder.

- Paper bids must include at least one signed copy of the Contract Agreement Offer & Award form.

A Bid Guaranty Conforming to Section 102.6 - Bid Guaranty is not submitted.

The unit price and bid amount is not provided or a lump sum price is not provided or is illegible as determined by the Department.

The Bidder fails to indicate the Bidder's choice where the Bid Documents clearly require a choice.

The Bid contains any conditional or alternate Bidding language, including the right to accept or reject an Award of the Contract.

The Bidder submits more than one Bid for the same Contract, or the Bidder and any Related Entity each submit a Bid for the same Contract.

The Department has substantial evidence of collusion by the Bidder.

The Bidder fails to comply with any provision in the Bid Documents that expressly indicates that such non-compliance will cause Bid rejection.

When A plus B bidding is specified, the bid does not contain the number of Calendar Days bid to complete the work

The Bid is not submitted on the most current forms provided by the Department or identical copies thereof.

The Bidder will have no opportunity to cure the above Non-curable Bid Defects.

102.11.2 Curable Bid Defects Unless the Department waives a curable Bid defect, the Bidder must cure, within the time stated in the written notice by the Department, but not less than 24 hours, all other Bid Defects not listed in Section 102.11.1 - Non-curable Bid Defects that are identified by the Department. Failure to cure such Defects within said time may result in forfeiture of the Bidder's Bid Guaranty. Upon such failure, the Department may take any action in the best interests of the Department, including those set forth in Section 103.6 - Failure to Fulfill Award Conditions.

Such curable Bid Defects include, but are not limited to, the following.

The Bidder signs only one of the Contract Agreement Offer & Award forms.

Missing total sum of the items provided in the Price Component Schedule.

The prices or signatures on the Bid or Bid Guaranty are not in ink or other non-erasable substance.

Failure to acknowledge Receipt and consideration of all Bid Amendments.

All other Defects that do not create a significant question as to the Bidder's total Bid amount or the Bidder's ability to complete the Work within the Contract Time or by the Contract Completion Date as determined by the Department.

Materially unbalanced Bids may create a significant question as to the Bidder's ability or will to complete the Work within the Contract Time in accordance with the requirements of the Contract; see Section 103.1.2 - Unbalanced Bids.

Contractors prequalified for the general category stated in the Notice to Contractors may be determined non-responsive by the Department based on recent or new data provided since the last determination of prequalification for that Contractor.

SECTION 103 - AWARD AND CONTRACTING

Scope of Section This Section includes requirements related to the final determination of Bid responsiveness and Award and execution of the Contract.

103.1 Analysis of Bids

103.1a Tie Bids - In the case where two responsive bids from responsible bidders are equal monetarily, the Department shall determine the apparent low bidder by flipping a coin. The coin shall have sides clearly marked as heads and tails. The contractor whose first letter in its official company name that comes first in the alphabet shall be heads.

If there are three bids, each bidder will flip the coin and the bidder with the odd toss will be the winner. (i.e. if the results are two heads and a tails, the bidder who had tails is the winner). For a three way tie, bidders may flip their own coin or have the Contracts Engineer flip for them.

The coin flip will occur at the next bid opening by the Contracts and Specifications Engineer or a designee. The tied bidders may attend the coin flip in person or watch on the internet as they choose.

103.1.1 Unit Prices Govern After Bid Opening The Department will review the mathematics of all apparently responsive Bids. In the event of a discrepancy between (A) unit and lump prices and (B) extensions and/or the total Bid Price, the unit and lumps sum prices shall govern and the total Bid Price will be adjusted accordingly.

103.1.2 Unbalanced Bids

A. Definitions An Unbalanced Bid is a Bid that is Mathematically Unbalanced and that may also be Materially Unbalanced. Mathematically Unbalanced means a Bid containing lump sum or Unit Prices that do not reflect reasonable direct costs plus a reasonable proportionate share of the Bidder's anticipated profit, overhead costs, and other indirect costs. Materially Unbalanced means a Mathematically Unbalanced Bid that generates a reasonable doubt that said Bid will represent the lowest ultimate cost to the Department.

B. Comparison and Possible Bid Rejection The Department will compare the price of items contained in the Bid of the Apparent Successful Bidder with the estimate prepared by or for the Department. If the Bid is Mathematically Unbalanced, the Department may, in its discretion, notify the Apparent Successful Bidder and request an explanation. There shall be no negotiation or changes in prices. If the Bidder fails to provide a reasonable explanation, and if the Department finds the Bid is Materially Unbalanced, the Department may reject the Bid as non-responsive and may take any action

that is in the best interests of the Department, including those set forth in Section 103.6 - Failure to Fulfill Award Conditions.

103.1.3 Waiver of Defects and Technicalities; Right to Reject Bids The Department reserves the right to reject any or all Bids and to advertise for new Bids if doing so is in the best interest of the Department. The Department reserves the right to waive curable Bid Defects and other technicalities without notice to any party. Refer to section 102.11.2 for Curable Bid Defects.

103.2 Return of Bid Guaranty Bid Bonds will not be returned unless so requested. Bid Guaranties other than bonds will be returned within 7 Days following Bid Opening, except that the Bid Guaranties from two lowest responsive Bids from responsible Bidders will be retained until Contract Execution or rejection of all Bids.

103.3 Post-Bid Qualification

103.3.1 Pre-Qualification Requirement for Award If the Notice to Contractors lists a Pre-Qualification requirement, the Apparent Successful Bidder must successfully complete the prequalification process as a condition of Award. The Apparent Successful Bidder who does not already hold an Annual Prequalification shall have 21 days to provide the Department with their Prequalification documents or the Department may move on to the next low bidder.

103.3.1.1 Notice and Information Gathering After Bid Opening and as a condition for Award of a Contract, the Department may require an Apparent Successful Bidder to demonstrate to the Department's satisfaction that the Bidder is responsible and qualified to perform the Work.

If such qualification is required, the Department will provide the Bidder with written notice to that effect. Such notice will include a brief description of the reasons why such qualifications is required, and may require the Bidder to provide any information requested in the "Contractor's Prequalification Application" form adopted by the Department.

If requested by the Bidder, the Department shall provide an opportunity for the Bidder to present evidence of qualifications at a reasonable time and place.

103.3.2 Notice of Determination After the Bidder's presentation of evidence of qualifications (if required), the Department will notify the Bidder of its determination in writing. If a determination of "Not Qualified" is rendered, the Department's Project Manager will send the notice, which will set forth the specific reasons therefore to the extent practical. Such reasons include the following.

(A) Default(s) or termination(s) on past or current Contracts.

- (B) Failure on past or current Contracts to pay or settle all bills for labor, Materials or services; to comply with directives of the Department, to fulfill warranty obligations, or to provide Closeout Documentation.
- (C) “Below Standard” performance as determined from the Department’s Contractor’s Performance Rating process.
- (D) Insufficient bonding capability or Inability of the Contractor to obtain or retain Performance or Payment Bonds meeting Department requirements, or a pattern of unsupported Claims.
- (E) Failure to accept an Award of a Contract made by the Department.
- (F) Failure to provide information requested by the Department in a timely manner.
- (G) Debarment, suspension or a denial of prequalification or “award of contract” by any federal, State, or local governmental procurement agency or the Contractor’s Agreement to refrain from Bidding as part of the settlement with any such agencies or any of the reasons contained in Section 102.02 of the “Rules Regarding Debarment of Contractors,” Maine Department of Transportation Register 17-229, Chapter 102 (October 2, 1985).
- (H) Failure to demonstrate ability to do work to the satisfaction and at the sole discretion of the Department.
- (I) Number of personnel working directly for the Contractor with applicable knowledge and experience is significantly below industry standards.
- (J) Safety Record, Environmental Record, Civil Rights, or Equal Opportunity Record significantly below industry standards.
- (K) Serious misconduct that the Department reasonably determines will substantially and adversely affect the cost, quality, or timeliness of Work, or the safety of workers or the public, any deceptive, evasive, or fraudulent statements or omissions contained in the Application, made or omitted at any interview or hearing, or otherwise made to or omitted from the Department; or any other substantial deficiencies in experience or conduct that are clearly below industry standards and that clearly demonstrate in the sole discretion of the Department that the Contractor is “Not Qualified.”

103.3.3 Appeal To appeal a “Not Qualified” determination, the Bidder must Deliver a written “Request for Appeal of Qualification Determination” to the Commissioner within 48 hours of Receipt of such determination. The Commissioner or the Commissioner's designee will grant such Requests for Appeal unless the Department reasonably determines that Delay of Award pending appeal is likely to cause substantial harm to the interests of the Department. If the Request for Appeal is denied, the

determination of “Not Qualified” is upheld and the Award process will proceed without the unqualified Bidder.

If the Request for Appeal is granted, the Bidder and the Project Manager must Deliver to the Commissioner or the Commissioner’s designee any information or arguments that the parties want considered within 14 Days of Receipt of a “Not Qualified” determination.

Within 14 Days of Receipt of such information and arguments, the Commissioner or the Commissioner’s designee will notify the Bidder in writing as to whether: (A) the determination of “Not Qualified” is upheld, modified or reversed; or (B) the Commissioner or the Commissioner’s designee elects to submit the issue to binding or non-binding alternative Dispute resolution.

After a final determination of “Not Qualified,” the Bidder’s Bid Guaranty will be returned and the Bidder will be ineligible for Award of future Department Contracts until the Bidder is prequalified pursuant to the Department’s Prequalification Procedure.

103.4 Notice of Intent to Award The Department has 30 Days following Bid Opening to Deliver a written Notice of Intent to Award and request a Payment Bond, Performance Bond, insurance bond, special certifications, and other information from the Apparent Low Bidder. If a notice of Intent to Award is not sent within 30 days of receipt of the Bid Opening, the Apparent Successful Bidder may withdraw its Bid without forfeiture of its Bid Guaranty or Bidding eligibility. If the Department and the Apparent Successful Bidder agree, an extension beyond the 30 days of the Bid and Bid prices may occur and the Bid remains viable. For a related provision, see Section 103.5 - Award Conditions.

103.5 Award Conditions The Apparent Successful Bidder must provide and/or perform all of the items listed in this Section 103.5 within 14 Days of Receipt of the Notice of Intent to Award. Unless indicated otherwise, all items must be Delivered to the Department’s Project Manager.

103.5.1 Performance and Payment Bonds Performance and Payment Bonds complying with Section 110.2.1 - Bonds.

103.5.2 Insurance Certificates Certificates of Insurance complying with Section 110.3 - Insurance.

103.5.3 Non-Resident Contractor Requirements

A. Definition A Non-Resident Contractor is defined as a Contractor that is: (A) any individual who is not a resident of the State of Maine, or (B) any firm, corporation, limited liability company, partnership, joint venture, sole proprietorship, or other entity that (i) is not licensed to do business within the State of Maine, or (ii) does not have a principal place of business within the State of Maine.

B. Requirements If a Non-Resident Contractor, the Apparent Successful Bidder must file with the Department a copy of a written appointment of an attorney admitted to practice in the State of Maine having a place of business within the State. The appointment must: (A) set forth the attorney's business and personal addresses, and business telephone and fax numbers, (B) name said attorney to be the true and lawful attorney of the Non-Resident Contractor, (C) set forth that the Contractor agrees that any lawful process that is served on said attorney shall have the same legal force and validity as if served on the Contractor, (D) set forth that the appointment shall continue in force as long as any potential liability in any way related to the Work or the Contract remains or until the Department receives written notice of a change of appointment Conforming to this paragraph, (E) provide that service of such process may be made by leaving a copy of the process in the hands or in the office of the Resident attorney and that such service will be effective upon the Non-Resident Contractor, as if service were made in accordance with Rule 4 of the Maine Rules of Civil Procedure, and (F) provide that the Contractor expressly waives any and all defenses regarding service of process under Rule 12 of said Civil Rules or otherwise. The appointment shall be filed in the office of the Maine Secretary of State.

103.5.4 Execution of Contract By Bidder The properly completed and signed Contract Agreement, Offer, & Award form provided with the Bid constitutes the Bidder's offer. Once the Department has received the bonds, insurance, and any other pre-award items required, the Department will sign the Contract Agreement, Offer, & Award form and execute the Contract. The point of Contract execution is when the Contractor receives the written Notice of Award.

103.5.5 Bid Escrow If required by Bid Amendment, the Apparent Successful Bidder must provide a legible copy of Bid Escrow Documentation and a related Affidavit Conforming to said requirement. Failure to provide Conforming Bid Escrow Documentation or the Affidavit constitutes a refusal to enter into the Contract and will result in the Bidder's forfeiture of its Bid Guaranty.

103.5.6 Other Conditions The Apparent Successful Bidder must comply with all other conditions set forth or referenced in the Notice of Intent to Award.

103.6 Failure to Fulfill Award Conditions Failure of the Apparent Successful Bidder to fulfill all conditions of Award within the time provided or to otherwise accept Award will result in forfeiture of the Award to the Apparent Successful Bidder and the forfeiture of the Bid Guaranty. Such Bidder will be prohibited from submitting a Bid for the Work in the event that the Work is re-advertised. Further, the Department may refuse to accept any Bid from the Bidder on any Project for a period of two years from the date of such refusal.

The Department may then take any action that the Department determines is in the best interest of the Department, including Awarding the Contract to the responsible Bidder with the next lowest responsive Bid, rejecting all Bids, and/or re-advertising the Work.

103.7 Forfeiture of Award The Department reserves the right to stop the Award of any Contract at any time before the Contract Execution without liability if doing so is in the best interest of the Department. Any costs incurred by the Bidder before Contract Execution shall be the sole responsibility of the Bidder.

103.8 Award of Contract by Department Once the Contractor has met the requirements of the Notice of Intent to Award letter, the Department has 30 days to provide the Contract and notify the Contractor of the award with a written Notice of Award. If a Notice of Award is not sent within 30 days, the Apparent Successful Bidder may withdraw its Bid without forfeiture of its Bid Guaranty or Bidding eligibility. For a related provision, see Section 107.2 - Commencement of Contract Time.

103.9 Computation and Extension of Time In the event that a time period provided in this Section 103 concludes on a Holiday, Saturday, or Sunday, said time period shall be extended to the next Business Day.

The Department and Apparent Successful Bidder may extend the time for the Award process, fulfillment of Award Conditions, or execution of the Contract by mutual Agreement. Unless specifically and mutually agreed to in writing, such extensions shall not extend the Contract Time or the Contract Completion Date.

SECTION 104 - GENERAL RIGHTS AND RESPONSIBILITIES

Scope of Section This Section sets forth certain rights and responsibilities of the Department and the Contractor that are generally applicable to the Contract. This Section is not all inclusive, and additional rights and responsibilities are set forth elsewhere in the Contract.

104.1 General

104.1.1 Basic Roles of the Parties The Contractor has the authority and responsibility to perform all Work in Conformity with the Contract. The Department has the authority and responsibility to assure that the Contractor does so.

104.1.2 Joint Covenants of Good Faith and Fairness This Contract imposes an obligation of good faith and fair dealing on both parties in the execution, performance, interpretation, and enforcement of the Contract. With a positive commitment to honesty and integrity, the Contractor and the Department agree to do the following: function within all applicable laws, statutes, regulations, and Contract provisions; avoid hindering each other's performance; fulfill all Contract obligations diligently; and cooperate in achievement of the terms of the Contract. Nothing in this subsection nullifies or supersedes the express provisions of the Contract.

104.2 Department's General Authority and Responsibilities

104.2.2 Furnishing of Permits Except as provided otherwise in the Contract, the Department will furnish Permits required to perform the Work within the Project Limits. For related provisions, see Sections 101.2, Definition of Permits, 104.3.2 - Furnishing of Other Property Rights, Licenses, and Permits and 105.8.2 - Permit Requirements.

104.2.3 Authority of the Project Manager After Contract Execution, the Project Manager has the authority to take all actions needed to assure that the Contractor is performing the Work in Conformity with the Contract. Except as provided elsewhere in the Contract, the Project Manager will decide all questions regarding the quality and acceptability of Materials furnished, Work performed, suspension of Work, and the interpretation of the Contract. The Project Manager has the authority to reject Unacceptable or Unauthorized Work and refuse to approve Progress and Final Payments until the Unacceptable or Unauthorized Work is corrected. For related provisions, see Sections 106.8 - Non-conforming Work and 109.8 - Contract Modification.

104.2.4 Authority of the Engineer and Inspectors The Engineer, inspectors, and other Departmental employees or representatives working for the Department have the authority to make initial determinations regarding the Conformity of the Work. Unless authorized by the Project Manager, the Engineer or inspectors are not authorized to alter or waive the provisions of the Contract or to issue instructions contrary to the Contract. They may not act as a supervisor for the Contractor.

104.2.5 Right to Inspect Work The Department has the authority to inspect all Materials and every detail of the Work. For a related provision, see Section 104.3.5 - Duties Regarding Inspection of Work.

104.2.6 Right to Suspend Work The Department has the right to suspend any or all Work at any time for any reason. For related provisions, see Sections 105.4.4 - Maintenance During Suspension of Work and 107.5 - Suspension of Work.

104.2.7 Damage to Project Caused by Uncontrollable Events All repairs or temporary Structures that are required because of property damage that is directly caused by an Uncontrollable Event may entitle the Contractor to an Equitable Adjustment if the Contractor complies with the notification, documentation and procedural requirements set forth in the Contract. Delays resulting from an Uncontrollable Event will be analyzed in accordance with Section 109.5 - Adjustments for Delay. For related provisions, see Sections 101.2 - Definition of Uncontrollable Event, 104.3.10 - Responsibility for Damage to Work, 109.3 - Extra Work, 109.5 - Adjustments for Delay, 109.7 - Equitable Adjustments to Compensation and Time, and 109.8 - Contract Modification.

104.2.8 No Personal Liability The Department's employees and other representatives act solely as representatives of the Department when conducting and exercising authority granted to them under the Contract. Such persons have no liability to the Contractor or any Subcontractor either personally or as Department employees.

104.3 Contractor's General Authority and Responsibilities

104.3.1 General Duty to Cooperate The Contractor shall cooperate with the Departmental personnel, the Engineer, Woodland Pulp LLC personnel, Utility Companies, railroad personnel, marine traffic personnel, regulating agencies with jurisdiction, other Contractors, municipalities, and the public in every reasonable way possible. For a related provision, see Section 104.4 - Communication and Coordination.

104.3.2 Furnishing of Other Property Rights, Licenses, and Permits The Contractor shall acquire, at its sole expense, all property rights needed for construction staging, yarding, construction, waste disposal, or other Project-related purpose not furnished by the Department. This includes maintaining good standing with and working in compliance with safety and other requirements of Woodland Pulp LLC, the Property Owner. The Contractor shall also acquire, at its sole expense, all licenses, Permits, and safety requirements, necessary to perform the Work that are not furnished by the Department. For related provisions, see 104.2.2 - Furnishing of Permits, 104.3.11 - Responsibility for Property of Others, and 105.8.2(B) - Permit Requirements, All Other Permits.

104.3.3 Duty to Notify Department If Ambiguities Discovered The Contractor shall not take advantage of any ambiguity, error, omission, conflict, or discrepancy contained in the Contract. If the Contractor discovers any such ambiguity, etc. for which the Contractor may seek adjustments to compensation, time, or other Contract requirements, the Contractor shall provide a written notice within 48 hours and before performing any Work related to the ambiguity, etc., as provided in Section 104.4.5 - Early Negotiation. Failure to provide such notice in compliance with the Contract shall constitute a waiver of all claims related to the ambiguity, etc.

104.3.4 Workers and Equipment The Contractor shall at all times provide all superintendents, forepersons, laborers, inspectors, Subcontractors, subconsultants, Equipment, Materials, and Incidentals needed to perform the Work in Conformance with the Contractor's Schedule of Work and within the Contract Time.

Any person employed by the Contractor or by any Subcontractor or any officer or representative or agent of the Subcontractor, who, in the opinion of the Project Manager or the Engineer, is intemperate or disorderly, shall be removed immediately by the Contractor or Subcontractor employing such person. The employee shall not be employed again in any portion of the Work without prior approval from the Project Manager.

Should the Contractor fail to remove such person or persons as required above or fail to furnish suitable and sufficient personnel for the proper prosecution of the Work, the Project Manager or the Engineer may suspend the Work by written notice until such orders are complied with.

During all hours of on-site activity, the Contractor shall provide an on-site, competent, English-speaking Superintendent experienced in the type of Work being performed. The Superintendent shall be capable of reading and understanding the Plans and

Specifications, providing and receiving communications, and scheduling and coordinating the Work. The Superintendent shall have full authority to manage the Work in accordance with the Contract. Such superintendence must be provided regardless of the amount of Work being done by the Contractor or any of its Subcontractors.

All persons employed by or through the Contractor, except for registered trainees, shall have sufficient skill and experience to perform the Work properly. The Department may require that the Contractor discharge any such person who the Department determines jeopardizes the safety of any person or the Project, without cost or liability to the Department. If the Department determines that such person's performance jeopardizes the intent of the Contract otherwise, the Department may, but is not required, to notify the Contractor of such a determination. Such notice, or lack thereof, does not affect the Contractor's duties regarding workers. Upon receipt of such notice, the Contractor shall take any action it determines necessary to fulfill its obligations under the Contract. For related provisions, see Sections 104.5.4 - Discharge of Subcontractors, 105.1 - Intent of the Contract, and 105.2 Health and Safety.

104.3.5 Duties Regarding Inspection of Work ^[OBJ]

A. Safe Access The Contractor shall provide the Department its designees, and the Property Owner with safe access to all portions of the Work in Conformity with all applicable OSHA requirements. The Contractor shall furnish the Department with all information and assistance required to make a detailed inspection. For a related provision, see Section 104.2.5 - Right to Inspect Work.

B. Inspection By Others If any other governmental entity, Utility Company, or railroad is to pay for a portion of the Work or is otherwise authorized to inspect Work, then the Contractor must provide its representatives with safe access that Conforms to this Section 104.3.5.

104.3.6 Project Records Upon request by the Department, the Contractor or any other person Working for the Contractor possessing Project Records must provide the Department with copies of Project Records at all reasonable times without cost or liability to the Department. Unless the context clearly indicates otherwise, Project Records are the property of the Department. The Contractor must retain Project Records for at least three years after Final Acceptance or for any applicable warrantee period, whichever is longer. For related provisions, see Sections 101.2 - Definition of Project Records and 111.1.6 - Contractor's Obligation to Keep Records.

104.3.7 Laws To Be Observed The Contractor shall keep itself informed of and comply with all applicable laws, rules, regulations, orders, and decrees ("Law") affecting the Work, including all environmental, wage, labor, equal opportunity, safety, patent, copyright, or trademark laws. The Contractor agrees to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC against any and all claims or liabilities arising from or based upon the violation or alleged violation of any such Law caused directly or indirectly by or through the Contractor.

104.3.8 Wage Rates and Labor Laws

A. Davis-Bacon and Related Acts and Reorganization Plan The authorizing statutes for the funding utilized for this project are not subject to Davis-Bacon labor standards.

B. State Wage Rates and Labor Laws. This project is excluded from State of Maine prevailing wage rate requirements. However, the Contractor shall otherwise comply with all applicable federal and State labor laws, rules, and regulations.

104.3.9 Patents and Copyrights The Contractor must provide proof of a legal Agreement with the holder of any patent, trademark, or copyright, or the Department, if necessary, for use of any of the following: design(s), process(es), device(s), trademark(s), Material(s), and copyright(s). The Contractor agrees to indemnify, defend, and hold harmless the Department and any affected third party or political subdivision from all claims of infringement that arise from use of any item listed in this paragraph.

104.3.10 Responsibility for Damage to Work Except as provided in Section 104.2.7 - Damage to Project Caused by Uncontrollable Events, the Contractor shall bear all risk of loss relating to the Work until Final Acceptance, regardless of cause, including completed Work, temporary Structures, and all other items or Materials not yet incorporated into the Work. For a related provision, see Section 110.3.6 - Builders Risk.

The Contractor shall, at its sole expense, rebuild, repair, restore, or replace such damaged Work or otherwise make good any losses that arise from such damage (“rebuilding, etc.”). If the Contractor fails to promptly commence and continue such rebuilding, etc., the Department may, upon 48 hours advance written notice, commence rebuilding, etc. of the damaged property without liability to the Department with its own forces or with Contracted forces and all costs will be deducted from amounts otherwise due the Contractor. For the Contractor’s responsibilities for the Work after Final Acceptance, see Section 106.9 - Warranty Provisions.

104.3.11 Responsibility for Property of Others The Contractor and its Subcontractors shall not enter private property without first obtaining permission in writing from the Property Owner. The Contractor must adhere to the following Woodland Pulp LLC conditions at a minimum, which may be incorporated into a written access agreement with Woodland Pulp LLC:

- 1) Gated access with security that tracks personnel on site shall be provided by the Contractor,
- 2) Work and traffic shall be confined to areas designated,
- 3) Contractor shall comply with mill safety and environmental policies,
- 4) Contractor shall plan and coordinate activities with the mill so as not to impede or put the mill’s business at risk,
- 5) Contractor’s need for access to the property is associated with the Woodland Fish Passage System Improvement project, and

6) Contractors and subcontractors must satisfy applicable parts of the Woodland Pulp LLC “Exhibit B General Requirements”.

The Contractor shall take the same level of care that it would apply to its own Property to not damage or otherwise negatively affect Property of Others, including Woodland Pulp LLC. The Contractor shall be solely responsible for all damage to public or private property of any kind resulting from any act, omission, neglect, or misconduct of the Contractor and its Subcontractors. The preceding sentence includes damage to vehicles passing through the Work area.

The Contractor shall, at its sole expense, rebuild, repair, restore, or replace such damaged property and otherwise make good any losses that arise from such damage to the satisfaction of Woodland Pulp LLC, if damage is to their Property. If the Contractor fails to completely remedy the damage in a timely manner, the Department may, upon 48 hours advance written notice, rebuild, repair, restore or replace the damaged property without liability to the Department with its own forces or with contracted forces. All costs will be deducted from amounts otherwise due the Contractor.

104.3.12 Forest Protection and Laws The Contractor shall obey all laws and regulations that govern Work within or adjacent to State or National Forests, keep the Project site orderly and clean, obtain all required Permits, prevent and assist with the suppression of forest fires, and cooperate with authorized forestry officials.

Pursuant to State law, the sale of harvested forest products must be reported to the Maine Forest Service at the end of each year. The Contractor is hereby designated as the Department’s agent for reporting of any such harvesting.

104.3.13 Materials and Items Found On the Project Except as authorized in writing by the Department or the Property Owner, Material excavated during the Work must be removed and properly disposed. Except for Material used for riprap, stone ditch protection, and loam, the Contractor shall replace such excavated Material with other approved Material in accordance with the Specifications. The Contractor shall obtain written permission from the Department before performing any excavation outside the Project Limits.

Unless expressly provided otherwise, the Contractor shall remove and assume Ownership of all Incidental Structures and Materials to be removed as part of the Work. Utility Facilities, traffic control devices, and lights, together with all supporting Structures, are excluded from the provisions of this Section 104.3.13. The cost of removal of such Structures and Materials is Incidental to the Contract unless expressly provided otherwise.

104.3.14 Interpretation and Interpolation The Contractor is responsible for all interpretations and interpolations made from information provided in the Bid Documents and Contract, including data and test results related to location, survey, hydrology, hydraulics, soils, ledge quality, existing Structures, Environmental Information, and Geotechnical Information. For related provisions, see Sections 102.3 - Examination of

Documents, Site, and Other Information; 102.5.2 - Bidder's Duty To Notify Department If Ambiguities Discovered; 104.3.3 - Duty to Notify Department If Ambiguities Discovered; and 105.6 - Construction Surveying.

104.4 Communication and Coordination

104.4.1 Partnering

A. Definition, Purpose, and Applicability Partnering is a process of voluntary structured communication between the Department, the Contractor, its principal Subcontractors and suppliers, and other Project stakeholders for the purpose of improving efficiency and minimizing Disputes. Partnering, including the establishment of a partnership charter, does not in any way waive, alter, or otherwise affect any provision of the Contract. For a related provision, see Section 111.1.3 - Relationship to Partnering.

Participation in Partnering is voluntary; either party may elect to not participate in Partnering for any reason. The associated costs of Partnering will be agreed to mutually and shared equally.

B. Initial Partnering Workshop If the Contractor and the Department elect to participate in Partnering, representatives of both parties will arrange a facilitated initial Partnering Workshop, which should be held before the start of on-site construction. The Project Manager, the Engineer, or both and the superintendent will determine Workshop attendees, the facilitator, agenda, duration, and location. Key Project level supervisory personnel, corporate/State level management personnel, and key Project personnel of the Contractor's principal Subcontractors and suppliers should attend. Project design Engineers, local government representatives, environmental regulators, emergency service personnel, Utility Companies, impacted business and/or landowners, and other stakeholders may also be invited to attend. The product of the initial Partnering Workshop will be a partnership charter. This charter will include mutually agreed upon Project goals and communication escalation procedures.

C. Follow-Up Workshops The Contractor and the Department may agree to hold follow-up Partnering Workshops periodically throughout the duration of the Contract.

104.4.2 Preconstruction Meeting

After the Contract has been executed and before the start of on-site construction by the Contractor, the Engineer or the Project Manager will schedule a Preconstruction Meeting that must be attended by the Contractor's Project Manager and Superintendent. Notification of the meeting shall be sent to the following personnel, agencies, and organizations as required by the Contract and deemed essential to the Work outlined in the Contract.

Project Manager and other Department project and management personnel
Engineer of Record and Project Design Engineers
Utility Companies

Property Owner and Major Stakeholders
Environmental Agencies
Safety Officer, Fire Department, and Police Department

The agenda of the Preconstruction Meeting, at a minimum, shall include the following items that pertain to the Contract and any additional items required in the Specifications.

Attendee List with contact information
Project Description
Contract
Bid Amendments
Project Specific Permit Requirements
Contractor's General Authority and Responsibilities – 104.3
Utility Coordination – 104.4.6
Restriction Notifications – 104.4.10
Environmental Requirements – 105.8
Time – 107
Review of Plans
Review of Submittals
Review of Requirements prior to Start of Work
Communications

The Engineer or Contractor will prepare minutes of the Preconstruction Meeting and distribute them to all attendees and invitees. Any requests to revise the minutes must be made to the preparer within 7 Days of Receipt. These minutes will constitute the final record of the Preconstruction Meeting.

For related provisions, see Sections 104.4.6(A) - Preconstruction Utility Meeting and 106.4 - Quality Control.

104.4.3 Progress Meetings

Except as provided otherwise in this Section 104.4.3 - Progress Meetings shall be held at regular intervals, but at least monthly, throughout the duration of the Contract in accordance with the Specifications. All personnel of the Department, the Engineer, and the Contractor who have significant information relevant to agenda items shall attend. Additional personnel, as included in the invitee list of the Pre-construction Meeting and as merited, may be invited to attend.

The agenda for each Progress Meeting shall be prepared by the Contractor and shall at a minimum include the following items that pertain to the Contract:

Review and Approval of Previous Progress Meeting Minutes
Review of Action Items from Previous Meeting
Review of Progress from Last Progress Meeting
Review of Work Planned to Prior to Next Progress Meeting
Contractor's Schedule of Work

Material Testing and Work Inspection Schedule
Progress Payments
Civil Rights
Contractor's Quality Control
Contractor's Safety Practices
Contractor's Environmental Control
Onsite Utility Coordination
Review of Outstanding Submittals and Long Lead Items
Request for Information
Contract Modifications
Material and Equipment Deliveries
Issues, Disputes, Claims, and Resolutions
Review of New Action Items

The Engineer or Contractor will prepare minutes of these meetings and distribute them to all attendees. Any requests to revise the minutes must be made to the Engineer within 7 Days of Receipt. These minutes will constitute the final record of the Progress Meeting.

In lieu of a Progress Meeting, the Engineer, the Project Manager, and the Superintendent may exchange written communication before or on the scheduled Progress Meeting date that indicates there is no need for the meeting because the Work is on schedule, compensation is current, communication is ongoing, and there are no significant outstanding or anticipated issues, Disputes or claims. The Superintendent's written communication shall also contain a description of (A) progress of the Project since the last Progress Meeting or communication in lieu thereof and (B) expected activities before the next scheduled Progress Meeting. All invitees to the Progress Meeting must be notified of canceled or postponed meetings.

104.4.4 Requests for Information Either the Department or the Contractor may request that the other party provide information that the requesting party needs to fulfill its Contract obligations by Delivering a written Request for Information (RFI). The Department may require that RFIs be on forms and media approved by the Department. The request must (A) be of reasonable scope, (B) explain why such information is necessary to fulfill Contract obligations, and (C) provide a requested response time, which must be reasonable in relation to its scope (at least 72 hours). The party receiving an RFI shall use its best effort to respond to the RFI within the time requested. The response shall be in writing. The status of outstanding RFIs shall be discussed at each Progress Meeting.

104.4.5 Early Negotiation

A. Notice Required When the Contractor becomes aware of facts or circumstances that may cause the Contractor to seek additional compensation, time, or any other change in Contract requirements ("Issue"), then the Contractor shall notify the Project Manager and the Engineer within 48 hours and before commencing any part of the Work relating to the Issue. The notice must describe the basic nature and extent of the Issue.

Such notice may be verbal only if confirmed in writing in one of the two following ways: (A) if a Progress Meeting is held within 14 Days of the date that the Issue became known, such Notice may be confirmed with an entry in the Progress Meeting minutes. Such entry must describe the basic nature and extent of the Issue. (B) Otherwise, the Contractor shall confirm a verbal notice by Delivering to the Engineer and the Project Manager, within 14 Days of the date the Issue arose, a written notice that describes the basic nature and extent of the Issue.

The written notice or confirmation will be known as a “Notice of Issue for Consideration.” The Contractor will not be entitled to any additional compensation, time, or any other change to Contract requirements without a timely Notice of Issue for Consideration.

B. Negotiation When the Project Manager receives the Notice of an Issue for Consideration Conforming to Section 104.4.5(A) - Notice Required, the Project Manager and the Contractor will negotiate to attempt to resolve the Issue. Any resolution will be noted in the Progress Meeting minutes or confirmed otherwise in writing by the Department. Any changes to the Contract that affect compensation, time, quality, or other Contract requirements shall be by written Contract Modification as provided by Section 109.8 - Contract Modifications.

For related provisions, see Sections 109.5 - Adjustments for Delay and 109.7 - Equitable Adjustments to Compensation and Time.

C. Additional Consideration If negotiation fails to resolve the Issue within 45 Days of the date the Project Manager receives the Notice of Issue for Consideration, and if the Contractor desires additional consideration by the Department, then the Contractor must comply with Section 111.2 - Detailed Notice of Dispute and all other requirements of Section 111 - Resolution of Disputes.

104.4.6 Utility Coordination

A. Pre-construction Utility Meeting A Pre-construction Utility Meeting will be held to coordinate the Work of the Contractor and the Work of affected Utility Companies. Usually this meeting will be held on the same day as and immediately before the Pre-construction Meeting provided by Section 104.4.2 - Pre-construction Meeting but, in any event, will be held before the start of on-site construction by the Contractor that affects Utility Facilities. The Department’s Project Manager, the Engineer, the Contractor’s Superintendent, and a representative of each affected Utility Company will attend. The Contractor will prepare minutes of the Pre-construction Utility meeting and distribute them to all attendees. Any requests to revise the minutes must be made to the Contractor within 7 Days of distribution. These minutes will constitute the final record of the meeting. For a related provision, see Section 104.4.2 - Pre-construction Meeting(s).

B. Utilities Within Right-of-Way Except as provided otherwise in the Contract, including subsection E - Temporary Relocations below, all Utility Facilities of all Utility Companies within the Right-of-Way will be relocated and adjusted as provided in the Contract by and at the expense of the affected Utility Company, provided, however, that the Contractor is responsible for scheduling its Work in accordance with the time allowed for utility relocation as provided in the Contract. Utility relocation Work may not proceed without authorization from the Department.

C. Contractor's Responsibilities

1) Utility Coordination - The Contractor has primary responsibility for coordinating its work with utilities after contract award. The Contractor shall communicate directly with the utilities regarding any utility work necessary to maintain the Contractor's schedule and prevent project construction delays. The Contractor shall notify the Engineer and the Project Manager of any issues. The Contractor shall plan and conduct its work accordingly.

2) The Contractor must exercise every reasonable precaution to prevent damage to Utility Facilities or interruption to utility services known to or discovered by the Contractor, whether or not shown on the Plans. Such precautions must include notice to Utility Companies before undertaking Work that could damage Utility Facilities. The Contractor must provide each Utility Company with notice at least three Business Days before the date a Utility Company will have to support any pole.

3) The Contractor must take all reasonable precautions to determine the presence of underground Utility Facilities before commencing any excavation Work and must provide all affected Utility Companies with at least 72-hour prior notice of the proposed excavation. The Contractor must comply with 23 MRSA § 3360-A, entitled "Protection of Underground Facilities," Maine's "Dig Safe" statute, and also contact the non-member underground facility operators in the Maine Public Utilities Commission's **"OK-TO-DIG"** directory.

4) The Contractor must maintain initial markings (spray paint, stakes, etc.) made by the authorized representative of a Utility Company to indicate the location of underground Utility Facilities and otherwise comply with 23 MRSA § 3360-A(4).

5) The Contractor must cooperate with Utility Companies in its relocation or operations so that these operations proceed in a logical sequence, minimize duplication of Work, and avoid unnecessary interruptions to utility service.

6) If utility services are interrupted as a result of the Contractor's Work, the Contractor must promptly notify the appropriate Utility Company and must cooperate fully in the restoration of service. If service is interrupted, repair Work will be continuous until the service is restored. No Work can be undertaken around fire hydrants until the local fire authority has approved provisions for continued services.

7) The Contractor must schedule its Work so as to provide for all Utility Company Work and to complete the Work within the Contract Time. The estimated number of workdays required by each Utility Company to perform its relocation Work contained in the Contract is provided by the Utility Companies and are estimates only. Such Utility Facility relocation times assume normal Working times (Monday through Friday, 8 hours per day), and are dependent upon normal weather, normal Working conditions, and freedom from emergencies. The Department is not responsible for the accuracy of these estimates. If

a Utility Company fails to perform its Work within the time frames set forth in the Contract or in the minutes of the Pre-construction Utility Meeting, and such failure affects the Contractor's Critical Path, the Contractor may request a suspension of Work pursuant to Section 107.5.2 and such Delay will be analyzed in accordance with Section 109.5 - Adjustments for Delay.

8) Any clearing and tree removal that is a part of the Contract and that must be done in areas where Utility Companies are involved must be completed by the Contractor before the Utility Company can relocate its Utility Facilities. Any clearing, cutting of single trees, or limbing required for the temporary or permanent Utility Facility location must be approved by the Department. The Contractor must provide the Department with prior notice of at least 4 Days before removing or trimming any trees or other vegetation.

9) If the Contractor observes a Utility Company Working within the Project Limits in a manner that (A) violates an applicable OSHA requirement or commonly accepted safety practices, and (B) represents a clear and immediate risk of significant bodily injury to any person within the Project Limits, then the Contractor must notify the Project Manager and the Utility Company immediately.

10) The Contractor agrees to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from and against any and all claims or causes of action arising from any act or omission of the Contractor, the Subcontractors, or their respective agents, representatives, or employees for failure to comply with this Section 104.4.6.

D. Temporary Relocations The Contractor may request temporary changes of location of Utility Facilities for the Contractor's convenience. The Contractor must satisfy the Department that the proposed temporary change will not interfere with the Work, the Work of Utility Companies, the Work of other Contractors, or the operations of the Property Owner and will not impede the free and safe flow of the Property Owner's traffic. If acceptable to the Department, the Contractor may make its own request to the Utility Company or other party affected by such temporary changes. The expense and risk of temporary changes will be borne solely by the Contractor; no changes to compensation or time will be made.

E. Unforeseeable Utility Relocations The Department may order utility adjustments in accordance with Section 109.4 - Differing Site Conditions.

F. Cost The cost of all Work related to utility coordination is Incidental to the Contract.

104.4.7 Cooperation with the Department, Woodland Pulp LLC, and Other Contractors The Department and/or Woodland Pulp LLC reserve the right to Contract for, perform, or allow other Work to be performed within or near the Project Limits. The Contractor must take all reasonable steps to avoid interfering or hindering such other Work. The Contractor must cooperate with Contractors or others performing such other Work as directed by the Department.

If the basic nature and scope of such other Work are provided or referenced in the Bid Documents or are otherwise known or foreseeable to the Contractor, then the Contractor assumes all risks and liability associated with such other Work and agrees to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from all claims related to such other Work that arise from the Contractor's acts or omissions. It is the Contractor's responsibility to coordinate and understand the ongoing work of Woodland Pulp LLC in operation of their mill and hydropower facilities.

104.4.8 Coordination with Railroads Where applicable, the Contractor shall (A) perform Work within a railroad Right-of-Way without interfering with trains or railroad company traffic and (B) coordinate all Work crews and the Contractor's Schedule of Work to accommodate the railroad company Work. The Contractor shall, at its expense, negotiate and enter into any other Agreements with the railroad.

104.4.9 Coordination with Marine Traffic The Contractor shall not interfere with free and safe navigation of navigable waters except as provided by permit issued by the US Coast Guard and other applicable regulatory agencies. All Work must comply with all US Coast Guard permit conditions and all applicable Federal regulations affecting navigation.

When the basic nature and scope of marine traffic requirements are provided or referenced in the Bid Documents or are otherwise known or foreseeable to the Contractor, then the Contractor assumes all risks and liability associated with said requirements, and the Contractor shall indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from all claims related to the maintenance or obstruction of marine traffic that arise from the Contractor's acts or omissions.

104.5 Subcontracting

The Contractor shall not carry the workers of another recognized Contractor or firm on its payroll or a Subcontractor's payroll. The Contractor shall not use any Subcontractors that are debarred from Bidding by the Federal Government or any agency of the State of Maine.

104.5.2 Contractor's Duties Regarding Subcontractors Subcontractors are solely the responsibility of the Contractor. The Contractor is responsible for assuring that its Subcontractors have sufficient skill and experience to perform the Work properly and for coordinating and managing its Subcontractors to achieve the intent of the Contract. The Contractor agrees to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from and against all claims and causes of action arising out of any act or omission of Subcontractors, their agents, representatives, and employees. The Contractor agrees to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from any claims asserted by its Subcontractors, including any claims to recover losses allegedly suffered by a Subcontractor. Subcontracting does not alter or diminish the Contractor's obligations under the Contract. For a related provision, see Section 105.1 - Intent of the Contract.

104.5.3 Documentation Regarding Subcontracting Before any Work is performed by a Subcontractor, the Contractor shall provide the Department a Subcontract approval package which shall include:

A list of all Subcontractors that the Contractor anticipates will be providing Work within the Project Limits.

If requested by the Department, the Contractor shall provide the Department with copies of any subcontract or other document that establishes the relationship of the Contractor and any Subcontractors.

104.5.4 Discharge of Subcontractors The Department, upon written notice to the Contractor, may require that the Contractor discharge any Subcontractor without cost or liability to the Department. If the Department determines that a Subcontractor's performance jeopardizes the intent of the Contract otherwise, the Department may, but is not required, to notify the Contractor of such a determination. Such notice, or lack thereof, does not affect the Contractor's duties regarding Subcontractors. Upon Receipt of such notice, the Contractor shall take any action it determines is necessary to fulfill its obligations under the Contract. For related provisions, see Sections 104.3.4 - Workers and Equipment, 104.5.2 - Contractor's Duties Regarding Subcontractors, 105.1 - Intent of the Contract, and 105.2 - Health and Safety.

104.5.5 Prompt Payment of Subcontractors

Pay When Paid The Contractor shall pay Subcontractors in full for all Work satisfactorily performed and Invoiced by the Subcontractor no later than 30 Days from the date the Contractor receives payment from the Department for such Subcontractor's Work. Contractor will insure that its Subcontractors pay all Sub-Subcontractors, including suppliers and materialmen, no later than 30 days from the date that they receive payment from the Contractor.

Retainage The Contractor shall return to the Subcontractor all retainage withheld from the Subcontractor within 30 Days after the date the Subcontractor's Work is satisfactorily completed. If there is a Delay in such return of retainage, the Subcontractor may pursue all rights it may have under the claims procedure referenced in Section 104.5.6 - Subcontractor Claims for Payment.

104.5.6 Subcontractor Claims for Payment The Contractor agrees to notify all Subcontractors of the claim filing procedure of Payment and Performance Bonds required by 110.2.1. The Department may use retainage and other remaining project funds to pay outstanding claims for Accepted Work.

104.5.7 Flow Down All subcontracts of the Contractor, and all lower tier subcontracts, shall contain or reference all applicable provisions of the Contract, including all safety, wage, Prompt payment, labor, environmental, and equal opportunity provisions. The Contractor shall indemnify, defend, and hold harmless the Department and Woodland Pulp LLC against any and all claims or liabilities arising from the failure to include such

flow down provisions and agrees that any such claims and liabilities may be paid by the Department using retainage on other Project funds.

104.5.8 No Third Party Beneficiaries The Contractor and the Department agree that this Contract is not intended to create any third-party beneficiaries or to authorize anyone not a party to the Contract to maintain an action under Contract provisions.

104.5.10 Warranty and Maintenance Bonds Warranty and Maintenance Bonds may be required of the Contractor or the Subcontractor for specified items that the Department deems appropriate. Specific requirements will be given by the Department by Bid Amendment or through an executed change to the Contract and may be for specified items in the Price Component Schedule. The Bond must name the “Treasurer-State of Maine” as an obligee. The Contractor shall provide a copy of said bond to the Department before the performance of any affected on-site Work. Should the Subcontractor be required to provide a Warranty or Maintenance Bond, the Contractor hereby authorizes the Department to directly contact the Subcontractor and/or its Surety in the event of a failure of the bonded item to perform as specified.

SECTION 105 - GENERAL SCOPE OF WORK

Scope of Section This Section contains Work requirements that are generally within the scope of the Project. These include provisions related to health and safety, maintenance of Work, hauling of Materials and Equipment, construction surveying, Working Drawings, the environment, historic and archeological considerations, equal opportunity and civil rights, and other federal requirements. This Section is not all-inclusive and is not intended to overwrite the Plans, Specifications, or Permits should discrepancies or conflicts between the entirety of the Contract Documents be found. The scope of these items is often described more specifically and fully elsewhere in the Contract and in other documents incorporated herein by reference.

This Contract is federally funded, unless expressly provided otherwise in the Bid Documents. As a federally funded Contract, it includes all federal requirements set forth in the Project Specific Bid Book.

105.1 Intent of the Contract The intent of the Contract is to provide for the construction and Completion of a functionally complete Project in Conformity with the Contract. The Contractor shall furnish all Work to achieve this intent, including all Work that may be reasonably inferred to be required from the Contract or from prevailing industry or trade custom, whether or not specifically called for.

105.2 Health and Safety The safe and reliable operations of the dam, hydroelectric station, and fishway take priority over construction schedules and activities. Woodland Pulp LLC will make efforts to support water level control for the safety of Contractor’s personnel. The Contractor shall take into account flow from either/both sides of the dam that can change without notice or with very limited notice. The hydraulic station

capacity is 3,200 cfs. The range of total flow beyond this capacity or bypassed during annual station outage for maintenance for the month of May from any of the six Tainter gates or flashboards across the dam crest has been estimated in the Specifications.

The Contractor shall coordinate with Woodland Pulp LLC ahead of time to properly plan activities whenever workers/equipment will be below the dam and shall implement controls to ensure the safety of Contractor's employees and subcontractors and all representatives of the Department or Engineer having authority to inspect the Contractor's work.

105.2.1 Safety Responsibility The Contractor has the overall authority and responsibility to maintain safety of its employees and of all other persons in the work area or on the worksite. The Contractor shall provide a current safety program, all safeguards, safety devices, and protective Equipment and take all other action that is necessary to continuously and effectively protect the safety and health of all persons from hazards related to the Work. Such safeguards include providing a sufficient number of security guards.

105.2.2 Health and Safety Plan A copy of the Contractor's Health and Safety Plan must be on file with the Departments a condition of Prequalification to be awarded a Construction Contract. A copy of the Safety Plan will be provided to the Department in an electronic media format prior to Contract award. The Contractor shall designate which portions such submissions it considers confidential business information. If such program is revised during the Contract Time, the Contractor shall provide the updated program to the Department. The Contractor shall comply with its safety program, this Section 105.2 - Health and Safety, and Woodland Pulp LLC's safety program and safety policies. The Contractor shall be responsible for all claims or damages arising from failure to so comply and to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from all claims and damages arising from such non-compliance.

The Contractor's Health and Safety Plan shall include but not be limited to the following Plans or procedures, at a minimum, specific to performing Work on the Property Owner's Premises. Any Contractor program or procedure associated with the following must generally comply with the equivalent of the Property Owner. Lockout-Tagout (LOTO) of the Property Owner's equipment, including but not limited to flow control gates or hydroelectric station equipment, shall be performed by the Property Owner; the Contractor shall adhere to all Property Owner LOTO policies and procedures for such Work activities.

- **Confined Space**, to be fully administered by the Contractor inclusive of rescue resources and equipment.
- **Hot Work**, fully administered by the Contractor inclusive of its own Hot Work Permit with copies provided to the Property Owner for its records and review upon issuance.
- **Electrical Safety**, which must adhere to Property Owner requirements.
- **Line Breaks**, which must adhere to Property Owner requirements.
- **Spill Control and Countermeasure**, fully administered by the Contractor inclusive of but not limited to secondary containment of all oil-filled equipment or storage.

- **Scaffolding Safety**, fully administered by the Contractor and compliant with all applicable OSHA requirements and other laws and regulations inclusive of daily inspections.
- **Digging Safety**, fully administered by the Contractor with all dig locations coordinated in advance with the Property Owner to prevent inadvertent contact with or damage to buried infrastructure.
- **Overhead Line Safety**, fully administered by the Contractor inclusive of safety watch to ensure minimum clearances beneath lines as required by the Property Owner and identifying specific Work activities or time periods during which de-energization of lines is requested of the Property Owner.
- **LOTO**, which must adhere to Property Owner requirements.
- **Hazardous Chemical Safety**, fully administered by the Contractor and compliant with Property Owner requirements including prohibition of certain chemicals and submission of SDS sheets to the Property Owner for its records and review.
- **Crane Safety**, fully administered by the Contractor, incorporated into other applicable safety programs or standalone, and in compliance with all relevant design, construction, inspection, operation, certification, and safety requirements including but not limited to 29 CFR 1926.1437, 20 CFR 1926.1412, ANSI/ASME B30.8, ABS Guide for Certification of Cranes, and/or API Specification 2C.

105.2.3 Project Specific Emergency Planning Unless the Contract provides for closure of an existing facility, the Contractor shall ensure that essential police, fire, rescue, and ambulance services have reasonable and timely access to and through the Project Limits. The Contractor shall contact all emergency service providers in the area, discuss potential impacts on emergency operations (including water supply for fire suppression), and minimize any negative impacts. Fire hydrants within or adjacent to the Project Limits shall be kept accessible to fire apparatus at all times, unless the fire department agrees otherwise in writing. For a related provision, see Section 104.3.12 - Forest Protection and Laws.

If the nature of the Work involves deep trenching, confined spaces, toxic chemicals, or any other unusual hazards that could require specialized rescue, the Contractor shall inform and cooperate with Woodland Pulp LLC, the appropriate fire department, rescue service, or EMS.

The Contractor shall provide the Engineer and the Project Manager with, and post and maintain in conspicuous places within the Project Limits, a list containing (A) emergency response numbers with the names and telephone numbers (including cellular phone and pager numbers, if applicable) of local ambulance, police, fire, rescue, and hospitals, (B) emergency response numbers for hazardous Materials spills, (C) the Contractor's personnel with phone numbers who may be reached in case of emergency, and (D) the Department's personnel with phone numbers who may be reached in case of emergency.

105.2.4 Unsafe Conditions The Contractor will immediately eliminate all unsafe conditions brought to the Contractor's attention by the Engineer, the Project Manager, the Property Owner, or any other Department staff or designated representatives. If the Contractor or the Department actually observes any person(s) performing Work in a manner that (A) the observing party actually knows is not in compliance with the Property Owner's or the Department's safety requirements, the Contractor's Health and Safety Plan, an applicable OSHA requirement, or commonly accepted safety practices, and (B) creates a clear and immediate risk of significant bodily injury to any person, then the observing party shall immediately notify such person(s) Working in an unsafe manner and the other party to the Contract. The Contractor and the Department agree to cooperate in eliminating all such unsafe conditions. For related provisions, see Sections 104.3.4 - Workers and Equipment, 104.4.6 - Utility Coordination, 105.3 - Traffic Control and Management, and 105.4 - Maintenance of Work.

105.2.5 Compliance with Health and Safety Laws The Contractor has the authority and responsibility to ensure compliance with all applicable federal, State, and local laws governing safety, health, and sanitation, including all applicable laws and regulations of OSHA. The Contractor shall comply with these laws and regulations and ensure compliance by its subcontractors. The Contractor is responsible for correcting any health and safety violations.

For related provisions, see Sections 105.2.3 – Project Specific Emergency Planning, 105.3 – Traffic Control and Management and 105.4 – Maintenance of work.

105.2.6 Convenience of the Public At all times the Contractor shall perform the Work to minimize obstructions to pedestrian, vehicular, railroad, and marine traffic. All temporary and permanent pedestrian access ways must comply with the Americans with Disabilities Act (ADA). Footways, gutters, sewers, inlets, and portions of the roadways adjacent to the Work must not be obstructed unless allowed by the Contract.

If the Contractor receives notice from the Department that the Contractor has failed to comply with the provisions of this Section 105.2 - Health and Safety, the Contractor shall remedy such non-compliance immediately. If the Contractor fails to do so, the Department may remedy such non-compliance by any means and deduct the cost of the remedy from amounts otherwise due the Contractor.

105.4 Maintenance of Work

105.4.1 Maintenance During Construction The Contractor shall maintain the Project and all related Work in a safe and satisfactory condition until Final Acceptance. Such maintenance requires continuous and effective Work conducted daily.

If the Contractor fails to meet the conditions of Section 105.4.1, the Department will notify the Contractor of such failure. The Contractor shall remedy such failure within 4 hours after receiving such notice. When the Contract involves placing material on, or use of previously constructed subgrade, base course, pavement, or structure, the Contractor shall

maintain such previously constructed Work in a safe and satisfactory condition until Final Acceptance.

Except as expressly provided otherwise in the Contract, the cost of complying with this Section 105.4.1 is Incidental to the Contract.

105.4.3 Maintenance During Winter Construction When the Contractor performs Work during winter weather conditions, the Contractor shall plow snow from the portions of a Project that carry vehicular or pedestrian traffic so as to allow the free and safe flow of such traffic.

105.4.4 Maintenance During Suspension of Work

A. Work Responsibilities Prior to suspension, the Contractor must make the Project suitable for the free and safe flow of traffic as determined by the Department and the Property Owner, including covering or removal of signs. To provide space for snow removal, all areas to be used by traffic must be clear for the entire usable accessway matching those conditions immediately prior to Contractor's mobilization to and through the Premises or as developed by Contractor for its safe Work execution.

During suspension, the Contractor must (1) take precautions necessary to prevent damage to the Work and to allow the Department to provide such maintenance (such precautions include providing Drainage and erecting any necessary Structures, signs, or other facilities); (2) maintain all temporary Structures and traffic control devices; and (3) continuously maintain plowing of snow, in an acceptable passing condition, of all accessways used by Contractor within the Project Limits.

After suspension, the Contractor must clean up all evidence of the snow and ice control at its expense, including removing excess sand and debris from accessways and replacing all base or subbase Material that was lost as a result of maintenance activity.

If a Work suspension is not approved, the Contractor will remain responsible for maintaining the Project, including plowing snow, controlling ice, and patching or retreating the surface.

B. Cost Responsibility All costs related to suspending and resuming Work related to approved suspensions will be considered Incidental to the Contract. For related provisions, see Sections 104.2.6 - Right to Suspend Work and 107.5 - Suspension of Work.

105.5 Hauling of Materials and Equipment

105.5.1 General Requirements Except as provided otherwise and limited in this Contract, the Contractor may use any public road or Bridge for the hauling of Materials and Equipment in legally registered vehicles that are carrying legal loads and operating otherwise in accordance with all applicable State or federal laws. If the Contractor violates such laws or the terms of this Contract relating to hauling, the Contractor shall, at its

expense, repair damage to any road or Bridge that the Department determines was caused by the Contractor to the satisfaction of the entity that maintains the road or Bridge.

The Contractor must abate any dust nuisances caused by such hauling in accordance with the dust control requirements of the Specifications.

105.5.2 Bond for Use of Municipal Roads If the Contractor wants to use roads maintained by a municipality for hauling, the municipality may require the Contractor to purchase a bond for each mile of traveled length. The face value for such bond shall not exceed \$50,000/mile. The cost of said bond shall be Incidental to the Contract.

105.5.3 Posted Roads or Bridges The Contractor must comply with all restrictions set forth pursuant to 29-A MRSA § 2395, including springtime posting of load restrictions. An overlimit movement permit pursuant to 29-A MRSA § 2382 will not relieve the Contractor of its obligation to repair damage to such posted roads or Bridges. For a related provision, see Section 104.3.2 - Furnishing of Other Property Rights, Licenses, and Permits.

105.5.4 Narrow Roads The Contractor shall not haul on roads having a bituminous surface width of less than 20 feet unless there is no practical alternative.

105.5.5 Overlimit Loads

A. Within Project Limits Within the Project Limits, the Contractor shall not haul over the base courses, surface course, or accepted subgrades with loads that exceed legal limits, except for Equipment used in grading operations, including the preparation of the subgrade.

B. Outside Project Limits Outside the Project Limits, the Contractor must comply with 29-A MRSA § 2382 - Overlimit Movement Permits before moving vehicles or hauling loads in excess of legal limits. The Contractor is responsible for all damage caused by the movement of loads in excess of legal limits whether under permit or not.

105.5.6 Restrictions on Movement and Storage of Heavy Loads and Equipment on Bridges The Contractor shall comply with legal load restrictions and with special restrictions required by the Contract when hauling or storing materials, including demolition debris, and moving or storing equipment on Bridges within the Project Limits that are under construction or completed but not yet open to traffic.

The Contractor shall not operate equipment mounted on crawler tracks or steel-tired wheels on or across concrete or bituminous surfaces, unless otherwise approved by the Project Manager. The Contract requirements may impose special restrictions on speed, load distribution, surface protection, or other precautions.

When construction operations require crossing an existing Bridge with otherwise prohibited equipment or loads, the Contractor shall use Department approved methods of load distribution or bridging, at no additional cost to the Department.

The Contractor will not be relieved of liability for damages resulting from the operation and movement of construction equipment because it has been issued a special permit, or it has adhered to any other restrictions imposed.

Unless otherwise allowed by the Contract or approved by the Department, the Contractor shall temporarily store construction materials, including demolition debris, or park equipment on a Bridge deck during construction in accordance with the following limits, which have been established to reflect typical design live loads:

Stockpiles shall not weigh more than 65,000 pounds per 1,000 square feet,

Individual stockpiles of Materials (including pallets of products, reinforcing steel bundles and Aggregate stockpiles) shall not weigh more than 25,000 pounds per 100 square feet, or

No single vehicle or piece of Equipment shall weigh more than 80,000 pounds and no combination of vehicles, Materials, and other Equipment shall weigh more than 200,000 pounds per span, for span lengths greater than 40 feet.

The Contractor may submit alternate loadings with calculations stamped by a licensed Professional Engineer, within 30 Days prior to placement of the load(s).

105.6 Construction Surveying

105.6.1 Department Provided Services The Department will provide the Contractor with the descriptions and coordinates of any available vertical and horizontal control points and/or the deliverables of any previously conducted survey(s).

105.6.2 Contractor Provided Services The Contractor shall provide all survey layout necessary to complete the Work. This may include, but not be limited to, re-establishing any points provided by the Department or the Property Owner, establishing additional control points, running axis lines, providing layout and maintenance of all other lines, grades, or points, and survey quality control to ensure conformance with the Contract. The Contractor is also responsible for providing construction centerline, or close reference points, for all Utility Facilities relocations and adjustments as necessary to complete the Work. When the Work is to connect with existing Structures, the Contractor shall verify all dimensions before proceeding with the Work. The Contractor shall employ or retain competent engineering and/or surveying personnel to fulfill these responsibilities.

The Contractor must notify the Department of any errors or inconsistencies regarding the data and layout of any survey data or control points provided by the Department or the Property Owner as provided by Section 104.3.3 - Duty to Notify Department If Ambiguities Discovered.

105.6.2.1 Survey Quality Control and Construction Layout The Contractor is responsible for all construction survey quality control. Construction survey quality control

is generally defined as, first, performing initial field survey layout of the Work and, second, performing an independent check of the initial layout using independent survey data to assure the accuracy of the initial layout; additional iterations of checks may be required if significant discrepancies are discovered in this process. Construction survey layout quality control also requires written documentation of the layout process such that the process can be followed and repeated, if necessary, by an independent survey crew.

105.6.2.2 Electronic Design Data and Digital Terrain Model (DTM) If provided by the Department, at the request of the Contractor, any electronic project design data will not be deemed a part of the Contract, and is supplied as a courtesy by the Department. The Contractor shall not take advantage of any ambiguity or error contained in said data, and upon discovery of any ambiguity or error shall notify the Department before proceeding. The Contractor may convert any electronic data provided by the Department into a format required by the Contractor's system and equipment at the Contractor's expense. Any Digital Terrain Model (DTM) to be used for construction shall be submitted to the Department at least 14 days prior to the pre-construction meeting in a format that shall be preapproved by the Department prior to submittal. No changes shall be made to the electronic model after submittal without prior written consent by the Project Manager. The Department will review and provide comments to the Contractor within 14 days of receipt of the DTM submittal.

105.6.2.3 Survey Work Plan The Contractor shall provide a Survey Work Plan to the Department prior to, or at, the preconstruction meeting.

The Survey Work Plan shall include:

- A. Make and model of equipment and software used for project layout.
- B. Make and model of equipment and software used for machine guidance and control.
- C. Manufacturer-stated specifications for vertical and horizontal accuracy attainable by the equipment.
- D. Equipment calibration procedures and date of last calibration.
- E. Narrative of methodology used to establish any additional horizontal or vertical project control points. Field notes for new vertical control shall be submitted to the Department.
- F. Site Calibration (Localization) and control verification procedures, including a timetable and tolerances. A Site Calibration report shall be submitted to the Department, including the values of calculated residuals of each point used in the calibration.
- G. Type and locations of base stations to be used, including methodology for establishing on-site base broadcast positions and localization procedures used for off-site bases.
- H. Describe methodology used to overcome Real Time Kinematic (RTK) signal losses in a portion or portions of the project, and methodology to ensure signals for both inspection operation areas and construction operation areas (i.e. multiple bases operating simultaneously)

- I. Describe procedures used to integrate vertical refinement equipment (i.e. laser); including the process of determining and verifying transmitter set-up location and communicating any necessary adjustments to the machine control equipment.
- J. Name(s) and qualifications of the Contractor's designated on-site surveyor(s) or engineer(s) responsible for performing the project layout.
- K. Design software and version used to develop the Digital Terrain Model (DTM).

The Department will review and provide comments to the Contractor within 7 days of receipt of the Survey Work Plan unless otherwise noted in the Specifications.

105.6.2.4 Department Verification The Contractor shall furnish a Global Navigation Satellite System (GNSS) or Global Positioning System (GPS) Rover and/or Robotic Total Station (RTS) equipment to the Department with the same capabilities as those used by the Contractor or other approved method, such as reference staking, to allow the Department at its discretion to independently verify the accuracy of the work, as approved by the Department.

This equipment referred to above shall be compatible with the system(s) used by the Contractor and be provided to the Project Resident prior to the Contractor commences Work using electronic layout methods. This equipment shall stay in the possession of the Department for the duration of the project and shall be returned, in good condition, to the Contractor upon final acceptance of the field work. Any augmented features (such as laser refinement) used by the Contractor shall be included in the features available on the equipment provided to the Department.

The Contractor shall provide manufacturer-certified training on the use of the GNSS, GPS, and/or RTS equipment and the Contractor's systems to Department project personnel prior to beginning any Work. This training is for the purpose of providing Department project personnel with an understanding of the equipment, software, and electronic data being used by the Contractor.

105.6.2.5 Field Layout Specifications All Work accomplished through electronic layout methods and/or machine control must meet the same accuracy requirements as the conventional grading construction standards detailed in the Standard Specifications. The contractor shall not use GNSS, GPS, or RTS equipment for a construction activity that requires a greater precision than the machine's capability as per the manufacturer's recommendation.

105.6.2.6 Basis of Payment No payment shall be made by the Department for the Contractor's elected use of electronic methods of project location layout and control. Any delays arising from the operation of GNSS, GPS, or RTS layout or machine control systems will not result in adjustment to the bid price or quantity of any construction items or be justification for granting any type of contract extension. Any costs incurred through incorrect use of GNSS, GPS, or RTS layout or machine control systems or re-work necessary through their use are the sole responsibility of the Contractor. Training of

Department project personnel in the use of GNSS, GPS, or RTS will be paid on a reimbursable basis based on submitted invoices, without Contractor markup.

105.6.3 Survey Quality Assurance It is the Department's prerogative to perform construction survey quality assurance. Construction survey quality assurance is generally defined as an independent check of the Contractor's construction survey quality control. The construction survey quality assurance process may involve physically checking the Contractor's construction survey layout using independent survey data, or may involve reviewing the construction survey quality control written documentation. If the Department elects to physically check the Contractor's survey layout, the Contractor's designated surveyor may be required to be present. The Department will provide a minimum notice of 48 hours to the Contractor, whenever possible, if the Contractor's designated surveyor's presence is required. Any errors discovered through the quality assurance process shall be corrected by the Contractor, at no additional cost to the Department.

105.6.4 Boundary Markers The Contractor shall preserve and protect from damage all monuments or other points that mark the boundaries of Contractor's access or abutting parcels that are outside the area that must be disturbed to perform the Work. The Contractor shall indemnify, defend, and hold harmless the Department and Woodland Pulp LLC from all claims to re-establish the former location of all such monuments or points, including claims arising from 14 MRSA § 7554-A. For a related provision, see Section 104.3.11 - Responsibility for Property of Others.

105.7 Working Drawings

105.7.1 General The Contractor shall provide all necessary Working Drawings to the Department and the Engineer for review. The Contractor shall not allow final assembly or fabrication of structural units before the Department and the Engineer complete review of the applicable Working Drawings and comment on them. The Contract price shall include the cost of furnishing and revising all Working Drawings.

The Department's review of and comment on Working Drawings may be limited to basic Contract requirements relating to design compliance and Material type(s). Such review shall not relieve the Contractor of responsibility under the Contract, including the overall correctness of Working Drawings, including Engineering and mathematical computations, shop fits, and field connections.

105.7.2 Review Times The Contractor's Schedule of Work shall allow review periods as required in the Specifications. For a related provision, see Section 107.4 - Scheduling of Work.

Review times may be extended by the Department if additional time is warranted due to the complex nature of the submittal, such as those containing design computations under the Contractor's responsibility (i.e. cofferdam design). The Department shall communicate to the Contractor its revised review deadline when such extended review times will be required.

The Department may combine separate submissions of analytically common elements of Work and require the review times set forth in the Specifications when it determines that the Contractor has divided Working Drawings into separate submissions for the purpose of avoiding said review times.

Delay caused by exceeding the time periods listed in the Specifications will be analyzed in accordance with Section 109.5 - Adjustments for Delay.

105.7.3 Cost of Review The Department will review the first and second submission at no cost to the Contractor. For subsequent submissions, the Department will charge the Contractor a rate of \$75 per person-hour of review. Such costs will be deducted from amounts otherwise due the Contractor.

105.7.4 Submittal Requirements The Contractor shall indicate the order of preference for review and return of Working Drawings, organize all Drawings in the order of their importance, and submit all Drawings in accordance with the Specifications.

105.7.5 Review Standards and Procedures Refer to the standards and procedures for review of Submittals in the Specifications.

105.8 Environmental Requirements

105.8.1 Temporary Soil Erosion and Water Pollution Control The Contractor shall provide continuous and effective soil erosion and water pollution control in accordance with the Specifications and permits.

105.8.2 Permit Requirements

A. Permits Granted To Department Permits are to be included in or incorporated by reference into the Bid Documents. If Permits are not so included and the Contractor is aware the Work will affect a regulated resource such as water bodies or wetland, the Contractor shall notify the Department before Bidding. For a related provision, see Section 102.5.2 - Bidder's Duty to Notify Department If Ambiguities Discovered.

The Contractor is responsible for complying with all Permit conditions. If the Contractor desires to modify or seek interpretation of any permit granted to the Department, it must coordinate any such requests through the Department.

B. All Other Permits Except as expressly provided otherwise in the Contract, the Contractor, at its expense, shall procure all other environmental or land use Permits, licenses, or other permissions that are necessary or appropriate to perform the Work. At the time of application, the Contractor shall provide the Department with notice of all applications for such Permits, licenses, or other permissions, and upon request, a copy of all such applications. For a related provision, see Section 104.3.2 - Furnishing of Other Property Rights, Licenses, and Permits.

C. Status of Permits All necessary environmental permits have been obtained by the Department as of the time of issuance of this bid package. A copy of the full text of each applicable permit is included in Attachment A. The Contractor shall be familiar with the requirements of each permit and shall comply with all applicable conditions for those permits which have been obtained. Should the Contractor identify a potential or actual situation which may be a noncompliance, he shall cease the task(s) that may contribute to such noncompliance and immediately notify the Engineer.

The Contractor shall maintain a complete copy of each permit on site for the duration of the Project Work.

105.8.3 Wetland and Waterbody Impacts

A. General Prohibition Except as specifically allowed by the Contract, there shall be no permanent or temporary impacts to water bodies or wetlands identified on the Plans or otherwise known to the Contractor.

B. Wetlands Outside Project Limits If the Contractor desires to conduct an activity that can disturb the soil in an area that is outside the Project Limits, but is contiguous or in close proximity to such Limits, the area first must be examined and analyzed by a qualified wetlands specialist in order to determine whether wetlands exist, and if so, to delineate them. The Contractor must notify the Department of all such examinations and analyses and the results thereof. Wetlands so delineated must not be impacted unless properly permitted.

Any fill Material generated from this Project shall not be placed, stored, or disposed of in a wetland at an off-site location unless the Contractor provides the Department with written evidence that all Permits necessary for such use have been obtained. Such evidence must be signed by the owner of such site and otherwise acceptable to the Department.

C. Temporary Structures Temporary or permanent impacts to wetlands are prohibited without proper permitting or modification to existing Permits. Temporary Structures in a waterbody must comply with any Contract provisions regarding In-Water Work.

All areas of temporary stream or wetland fill must be within the specified limits on the plans and shall be restored to their original contour and character upon completion of the project. Temporary fill includes fill that received authorization and fill that mistakenly enters a resource (i.e., from slope failures, accidental broken sandbag cofferdams, miscellaneous construction materials, etc.). The Contractor shall promptly remove all temporary fill that mistakenly enters a resource and restore the site to as near pre-fill conditions as possible.

105.8.4 Hazardous Materials If the Contractor encounters any condition that indicates the presence of uncontrolled petroleum or hazardous Materials, the Contractor

shall immediately stop Work, notify the Department, treat any such conditions with extreme caution, and secure the area of potential hazard to minimize health risks to workers and the public, and to prevent additional releases of contaminants into the environment. Such conditions include the presence of barrels, tanks, unexpected odors, discoloration of soil or water, an oily sheen on soil or water, excessively hot earth, smoke, or any other condition indicating uncontrolled petroleum or hazardous Materials. The Contractor shall continue Work in other areas of the Project unless otherwise directed by the Department. The Contractor shall utilize approved vendors and comply with all federal, State, and local laws concerning the handling, storage, treatment, and disposal of uncontrolled petroleum or hazardous Material. If the condition meets the definition of a Differing Site Condition under Section 109.4.1, the Contractor may be eligible for an Equitable Adjustment.

105.8.5 Dredge Spoils (Dredge Materials) Unless otherwise provided in the Contract, dredge spoils may not be used as fill within the Project Limits. Any use or disposal of dredge spoils must be in accordance with all applicable federal and State laws.

Dredge Material (See Maine DOT Standard Specifications § 101.2) is regulated as a Special Waste. Dredge Material can be reused with a Beneficial Use Permit issued by the Maine Department of Environmental Protection (MDEP). Work associated with the Woodland fish passage system improvements may generate dredge materials.

The Contractor shall ensure that all Dredge Material generated by the Project is Beneficially Used in an area(s) approved by the Engineer.

Method of Measurement: Dredge Material will be measured by the cubic yard of material removed.

Basis of Payment: Payment for the Beneficial Use of Dredge Material will be incidental to the Contract Pay Items. Payment shall be full compensation for excavation, dewatering, managing, transporting, and placement of the Dredge Materials.

105.8.7 Environmental Non-compliance - Remedies and Costs The Contractor shall be in non-compliance if it, or Subcontractors at any tier, fail to comply with the terms of this Contract or, pursuant to Section 104.3.7 - Laws To Be Observed, any applicable environmental or land use law or regulation, including Project specific permit conditions.

If the Contractor is in non-compliance, the Department may, at its discretion:

- A. Withhold all Progress Payments, or any portion thereof, during the period the Contractor is in non-compliance;
- B. Remedy such non-compliance using State forces or another Contractor and deduct all costs incurred by the Department from Progress Payments. Such costs include direct costs, Project Engineering costs, and Contractor costs from amounts otherwise due the Contractor, and/or

C. Suspend the Work for cause and without cost or liability to the Department. Said suspension shall continue until the Contractor has addressed all non-compliance issues as directed by the Department.

The Contractor shall be responsible for any fines and penalties assessed by environmental or land use regulatory agencies due to such non-compliance. Such penalties may be withheld from amounts otherwise due the Contractor. For related provisions, see Sections 108.5 - Right to Withhold Payments and 108.9.3 - Amounts Due the Department.

105.9 Historic and Archaeological Considerations Unless otherwise provided in the contract, the Contractor is approved to construct the project in accordance with the contract plans. This in accordance with Section 106 of the National Historic Preservation Act (16 U.S.C. § 470 f), the Regulation (36 CFR Part 800), and the 2004 Section 106 Maine Programmatic Agreement.

Changes during construction that vary from the project contract plans must be approved by the Department. These changes could have adverse effects to Historic Resources, as well as jeopardize federal funding.

If the Contractor or any subcontractor discovers any object of potential historic archaeological or other historic interest, all Work that could disturb the object will immediately cease and will not resume until investigation of the object and related deposits have been completed, and if necessary recovered. The Contractor will notify the Department immediately if any such object is discovered. (The first indications of such an object may be burial grounds or campsites of Native Americans that reveal the bones of the dead and implements. Also the exposure of marine fossils or shells found mainly in clay deposits, as well as, exposure of dumps in landfill areas, abandoned campfire sites, and building foundations.)

Any Delay of the Contractor's operations resulting from the above discoveries will be analyzed in accordance with the Department Standard Specification Section 109.5 – Adjustment for Delay, except that in no event will such Delay be a Compensable Delay.

The Contractor is notified of 27 MRSA § 371, which provides that the State owns all artifacts, specimens, and material that are found on, in, or beneath State-controlled lands.

105.10 Equal Opportunity and Civil Rights

105.10.2 Requirements Applicable to All Contracts Unless expressly provided otherwise in the Bid Documents, the provisions contained in this Section 105.10 apply to this Contract.

A. Maine Code of Fair Practices and Affirmative Action The Contractor must comply with the provisions of Maine's Code of Fair Practices and Affirmative Action, 5 MRSA § 781, et seq., and all regulations promulgated thereunder. This Code, found at 5 MRSA § 784(2), reads as follows.

“During the performance of this Contract, the Contractor agrees as follows:

1) The Contractor will not discriminate against any employee or applicant for employment because of race, color, religious creed, sex, national origin, ancestry, age, sexual orientation, physical and/or mental disability. Such action shall include, but not be limited to, the following: Employment, upgrading, demotions, transfers, recruitment or recruitment advertising; layoffs or terminations; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

2) The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, State that all qualified applicants will receive consideration for employment without regard to race, color, sexual orientation, religious creed, sex, national origin, ancestry, age, physical handicap, or mental handicap.

3) The Contractor will send to each labor union or representative of the workers with which he has a collective or bargaining Agreement, or other Contract or understanding, whereby he is furnished with labor for the performances of [sic] his Contract, a notice, to be provided by the Department, advising the said labor union or workers’ representative of the Contractor’s commitment under this Section and shall post copies of the notice in conspicuous places available to employees and to applicants for employment.

4) The Contractor will cause the foregoing provisions to be inserted in all Contracts for any Work covered by this Agreement so that such provisions will be binding upon each Subcontractor.

5) Contractors and subcontractors with contracts in excess of \$50,000 will also pursue in good faith affirmative action programs.”

B. Maine Human Rights Act The Contractor must comply with the provisions of Maine's Human Rights Act, 5 MRSA § 4551, et seq., and all regulations promulgated thereunder. This Act provides, among other things, that it is unlawful discrimination for any employer to fail or refuse to hire or otherwise discriminate against any applicant for employment because of race or color, sex, physical or mental disability, religion, age, ancestry or national origin, or sexual orientation except when based on a bona fide occupational qualification.

C. EEO Notice to Labor Sources Contractors and Subcontractors that are required by Maine’s Code of Fair Practices and Affirmative Action or by federal law to notify a labor union or a representative of workers with whom the Contractor or the Subcontractor has a collective bargaining agreement, contract, or understanding through which labor is furnished must provide notice on the letter shown on this page below. The letter must be written on the Contractor’s or Subcontractor’s letterhead stationery. A list of Maine Department of Labor Career Center Job Service Centers follows the form below.

To: _____
(Union, employment agency or employee's representative)

(Address)

Subject: Equal Employment Opportunities on
State Project No.:

Federal Aid Project No.:

Location:

Description of Work:

For Work related to the construction of the above listed Project to be performed under State Contract No.: _____, I have pledged to provide equal employment opportunities without regard to race, color, religion, sex, national origin, sexual orientation, or disability. This pledge applies to all employees and applicants for employment in connection with:

- Hiring, Placement, Upgrading, Transfer or Demotion
- Recruitment, Advertising or Solicitation for Employment
- Treatment During Employment
- Rates of Pay or Other Forms of Compensation
- Selection for Training, Including Apprenticeship
- Layoff or Termination

Inquiries and complaints should be addressed to:

President's Committee on Equal Employment Opportunity
Washington, D.C. 20425

Signed: _____

(Title)

For: _____
(Contractor)

(Address)

(Dated)

**Maine Department of Labor
Career Centers & Job Service Centers**

Augusta Career Center

21 Enterprise Drive, Suite 2
109 State House Station
Augusta, ME 04333-0109
Toll Free Phone: 1-800-760-1573
Local Phone: (207) 624-5120
Fax No: (207) 287-6236
TTY Users Call Maine Relay 711
Email: augusta.careercenter@maine.gov

Presque Isle Career Center

66 Spruce Street, Suite 1
Presque Isle, Maine 04769-3222
Toll Free Phone: 1-800-760-1572
Local: (207) 474-4914
Fax (207) 760-6350
TTY Users Call Maine Relay 711
Email: presqueisle.careercenter@maine.gov

Bangor Career Center

45 Oak Street, Suite 3
Bangor, ME 04401-7902
Toll Free Phone: 1-888-828-0568
Local Phone: (207) 561-4050
Fax No: (207) 561-4066
TTY Users Call Maine Relay 711
Email: bangor.careercenter@maine.gov

Skowhegan Career Center

98 North Ave
Skowhegan, ME 04976-1923
Toll Free Phone: 1-800-760-1572
Local Phone: (207) 474-4950
Fax No: (207) 474-4914
TTY Users Call Maine Relay 711
Email: skowhegan.careercenter@maine.gov

Calais Career Center

1 College Drive
Calais, ME 04619-0415
Toll Free Phone: 1-800-543-0303
Local Phone: (207) 454-7551
Fax No: (207) 454-0349
TTY Users Call Maine Relay 711
Email: calais.careercenter@maine.gov

Springvale Career Center

9 Bodwell Court
Springvale, ME 04083
Toll Free: 1-800-343-0151
Local: (207) 324-5460
Fax: (207) 324-7069
TTY Users Call Maine Relay 711
Email: springvale.careercenter@maine.gov

Lewiston Career Center

5 Mollison Way
Lewiston, ME 04240-5805
Toll Free Phone: 1-800-741-2991
Local Phone: (207) 753-9001
Fax No: (207) 783-5301
TTY Users Call Maine Relay 711
Email: lewiston.careercenter@maine.gov

Wilton Career Center

865 US Route 2E
Wilton, ME 04294-6649
Toll Free Phone: 1-800-982-4311
Fax No: (207) 645-2093
TTY Users Call Maine Relay 711
Email: wilton.careercenter@maine.gov

D. Prevention of Sexual Harassment It is the policy of the Department that all parties have a right to Work in an environment free from harassment, including sexual harassment. Maine State Law and the Department prohibit any and all forms of sexual

harassment in the Workplace, on the job site, or that may have an effect on the Work environment.

THEREFORE:

The Contractor hereby agrees to the following requirements in order to provide and promote a non-discriminatory Workplace free of sexual harassment.

1. No Contractor, supervisor, or employee shall allow repeated, objectionable, or unwanted verbal or physical advances, sexually explicit derogatory statements, or sexually discriminatory remarks that cause discomfort, humiliation, or are in any way offensive to the recipient, or that interfere with the quality of any employee's Work environment in any way. Furthermore, no one on any job shall threaten or insinuate either explicitly or implicitly that any employee's submission to or rejection of sexual advances will have any effect on that person's employment, job assignment, training, evaluation, promotion, wages, or any other term or condition of employment or future job opportunity. Under Maine State Law, Contractors are responsible for ensuring and maintaining a Work environment that is free from sexual harassment.

2. Any Contractor whose employee sexually harasses another employee shall be subject to disciplinary action. Contractors that fail to adequately and expeditiously investigate sexual harassment claims will be subject to enforcement proceedings and such sanctions as are authorized by law. Contractors are required to provide detailed written reports to the Department when so requested that shall describe the investigation and corrective actions taken by Contractors in all instances of sexual harassment allegations.

Contractors shall also be responsible for ensuring that no retaliation, reprisal, or intimidation be directed against any complainant or other employee who provides information to any person or agency investigating an allegation or complaint of sexual harassment.

E. Certification of Continuing EEO Efforts The Contractor must certify, to the best of its knowledge and belief, that the Contractor has made and will continue to make a good-faith effort to comply with all applicable State requirements on equal employment opportunity, non-discrimination, and affirmative action, including employment of women, minorities, and disadvantaged as journeyed trade workers. Contractors not having achieved company-wide trade employment goals of 6.9% for females and 0.5% for minorities will, where indicated by Contract and to the maximum extent practical, comply with Section 660 - On-the-Job Training.

105.11 Other Federal Requirements

A. Buy America Build America The Build America Buy America Act, enacted as part of the Infrastructure Investment and Jobs Act on November 15, 2021, established a domestic content procurement preference for all Federal financial assistance obligated for infrastructure projects after May 14, 2022. The domestic content procurement preference

requires that all iron, steel, manufactured products, and construction materials used in covered infrastructure projects are produced in the United States. This project is subject to two approved waivers of the Build America Buy America Act through its funding sources and funding contributions from the Passamaquoddy Tribe. These waivers include a full waiver of all non-compliant sourced items up to \$11,589,176 and a waiver on the full project for Manufactured Products as defined consistent with OMB regulations, 2 CFR § 184.3. Applicants must track all purchases that could be subject to Build America Buy America requirements so we can track compliance with applicable requirements and waivers. Information on approved waivers is available at: <https://www.commerce.gov/oam/build-america-buy-america>. For any payments requested by the contractor not subject to these waivers, prior to payment by the Department, the Contractor shall provide a certification from the producer of steel or iron, or any product containing steel or iron as a component, stating that all steel or iron furnished or incorporated into the furnished product was manufactured in the United States in accordance with the requirements of the Buy America provisions of 23 CFR § 635.410, as amended. Such certification shall also include (1) a statement that the iron or steel product or component was produced entirely within the United States, or (2) a statement that the iron or steel product or component was produced within the United States, except for minimal quantities of foreign steel and iron valued at \$ (actual value).

B. Compliance with Federal Funding Requirements The Contractor shall comply with all federal grant requirements including incorporated references to laws, rules, and regulations. The Contractor shall provide input and/or content as requested to support the Department's federal funding report requirements.

SECTION 106 - QUALITY

Scope of Section This section contains general provisions related to the Quality of Work, including roles, standards, Materials, Quality Control, Acceptance, Non-conforming Work, and warranties. When specified in the contract, the Department will use the quality level analysis in this Section to determine quality-based pay adjustments.

106.1 Roles Regarding Quality

106.1.1 Cooperation The Contractor and the Department shall work cooperatively within their respective Quality Assurance (QA) responsibilities to produce and document a high quality project, meeting or exceeding the quality requirements of the Contract.

106.1.2 Role of the Contractor The Contractor is responsible for all aspects of the quality of construction, including labor, equipment, materials, incidentals, processes, construction methods, and QC. When required by the Contract, the Contractor shall develop, submit for approval, implement, and adjust if necessary a QCP for the Work specified.

106.1.3 Role of the Department The Department is responsible for providing a quality design, approving the QCP, and assuring that the Contractor is following the QCP. The

Department will perform acceptance sampling, testing, and inspection for any element of the Work to ensure compliance with the QCP and contract requirements. The Department may also perform IA and Verification sampling and testing at any time.

106.2 Quality Standards

106.2.1 Conformity with Contract The Contractor shall comply with all Contract requirements in performance of the Work. Any required plans as approved by the Department are binding upon the Contractor as Contract requirements.

106.2.2 Conformity with Other Standards Unless otherwise provided in the Contract, all Work shall conform to the standards identified in the Specifications and the following:

- A. Department
- B. Standard conditions and special conditions contained in any permit
- C. American with Disabilities Act (ADA)

106.2.3 Industry Standards If there is no applicable standard set forth in this Contract for a particular item of Work, then the Contractor shall perform that item of Work in accordance with industry standards prevailing at the time of the Bid.

106.3 Material Quality

106.3.1 General Materials and manufactured products incorporated into the Work shall be new unless otherwise specified, free from defect, and in conformity with the Contract.

When Material is fabricated or treated with another Material or where any combination of Materials is assembled to form a finished product, any or all of which are covered by specifications, the Department may reject the finished product if any of the components do not comply with the Specifications.

106.3.2 Quality Requirements Materials shall meet the requirements of the Contract at the time they are incorporated into the Work. The Contractor shall sample and test proposed sources of materials, using accepted procedures and equipment in accordance with the Contract including the Specifications. Materials shall not be used in the Work until passing results are obtained and provided to the Department. The Contractor shall provide the Engineer and the Project Manager with a copy of the passing test results, including the source of the Material as identified in Section 105.8.6.

The Contractor shall perform QC inspection, sampling, testing, and documentation in accordance with the Contract requirements. For work without specific QC requirements, the Contractor shall perform inspection, sampling, and testing as the Contractor deems necessary to ensure adequate process control and end product quality.

The Contractor shall provide all facilities, Equipment, and Material samples required by the Department to conduct Acceptance, Verification, and IA sampling and testing.

The Contractor shall supply Materials and perform work using methods and Equipment in a manner that will not degrade the quality of the Materials. Materials with prior approval that become unfit for use or fall outside the specification limits will result in the affected product being declared Non-conforming Work. For a related provision, see Section 106.8 - Non-conforming Work.

The cost of the Contractor's QC activities and its costs for furnishing facilities, testing Equipment, and samples for the Department's Acceptance and IA activities are incidental to the related Pay Items.

106.3.3 Sources

A. General The Contractor shall furnish all materials and products required to complete the work, except as otherwise provided in the Contract or the Specifications. It shall be the Contractor's responsibility to verify that the Material is appropriate for the use being considered and in accordance with the requirements of the Specifications.

B. Department Furnished Materials The Contract may specify that the Department will furnish certain Materials. If the Contractor reasonably believes that the Department-furnished Material is deficient in any way, the Contractor shall immediately notify the Department before accepting delivery. After acceptance of delivery, the Contractor is responsible for all risk of loss of Department-furnished Material. The cost of inspecting, handling, and storing Department-furnished Materials after delivery is incidental to the Contract. The Department may deduct from amounts otherwise due the Contractor all costs necessary to make good any shortage, damage, or deficiencies discovered after the Contractor accepts delivery, including any demurrage or car hire charges.

106.3.4 Storage The Contractor shall store Materials to preserve their quality and fitness for the work. Materials shall not be stored under or in close proximity to critical Woodland Pulp LLC structures unless the Contractor receives written permission from Woodland Pulp LLC. If Materials fail to meet the requirements of the Contract, the Materials will be rejected. The Department may inspect stored materials at any time. The Contractor shall locate stored Materials to facilitate their prompt inspection. Woodland Pulp LLC may approve portions of land storage purposes and for the placing of the Contractor's equipment, but the Contractor shall provide any additional land required without cost to the Department. The Contractor shall not use private property for storage purposes without written permission of the owner, with copies of the written permission furnished to the Department upon request. The Contractor shall restore all storage sites, including that on private property, to original condition at the completion of the project to the satisfaction of Woodland Pulp LLC, without cost to the Department.

106.3.5 Handling The Contractor shall handle all Materials in a manner that preserves their quality and fitness for the work. The Contractor shall transport Aggregates in tight vehicles to avoid loss or segregation of Materials after loading and measuring.

106.3.6 Unacceptable Materials The Department may reject Materials not conforming to the Specifications at any time, and the Contractor shall remove them immediately from the project site unless otherwise instructed by the Department. The Contractor shall not store or use rejected materials on any Department project.

106.3.7 Sampling and Testing Qualified Inspectors or designated personnel authorized by the Department may take samples of Materials for Acceptance Testing. Work in which Material is used without the Department's approval will be at the Contractor's sole risk and the work will be considered Non-conforming Work.

The Contractor is responsible for the quality of construction and materials incorporated into the work. The Contractor shall perform all necessary QC inspection, sampling, and testing in accordance with the approved QCP. If a QCP is not required, the Contractor is still responsible for all QC necessary for a high-quality project. The Contractor shall not rely on the results of the Department's Acceptance Testing being available for process QC.

When directed by the Department, the Contractor shall sample and test any Material that appears inconsistent with similar Material being sampled, unless such Material is voluntarily removed and replaced or corrected by the Contractor.

106.4 Quality Control

106.4.1 General When required elsewhere in the Contract, the Contractor shall develop, submit, and implement a Quality Control Plan (QCP), approved by the Department, for those items of work specified that will result in work that meets or exceeds the quality requirements of this Contract. Regardless of whether a QCP is required, Quality Control for all work is the Contractor's responsibility.

Should the requirements of this section conflict with those contained in the Specifications, the Specifications shall control.

106.4.2 Quality Control Plan Requirements The QCP shall include, at a minimum, the following:

- Construction items covered by the QCP, as specified in the Contract
- Sampling location and techniques
- Tests and test methods
- Testing frequencies
- Inspection frequencies
- Detailed description of production and placement Equipment and methods
- Documentation procedures, including:
 - Inspection and test records

- Temperature measurements
- Accuracy, calibration, or recalibration checks performed on production or testing Equipment

The QCP shall identify the Contractor's QC personnel, including the company official ultimately responsible for the quality of the Work. The Department's QCP approval process may include inspection of testing Equipment and a sampling and testing demonstration by the Contractor's QC inspector(s) to assure an acceptable level of performance.

106.4.3 Testing Qualified technicians in laboratories approved by the Department shall perform all QC testing covered by the QCP. Technician qualifications shall be as described in the Contract for the corresponding item of Work.

Laboratory facilities shall be clean, and all equipment shall be maintained in proper working condition. The Department shall be permitted unrestricted access to inspect the Contractor's laboratory facility. The Department will advise the Contractor in writing of any noted deficiencies concerning the laboratory facility, equipment, supplies, or testing personnel and procedures. Deficiencies shall be grounds for the Department to order an immediate stop to incorporating materials into the work until deficiencies are corrected. Work already in place affected by QC deficiencies is Non-conforming Work.

The Contractor shall maintain original documentation of all inspections, tests (including all associated data such as measurements, weights, dial readings, etc. used in the completion of the test), and calculations used to generate reports. The records shall indicate the nature, number, and type of deficiencies found, the quantities approved and rejected, and the nature of corrective actions taken. The Contractor shall maintain standard testing Equipment and qualified personnel as required by the Contract.

The QCP shall include the testing and record keeping requirements for each item as contained in the Contract. The number preceding each item refers to the item and specification number in the Standard Specifications. When testing requirements are not specified, the Contractor shall perform all testing and record keeping as recommended by the manufacturer, vendor, or supplier.

If an item is required to be in the QCP but the Contract does not specify testing requirements, the Contractor shall propose testing requirements in the QCP.

After final records review, the Contractor will certify in writing to the Department that the project has been constructed and inspected, and all materials have been tested in accordance with the Contract.

106.4.4 QC Inspector Qualifications When a QCP is required, the Contractor's QC Inspectors shall hold all certifications that apply to the items included in the QCP. The Department may require the Contractor to remove Inspectors from the project who are not

certified as required or who are otherwise unqualified or unable to fulfill their duties in a good and workmanlike manner.

106.4.5 Inspection Requirements The QCP shall cover all construction operations on the site and at off-site production facilities, keyed to the proposed construction materials, sequence and schedule. The QCP shall also identify QC personnel (including qualifications), procedures, controls, tests, records, and forms to be used.

The Contractor shall provide a copy of each completed QC report to the Department by 1:00 PM on the Day following each construction activity, unless other arrangements are made with the Project Manager. Failure to provide this report will constitute non-compliance with the QCP and the Contract.

If an item is required to be in the QCP but QC Inspection requirements are not specified in the Contract, the Contractor shall propose inspection and record keeping requirements for such items in the QCP.

106.4.6 QCP Non-Compliance The Contractor shall comply with the approved QCP and shall take all other steps necessary to assure a high quality project.

Failure by the Contractor to comply with the approved Quality Control Plan will result in a letter describing the violation, a mandatory work suspension, and a reduction in payment as shown in Table 106.4A below. The Contractor shall submit a letter to the Department that details the corrective action made to address the violation(s) in its Quality Control Plan. Work may resume when the Department is satisfied the corrective action will result in adherence to the Quality Control Plan.

Table 106.4 A - Quality Control Pay Reduction

| Quality Control Plan Value* | | Pay Reduction | | |
|-----------------------------|------------------|---------------|----------|------------------|
| From More Than | To and Including | 1st | 2nd | 3rd & Subsequent |
| \$0 | \$500,000 | \$1,000 | \$2,000 | \$4,000 |
| \$500,000 | \$1,000,000 | \$2,000 | \$4,000 | \$8,000 |
| \$1,000,000 | \$3,000,000 | \$5,000 | \$10,000 | \$20,000 |
| \$3,000,000 | and more | \$10,000 | \$20,000 | \$40,000 |

* The Quality Control Plan Value is the total Bid value of all items covered by a Quality Control Plan, as detailed in the applicable specification.

During all periods of the Contractor's failure to follow the approved QCP, no positive pay incentives will be calculated or paid if the Department accepts the Material.

Pay reductions for failure to comply with the approved QCP are cumulative, and the Department will deduct any pay reductions due from amounts otherwise due the Contractor. These pay reductions are intended to encourage the Contractor to comply with its approved QCP, and are not necessarily related to the quality of the material provided.

106.5 Quality Assurance The Department and its designees will conduct Quality Assurance by:

- Review of QC Reports provided by the Contractor.
- Monitoring Contractor compliance with the QCP.
- Random inspection of production, placement, and workmanship
- Randomly accompanying the Contractor's inspector during QC

Inspections/Testing.

-Acceptance Verification and IA sampling and testing of Materials or completed Work.

The Department's objective is a high-quality project through a cooperative effort with the Contractor. Items that are to be buried, covered, are of high cost, or affect the long-term durability of the Work will receive extra attention in the QA effort.

Unacceptable Work found by the Department's Inspector or designee or by the Engineer will be brought to the attention of the Project Manager, who will determine what corrective action the Contractor will need to take. The Contractor shall schedule the corrective work with the Project Manager, and both the QC and Department's Inspectors or designees or the Engineer will witness the corrective action. Failure of the Contractor to correct unacceptable Work in a timely manner, as determined by the Department, may result in the withholding of progress payment(s) or suspension of the Work, or both. The Contractor will not be eligible for either additional monetary compensation or a time extension should they fail to correct. If necessary for protection of the Work or for public convenience, the Department may accomplish corrective Work by other means and deduct the cost from any monies due the Contractor.

The Department may review and obtain copies of all QC test reports (including original test data), inspections reports, and control charts at all reasonable times without cost to the Department.

If the Department decides to inspect the Materials or operations at the plant, then the following conditions shall be met:

- A. The Department shall have the cooperation and assistance of the Contractor and the producer with whom the Contractor has arranged for the Materials.
- B. The Department shall have full access at all times to the parts of the plant(s) that are involved with the manufacture and production of the Materials being furnished.
- C. If required, the Contractor shall arrange for an approved testing laboratory building for the sole use of the Department. The building shall be located near the plant and conform to the requirements of Section 639 - Engineering Facilities.
- D. The Contractor shall provide any needed equipment for safe access to plant stockpiles, equipment, and operations.

106.6 Acceptance The Department is responsible for determining the acceptability of the Work and will be advised of acceptability by the Engineer. Acceptance

of the Material is based on the visual inspection of the construction, monitoring of the Contractor's QCP, and Acceptance Test results. Acceptance sampling and testing is the responsibility of the Contractor as described in the Specifications.

The Department may reject Material that appears to be defective based on visual inspection. No payment will be made for the Materials rejected by the Department.

Prior to Contractor's knowledge of the sample location, the Contractor may remove and replace defective Material at no cost to the Department. The Department will sample, test, and evaluate new Material for acceptance.

106.8 Non-conforming Work

106.8.1 Substantially Conforming Work If the Department determines the Work substantially conforms to the Contract, the Department may accept the Non-conforming Work and may require a credit to the Department to be deducted from amounts otherwise due the Contractor. If the Department and Contractor cannot agree to the amount of the credit, the work shall be Unacceptable Work.

106.8.2 Unacceptable Work The Contractor shall remove, replace, or otherwise correct all Unacceptable Work as directed by the Department at the expense of the Contractor, without cost or liability to the Department.

106.8.3 Unauthorized Work Prior to Final Acceptance and upon written order by the Department, the Contractor shall remove or uncover Unauthorized Work. After examination, the Contractor shall rebuild the Unauthorized Work to a condition conforming to the Contract at the expense of the Contractor and without cost or liability to the Department. Any Delay arising from Unauthorized Work shall be an Inexcusable Delay.

106.8.4 Uninspected Work Prior to Final Acceptance and upon written order by the Department, the Contractor shall uncover Uninspected Work. After examination, the Contractor shall rebuild the Uninspected Work to a condition conforming to the Contract. If the Department determines that the Uninspected Work is acceptable, the uncovering, removing, and rebuilding will be paid as Extra Work, and any resulting Delay shall be an Excusable Delay. If the Department reasonably determines that the Uninspected Work is unacceptable, the uncovering, removing, and rebuilding shall be at the Contractor's expense and any resulting Delay shall be an Inexcusable Delay.

106.9 Warranty Provisions

106.9.1 Warranty By Contractor The Contractor unconditionally warrants and guarantees that the project will be free from Warranty Defects for one year from the date of Physical Work Complete. For a related provision, see Section 107.9.3 – Notices / Final Inspection / Physical Work Completion.

If the Department discovers any Warranty Defects during the warranty period, the Contractor agrees to promptly perform all remedial Work at no additional cost or liability to the Department.

106.9.2 Warranty Definitions Notwithstanding any other provision of the Contract, the following words or phrases have the following definitions for the purposes of the Contractor's warranty obligation under this Contract.

Warranty Defects Warranty Defects are conditions that result from Material, manufacture, or workmanship and that are not in conformity with the Contract or with industry standards applicable to the Work prevailing at the time of submission of the Bid. Warranty Defects do not include (A) normal wear and tear, (B) conditions caused by occurrences clearly beyond the Contractor's control and not attributable to material, manufacture, or workmanship, and (C) Defects in landscape items that are the subject of Landscape Establishment Period Obligations. Examples of such excepted occurrences might be fires, floods, abnormally poor weather for the site of work, accidents, improper use, improper maintenance, vandalism, or acts of God.

Emergency "Emergency" means necessary for public safety or convenience or for critical operation of the constructed and commissioned Project, as determined by the Department.

Promptly Unless there is an Emergency, "Promptly" means in the first construction season after the Contractor has been notified of the defect(s), but always within one year of Receipt of such notice. In case of an Emergency, Promptly means within 48 hours.

Remedial Work "Remedial Work" means all Work necessary to make the item in like new condition as reasonably determined by the Department and performed in accordance with the Contract and in a good and skillful manner. Remedial Work includes all design, permitting, project management, supervision, materials, and labor, including erosion control and traffic control.

106.9.3 Remedial Work Procedure and Requirements Within 30 Days of being notified of any Warranty Defects, the Contractor shall submit to the Department for approval a Remedial Work Plan, including the scope of Work, conceptual Work methods, schedule, construction phasing, and other significant aspects of the corrective Work (the "Work Plan"). Unless otherwise provided by the Department in writing, any Work commenced prior to Department's approval of the Work Plan will be at the Contractor's sole risk. Before starting any on-site Work, the Contractor shall deliver to the Department certificates of insurance complying with Section 110.3 - Insurance. If the estimated cost of Remedial Work exceeds \$100,000, the Contractor shall provide Performance and Payment Bonds complying with Section 110.2 - Performance and Payment Bonds.

If (A) the Contractor fails to submit a Remedial Work Plan, (B) the Contractor does not comply otherwise with written instructions from the Department, or (C) a State of

emergency exists in which Delay would cause serious risk of loss or damage, then the Department may perform or contract for such remedial work and the Contractor will be responsible for all claims, costs, damages, losses, and expenses arising out of such work, including fees and charges of engineers, consultants, attorneys, dispute resolution professionals, and court costs.

Upon a final inspection satisfactory to the Department, the Department will issue a written acceptance of the Remedial Work. The Contractor warrants and guarantees all Remedial Work to be free from Warranty Defects for one year after such acceptance.

106.9.4 Other Warranty Provisions The Contractor hereby assigns to the Department the right to enforce all manufacturer's warranties or guarantees on all Materials, Equipment, or products purchased for the Work that exceed the nature or duration of the warranty obligations assumed by the Contractor under this Contract. Refer to the Specifications for product-specific manufacturer's warranty durations or other detailed warranty requirements where applicable.

The Performance Bond and/or Warranty Bond required by Section 110.2.1 - Bonds shall cover all warranty obligations of the Contractor provided by this Contract. Final Acceptance by the Department does not relieve the Contractor of any warranty obligations provided by this Contract.

The Contractor agrees that the warranty obligations provided by this Contract shall be reported as an outstanding obligation in the event of bankruptcy, dissolution, or the sale, merger, or cessation of operations of the Contractor.

SECTION 107 - TIME

Scope of Section This Section contains general time-related provisions of the Contract, including the Contract Time, allowable Work times, schedule requirements, Liquidated Damages, and Project Closeout.

107.1 Contract Time and Contract Completion Date All Work must be Complete by the Contract Completion Date and within the Contract Time. Unless expressly provided otherwise by the Department in writing, the Contract Time shall be all time between the Contract Execution and the Completion date specified in the Contract, and any authorized extensions.

107.2 Commencement of Contract Time and Work Unless provided elsewhere in this Contract or in writing from the Department, the Contract Time will commence on the date of Contract Execution or upon Contractor's receipt of a Notice to Proceed from the Department. For related provisions, see Sections 101.2 - Definitions of Contract Execution and 103.8 - Execution of Contract by the Department.

Unless specified otherwise, Work may commence upon Contract Execution, unless the Contractor has not secured and provided the Performance and Payment Bonds and Insurance Certificates required by Sections 103.5 - Award Conditions, 110.2 - Bonding, and 110.3 - Insurance. Any Work performed before the requirements of these sections are met is Unauthorized Work and is at the sole risk of the Contractor. Pursuant to Section 110.1 - Indemnification, the Contractor and Surety shall indemnify and hold harmless the Department and Woodland Pulp LLC from any claims arising from Work.

107.3 Allowable Work Times

107.3.1 General Work can be performed at any time , unless expressly specified otherwise in this Contract, including any applicable Permit conditions. Work that is dependent upon the Department or its designees, the Engineer, or the Property Owner in any way shall be performed only during the respective party's normal working hours and days. Exceptions to normal working hours and days for the Department or the Property Owner must be approved in writing by the Department and, if impacted, the Property Owner.

Normal working hours and days for each party are as follows, except for Holidays:

The Department: 8:00am to 5:00pm, Monday through Friday
The Engineer: 7:00am to 5:00pm, Monday through Friday
The Property Owner: 7:00am to 3:00pm, Monday through Friday (day shift)

Note that Woodland Pulp LLC manufacturing is a 24/7 operation with two 12-hour shifts daily.

Any and all Work occurring outside of normal working hours as listed shall be completed solely at the Contractor's election and risk and shall in no way impede or be dependent upon the Property Owner's production or hydroelectric station operations unless coordinated in advance and authorized in writing.

107.3.2 Night Work If the Contractor performs Work during periods of darkness, the Contractor shall comply with Contract requirements governing Night Work. If the Contractor elects to perform Work during periods of darkness on its own initiative and without direction from the Department, then the Contractor shall also comply with all municipal ordinances and requirements from Woodland Pulp LLC affecting such Work, including noise ordinances. When pricing and scheduling the Work, the Contractor shall not assume that such non-directed Night Work will be allowed. Accordingly, the Contractor shall not be entitled to any adjustment to either compensation or time due to its inability to secure any required municipal approvals.

107.3.4 Seasonal Work Restrictions The Contractor shall meet all seasonal restrictions on time of Work contained in the Contract, including all Permits.

107.4 Scheduling of Work

107.4.1 General Duty of Contractor The Contractor is solely responsible for the planning and execution of Work in order to complete the Work within the Contract Time.

107.4.2 Schedule of Work Required The Contractor shall provide the Department with its Schedule of Work in a Critical Path Method (CPM) in accordance with the Specifications.

107.4.4 Schedule Revisions The progress of the Work shall be compared against the Schedule of Work at each Progress Meeting. If the Department determines that the Contractor's actual progress is not in Substantial Conformity with the Schedule of Work, then the Contractor shall either increase Project resources to get back on schedule or submit a revised Schedule of Work in accordance with the Specifications.

107.4.5 No Separate Payment Unless expressly provided otherwise, the costs for providing a Schedule of Work, complying with the Specifications for schedule and payment tracking and related submittals, and all revisions and updates are Incidental to the Contract.

107.5 Suspension of Work

107.5.1 Winter Suspensions

A. Start of Winter Suspension The Contractor may request in writing that the Department approve a Winter Suspension. If the Department determines that winter weather conditions make it impossible to perform all or specified portions of the Work, the Department will approve the Contractor's request with respect to such portions and set the start date of the Winter Suspension.

B. Monitoring, Communications, and Suspension Activities During the Winter Suspension, the Contractor is responsible for monitoring weather conditions and requesting approval from the Department to resume Work as soon as possible. In any case, the Contractor shall notify the Project Manager 14 Days before the end date of an approved Winter Suspension. The Contractor is also responsible to continue snow plowing activities sufficient to maintain safe and clear access to and through the Project Limits, but no less than once per week. Deviation from minimum snow plowing activities must be approved in writing by the Department and have justifiable cause for the deviation with written plan for remedy of accumulated snow if applicable.

C. End of Winter Suspension Upon request by the Contractor or upon its own initiative, the Department may determine the end date of the Winter Suspension and the Contractor is responsible for resuming Work immediately after said end date.

D. Impact on Liquidated Damages Liquidated Damages will not be assessed for any portion of a Winter Suspension that occurs after expiration of the Contract Time. Winter Suspensions will not otherwise affect the assessment of Liquidated Damages. For a related provision, see Section 107.7 - Liquidated Damages.

107.5.2 Suspensions Due To Uncontrollable Events Upon request of the Contractor or upon its own initiative, the Department may suspend the Work due to Uncontrollable Events. Any Delay related to such a suspension will be analyzed in accordance with Section 109.5 - Adjustments for Delay. For a related provision, see Section 101.2 - Definition of Uncontrollable Event.

107.5.3 Suspensions for Cause The Department may suspend the Work if the Contractor violates any provision of the Contract that may affect the quality, cost, timeliness or Conformity of the Work. Any Delay related to such a suspension will be an Inexcusable Delay. For a related provision, see Section 109.5 - Adjustments for Delay.

107.5.4 Suspensions for Convenience The Department may suspend the Work for any other reason it determines is in the best interest of the Department. Any Delay related to such a suspension will be analyzed in accordance with Section 109.5 - Adjustments for Delay.

107.5.5 Pre-Suspension Work If Work is to be suspended for an extended period of time, the Contractor shall store all Materials in a manner that does not obstruct the free and safe flow of vehicular, pedestrian, railroad, or marine traffic and that protects the Materials from damage. The Department may direct the Contractor to install guardrail or other traffic control devices necessary to protect the traveling public or Woodland Pulp LLC employees. The Contractor shall take all precautions to prevent damage or deterioration of the Work already performed, provide suitable access road drainage or protections, erecting temporary Structures, providing temporary erosion control where necessary, and protecting all utilities to temporary offices and other facilities. Impacts to utilities during the Winter Suspension due to Contractor's failure to provide adequate protection shall be remedied at no cost to the Department. The cost of such pre-suspension Work will be analyzed in accordance with Section 109.5 - Adjustments for Delay.

For related provisions, see Sections 104.2.6 - Right to Suspend Work, 105.4.4 - Maintenance During Suspension of Work, 107.7 - Liquidated Damages, and 109.5 - Adjustments for Delay.

107.6 Completion Incentives and Disincentives When provided in the Contract, financial incentives for early Completion and disincentives for late Completion will be added to or deducted from amounts otherwise due the Contractor. Incentives/Disincentives are separate and distinct from Liquidated Damages and Supplemental Liquidated Damages.

107.7 Liquidated Damages

107.7.1 General The Department and the Contractor acknowledge that time is an essential element of the Contract, and that Delay in completing the Work beyond the designated Completion Date will result in damages, including but not limited to damages to the State of Maine due to public inconvenience, delays in fish passage, interference with business, as well as increased engineering, inspection, and administrative costs to the Department. The Department and the Contractor acknowledge the difficulty of making a

precise determination of such damages and, as a result, they have agreed to a sum of money in the amount stipulated in the Contract that will be charged against the Contractor for each Calendar Day that the Work remains uncompleted after the expiration of the designated Completion date, not as a penalty but as Liquidated and Supplemental Liquidated Damages.

Except as expressly provided otherwise in this Contract, the Contractor or, in case of default, its Surety, shall owe the Department the per diem amount specified in Section 107.7.2 - Schedule of Liquidated Damages, as well as any per diem amount of Supplemental Liquidated Damages as specified in the Supplement Specifications, for each Calendar Day that any portion of the Work remains incomplete after the Completion Date or the Contract Time has expired. Should the Contractor or its Surety fail to complete the Work by the Completion Date, a deduction of the amount stipulated in the Contract as Liquidated and Supplemental Liquidated Damages will be made for each and every Calendar Day that such Work remains uncompleted. This amount will be deducted from any money due the Contractor or its Surety under the Contract, and the Contractor and its Surety will be liable for any Liquidated and Supplemental Liquidated Damages in excess of the amount due.

The Contractor acknowledges that the specified amounts per diem of Liquidated and Supplemental Liquidated Damages in the Standard Specifications (if applicable) are reasonable, and agrees to stipulate to their reasonableness in any suit for the collection of or involving the assessment of said damages. The damages referred to herein are intended to be and are cumulative, and will be in addition to every other remedy now or hereafter enforceable at law, in equity, by statute, or under the contract.

Permitting the Contractor to continue and finish the work or any part thereof after the expiration of the Completion Date shall in no way operate as a waiver on the part of the Department of its rights to assess and recover Liquidated and Supplemental Liquidated Damages, or any other rights, under the Contract.

For related provisions, see Sections 107.1 - Contract Time, 107.5.1(D) - Winter Suspensions - Impact on Liquidated Damages, and 109.5 - Adjustments for Delay.

107.7.2 Schedule of Liquidated Damages The specific per diem rate for Liquidated Damages shall be \$2,100.00 per Calendar Day. By executing the Contract, the Contractor acknowledges that such an amount is not a penalty and that the daily amount set forth in the Contract is a reasonable per diem forecast of damages incurred by the Department due to the Contractor's failure to Complete the Work within the Contract Time.

107.8 Supplemental Liquidated Damages Supplemental Liquidated Damages are separate and distinct from Liquidated Damages and will apply to any delay in the fish passage system achieving full operability, inclusive of completing all required testing, beyond May 1, 2028. Supplemental Liquidated Damages will be deducted from amounts otherwise due the Contractor at a rate of \$2,100 per day of delay.

107.9 Project Closeout

107.9.1 Final Cleanup and Finishing To prepare for Final Acceptance, the Contractor shall clean the Project and all ground, lawns, streams, Structures, and other areas adjacent to the Project of all rubbish, excess Material, temporary Structures, and Equipment. The ground shall be backfilled with Material that is generally the same as the surrounding Material, graded to drain properly, and finished such that the surface matches the surrounding surface (examples - loam and seed, compacted gravel, pavement). The Contractor must leave all areas impacted by the Work in a condition that is reasonably acceptable to the Department.

107.9.2 Notice / Inspection / Punch List The Contractor shall notify the Department in writing that it considers the Project complete. As soon as practicable thereafter, the Department will inspect the Work. If incomplete or unsatisfactory Work is noted, the Department will prepare a written list of all items that must be completed or corrected before the Physical Work is Complete (“Punch List”). The Contractor shall immediately take such measures as are necessary to complete all Punch List items.

107.9.3 Notices / Final Inspections / Physical Work Completion The Contractor shall notify the Department in writing that all Punch List items have been completed and/or corrected and that the Contractor considers the Project Complete. As soon as practicable thereafter, the Department will make another inspection of the Work. The Department and the Contractor will attend this inspection jointly. If incomplete or unsatisfactory Work is noted, the Department will prepare a revised Punch List (which may include items not on previous Punch List(s)) and the Contractor shall immediately take such measures as are necessary to complete the revised Punch List items. Additional iterations will occur in a like manner until the Department finds that the Physical Work is Complete and in Conformity with the Contract. If the Contractor has not already done so, the Contractor will Promptly remove all temporary traffic control devices.

107.9.4 Closeout Documentation The Department will notify the Contractor in writing that the Physical Work is Complete and in Conformity with the Contract and that the Project will be Finally Accepted when Contract Closeout activities are complete in accordance with the Specifications including the Department’s receipt of Project Record Documents received from the Contractor. The Contractor shall deliver the Contract Closeout Documentation as listed in the Specifications within 30 Days of the date of the notification that the Physical Work is Complete. Liquidated Damages will cease to accrue upon the Completion of Physical Work. For a related provision, see Section 101.2 - Definition of Closeout Documentation.

107.9.5 Final Acceptance Within 75 Days of Final Acceptance by the Department, the Department will advise the Contractor in writing of the Final Quantities and any damages to be assessed for the Project. The Contractor shall resolve any Project issues that remain and provide the All Bills Paid and Request for Final Payment Letters to the Department within 30 Days. The Department will make Final Payment, including the

release of all remaining retainage, and release any escrowed bid documents within 20 Days of receipt of the above letters, which complete the Closeout Documentation.

If the Contractor fails to resolve issues and deliver Closeout Documentation within the 30 Days provided in Section 107.9.5, the Department may provide a final notice informing the Contractor in writing that unless the Contractor Delivers all Closeout Documentation within 30 Days of the date of Receipt of final notice, the Contractor shall be in Default under the Contract. The Contractor shall become ineligible to Bid on any Department Contracts. The Department may then pursue all remedies provided by the Contract or by law, including withholding Final Payment. For a related provision, see Section 102.1.1 - Eligibility to Bid - Basic Requirements.

107.9.6 No Waiver of Legal Rights Final Acceptance does not preclude the Department from correcting any measure, estimate, or certificate made. The Department may recover from the Contractor or its Surety, or both, overpayments made due to failure to fulfill Contract obligations.

A waiver on the part of the Department of any breach of any part of the Contract is not a waiver of any other or subsequent breach.

The Contractor retains liability for latent Defects, fraud (or such gross mistakes as may amount to fraud), and warranty obligations.

SECTION 108 - PAYMENT

Scope of Section This Section contains general provisions related to payment, including measurement of quantities, progress payment, retainage, the right to withhold payment, and other payment-related terms.

108.1 Measurement of Quantities for Payment

108.1.1 Use of Plan Quantities Payment for all items labeled in the Bid Documents as “Plan Quantity” will be based upon the estimated quantity for the Work described in the Bid Documents. The Contractor shall accept such payment as full and complete compensation for that item without physical measurement. Quantities included in the Plan Quantity amount but not accomplished will be calculated by the Department using standard estimating procedures and deducted from the plan quantity. Areas not included in the Plan Quantity amount but completed will be measured and added to the Plan Quantity. Upon mutual written Agreement by the Department and the Contractor through a Contract Modification, the estimated quantity of any item of Work may be used as the final quantity for that item without physical measurement.

108.1.2 General Measurement Provisions The Department will use the U.S. Customary system for all measurements unless the Contract utilizes the International System of Units (SI). Measurement of Bid Items shall include all resources necessary to complete

the Pay Item of Work under the Contract. The Department will measure items for payment in accordance with the “Method of Measurement” provisions of the applicable Specification. For all items of Work, other than those paid for by lump sum, the Department shall determine the quantities accepted as the basis for Final Payment after the Physical Work is Completed.

108.1.3 Provisions Relating to Certain Measurements Unless expressly provided otherwise, the Department and the Contractor shall use the following general measurement provisions.

Lump Sum or Each “Lump Sum” payment is total reimbursement for all resources necessary to complete the item of Work. Quantities provided for items measured and paid by Lump Sum are estimated quantities and are provided for informational purposes only. There will be no additional payment made by the Department or reduction in payment to the Contractor if the actual, final quantities for items measured and paid by Lump Sum are different than the quantities estimated by the Department. The only exception to this rule is when an item is eliminated, in which case Standard Specification Section 109.2 - Elimination of Items would take precedence.

“Each” payment is payment per complete unit.

Length “Length” is defined as linear measurement parallel to the item base or foundation. A station is 100 feet.

Area “Area” refers to the length, as defined above, multiplied by the width, which is defined as the linear measurement perpendicular to the item base or foundation. When calculating area for payment, use horizontal, longitudinal, and plan (neat) transverse measurements for surface area computations. Make no deductions for individual fixtures having an area of 1 square yard or less. For purposes of the preceding sentence, “fixtures” means small subareas that do not receive Material(s) or on which no Work is performed.

Volume Measure Structures using plan (neat) or approved Contract Modification dimensions. Use the average end area method to compute excavation volumes. Use hauling vehicles approved by the Department when transporting Materials measured by volume. Measure materials at the point of delivery. Ensure the body shape allows contents to be accurately measured. Load and level vehicles to the lesser of their water level or legal capacity. Obtain the Department’s approval to convert Materials specified for measure by mass to volume. Use specified conversion factors.

Measure water to the nearest gallon with calibrated tanks, distributors, certified scale weights, or water meters.

Measure bituminous materials by the gallon or ton.

Measure demolition concrete and excavated rock in place by cubic yard.

Use net certified scale weights or certified rail car volumes. Correct for bituminous Material lost, wasted, or otherwise not incorporated in the Work. Correct net certified bituminous Material weights or volumes for loss or foaming when shipped by truck or transport.

Measure timber by the board foot. Base measurement on nominal widths and thicknesses and individual maximum lengths.

Mass One ton is 2,000 pounds. Use certified scales to determine mass (weight). Accept certified “car weights” for Material shipped by rail, except for Material to be subsequently processed in mixing plants. Obtain certified haul truck tares as specified. Each haul truck shall display a legible identification mark.

Measure cement by the pound or ton.

Accept nominal mass or dimensions for standard manufactured items unless otherwise specified.

Accept industry-established manufacturing tolerances, unless otherwise specified.

Measure Aggregate mass in the saturated surface dry condition.

108.2 Progress Payments

108.2.1 Generation of Progress Payment Estimates No such estimates or payment will be made if, in the judgment of the Resident, the Work is not proceeding in accordance with the provisions of the Contract, or when the total value of the Work performed since the last estimate amounts to less than \$5,000. The Contractor will submit an application for progress payment with a detailed written explanation of the payments requested, on forms and media approved by the Department including up-to-date Schedule of Values, to the Project Manager for approval. The Project Manager may request that the Contractor submit backup documentation, including copies of receipts, invoices, and itemized payments to Subcontractors.

108.2.2 Payment The Department will make payment within 30 days of an approved invoice, except as otherwise provided in the Contract. This project is federally funded. These payment obligations shall not apply in the event of unforeseeable circumstances such as insufficient federal or legislative appropriations, insufficient federal appropriations, suspension of federal funding, de-appropriation of federal funding, termination of federal funding, lack of authorization to expend appropriated funds, or the revocation of such authority, information systems failure, and other Uncontrollable Events. All payments made are subject to correction in subsequent Progress Payments and the Final Payment. For related provisions, see Sections 108.8 - Final Payment, and 108.9.2 - No Inflation Adjustments/ Interest.

108.2.3 Mobilization Payments Payments for Contractor's mobilization shall be in accordance with the Specifications.

108.3 Retainage The Department will deduct 5% of the amount of each Progress Payment as retainage. In the event that the Department believes that the retainage will be insufficient to cover the Contractor's obligations under this Contract, the Department may withhold a greater percentage of the money to cover Contractor obligations.

The Department may hold, temporarily or permanently, retainage as needed to assure timely Completion of the Work and payment of all Subcontractors and Suppliers in Conformity with the Contract. The Department may also disburse retainage to Subcontractors as set forth in Section 104.5.6 - Subcontractor Claims for Payment.

Upon Final Acceptance, and determination by the Department that there are no claims either by or on the Contractor or Subcontractors; no over payments by the department; no LDs due; and no disincentives due, the Department will reduce Retention to 1% of the original Contract Award amount, or \$100,000, whichever is less, as it deems desirable and prudent. Otherwise, retainage will be held until the receipt of all Closeout Documentation.

108.4 Payment for Materials Obtained and Stored Acting upon a request from the Contractor and accompanied by bills or Receipted Bills, the Department will pay for all or part of the value of acceptable, non-perishable Materials that are to be incorporated in the Work, including Materials that are to be incorporated into the Work, not delivered on the Work site, and stored at places acceptable to the Department. Examples of such Materials include steel piles, stone masonry, curbing, timber and lumber, metal Culverts, stone and sand, gravel, and other Materials. The Department will not make payment on living or perishable Materials until acceptably planted in their final locations.

If payment for Materials is made to the Contractor based on bills, only, then the Contractor must provide Receipted Bills to the Department for these Materials within 14 days of the date the Contractor receives payment for the Materials. Failure of the Contractor to provide Receipted Bills for these Materials within 14 days of the date the Contractor receives payment will result in the paid amount being withheld from the subsequent progress payment, or payments, until such time the Receipted Bills are received by the Department.

Materials paid for by the Department are the property of the Department, but the risk of loss shall remain with the Contractor until the materials are installed and accepted. Payment for Materials does not constitute Acceptance of the Material. If Materials for which the Department has paid are later found to be unacceptable, then the Department may withhold amounts reflecting such unacceptable Materials from payments otherwise due the Contractor.

In the event of Default, the Department may use or cause to be used all paid-for Materials in any manner that is in the best interest of the Department.

108.5 Right to Withhold Payments The Department may withhold payments claimed by the Contractor on account of:

- A. Defective Work,
- B. Damages for Non-conforming Work,
- C. Failure to provide the Department the opportunity to inspect the Work,
- D. Damage to a third party,
- E. Claims filed or reasonable evidence indicating probable filing of claims,
- F. Failure of the Contractor to make payments to Subcontractors or for Materials or labor, or failure of Subcontractors to make payments to Sub-Subcontractors or for Materials or labor,
- G. Substantial evidence that the Project cannot be completed for the unpaid balance,
- H. Substantial evidence that the amount due the Department will exceed the unpaid balance,
- I. Regulatory non-compliance or enforcement,
- J. Failure to submit Closeout Documentation,
- K. All other causes that the Department reasonably determines negatively affect the State's interest.

108.6 Taxes, Fees, Allowances, and Notices The Contractor shall pay all taxes, charges, fees, and allowances and give all notices necessary and incidental to the due and lawful prosecution of the Work. Except as expressly provided otherwise in this Contract, all such taxes, charges, fees, and allowances are Incidental to the Contract.

Certain items of tangible personal property purchased by the Contractor for use in the Contract may be exempt from Maine sales tax. *See* 36 MRSA §§ 1760(2) & (61).

108.7 Damages for Non-Conforming Work If the Contractor performs Non-conforming Work that causes the Department to incur costs, including environmental costs or penalties or Departmental staff time related to the non-Conformity, penalties, or other damages of any nature whatsoever ("Damages"), then the Contractor shall be liable to the Department for such Damages. The Department, at its option, and without liability, may deduct such Damages from amounts otherwise due the Contractor and/or postpone disbursement of Progress Payments until the Non-conforming Work is corrected.

108.9 General Payment Provisions

108.9.1 Full Compensation Payments to the Contractor shall be full compensation for furnishing all labor, Equipment, Materials, services, and Incidentals used to perform all Work under the Contract in a complete and acceptable manner, and for all risk, loss, damage, or expense of any kind arising from the nature or prosecution of the Work.

108.9.2 No Inflation Adjustments / Interest No payments due the Contractor will be adjusted for inflation. No interest shall be due and payable on any payment due the Contractor, except that the Department will pay statutory interest on uncontested Final Payments for any period of time that extends beyond 60 Days of the date of Receipt of all

Conforming Closeout Documentation. The preceding exception expressly does not include payments regarding pending Issues, a Dispute, or a claim.

108.9.3 Amounts Due the Department Unless expressly provided otherwise in this Contract, in cases where the Department may deduct sums from amounts otherwise due the Contractor and where the sums to be deducted are more than the funds otherwise due the Contractor, the Contractor shall remit all amounts due the Department within 30 Days of receiving an Invoice from the Department. After such 30 Days, the Contractor shall be in Default of this Contract and shall not be entitled to any additional cure period. Statutory interest shall accrue after 60 Days of Receipt of the Invoice.

SECTION 109 - CHANGES

Scope of Section This Section contains general provisions related to changes in quantities, scope, time, and payment.

109.1 Changes in Quantities

109.1.1 Changes Permitted The Department may increase or decrease Pay Item quantities from the estimated quantities shown in the Bid Documents, and such increase or decrease shall not be considered Extra Work. Except as expressly provided otherwise in this Contract, the Contractor shall be paid for actual quantities in place and accepted at the Unit Prices contained in the Contractor's Bid. The Contractor accepts such payment as full and complete compensation. There will be no adjustment to Contract Time due to an increase or decrease in quantities compared to those estimated, except as addressed through Contract Modification(s).

109.1.2 Substantial Changes to Major Items If quantities of Major Items vary from the estimated quantities contained in the Bid Documents by more than 25%, then the Department may increase or decrease the Unit Price of such item using the extra work process. For related provisions, see Section 109.3 - Extra Work and Section 109.8 - Contract Modification. If an adjustment to the Unit Price is made, it will apply only to that portion of the actual quantity that is less than 75% of the estimated quantity or more than 125% of the estimated quantity.

109.2 Elimination of Items Upon written notification to the Contractor, the Department may entirely eliminate item(s) of Work for any reason. Upon notification, the Department is entitled to a credit. For Minor Items, the credit shall be the Contractor's Bid price for the eliminated item(s). For Major Items, the amount of the credit shall be the Contractor's Bid price for the eliminated item(s), less (A) direct costs actually incurred by the Contractor after Award, including mobilization, shipping, and restocking expenses that the Contractor cannot recoup on other Projects as reasonably determined by the Department, and (B) 10% for overhead and profit. The Department may withhold said credit from amounts otherwise due the Contractor.

109.3 Extra Work The Department reserves the right to revise the Contract by adding Extra Work. Such revisions neither invalidate the Contract nor release the Surety. The Contractor and/or its Surety agree to perform all such Extra Work. The Department will compensate for Extra Work by written Contract Modification in accordance with Section 109.7.1 - General and Section 109.7.2 - Basis of Payment. Any Delay related to Extra Work will be analyzed in accordance with Section 109.5 - Adjustments for Delay. For a related provision, see Section 109.8 - Contract Modification.

109.4 Differing Site Conditions

109.4.1 Definition “Differing Site Conditions” are subsurface or latent physical conditions that, at the time of Bid submittal, were:

- (A) Materially different from conditions indicated in the Bid Documents,
- (B) Not discoverable from a reasonable site investigation prior to Bid,
- (C) Materially different from conditions ordinarily encountered and generally recognized as inherent in Work like that specified by the Contract by Contractors experienced in such Work,
- (D) Actually unknown to the party seeking relief due to such conditions, which in the case of the Contractor includes its Subcontractors, and
- (E) Not discoverable through Contractor’s coordination with Woodland Pulp LLC regarding annual outage activities (usually scheduled in May), other contractor work occurring on site, utility locations or routes, and normal operations throughout the year of its hydroelectric station and dam infrastructure including high water discharge from spillways or sections designed to overtop.

Refer to the Specifications for items that must be determined as Differing Site Conditions by the Engineer in order to qualify as Extra Work.

109.4.2 Risk of Other Conditions All costs, Work, Delays, or other damages related to or arising from site conditions that are not Differing Site Conditions are the sole risk and responsibility of the Contractor.

109.4.3 Notice and Procedural Requirements If the Contractor discovers what it considers Differing Site Conditions that may cause adjustments to compensation, time, or other Contract requirements, the Contractor shall provide “Notice of Issue for Consideration” within 48 hours of discovery and before doing any Work relating to such conditions as provided in Section 104.4.5 - Early Negotiation. The Contractor shall then comply with all other requirements of Section 104.4.5 - Early Negotiation, and Section 111 - Resolution of Disputes. The Contractor will not be entitled to any change to compensation, time, or Work requirements without proper notice as specified in this Section 109.4. Failure to provide such notice or to otherwise comply with this Section 109.4 will constitute a waiver of all claims related to such conditions.

If the Department or the Engineer discovers what it considers Differing Site Conditions that may cause adjustments to compensation, time, or other Contract

requirements, then the Department will provide the Contractor with written notice within 48 hours of discovery. If the Contractor disagrees with the Department's finding of Differing Site Conditions or the related adjustments, then the Contractor shall provide "Notice of Issue for Consideration" within 48 hours of receipt of the Department's written notice and comply with the requirements of Section 104.4.5 - Early Negotiation and Section 111 - Resolution of Disputes.

109.4.4 Investigation / Adjustment Upon notification by the Contractor or upon the Department's own initiative, the Department will investigate the conditions. If the Department determines that Differing Site Conditions exist and that the Differing Site Conditions have caused an increase in the cost or time required for the performance of the Work, then the Contractor is entitled to an Equitable Adjustment for the additional costs in accordance with Section 109.7, Equitable Adjustments to Compensation and Time - Basis of Payment that are caused directly by the Differing Site Conditions. If the Department determines that Differing Site Conditions exist and that the Differing Site Conditions have caused a decrease in the cost or time required for the performance of the Work, then the Department is entitled to a credit in the amount of savings to compensable items in accordance with Section 109.7, Equitable Adjustments to Compensation and Time, that are caused directly by the Differing Site Conditions. Delays caused by Differing Site Conditions will be considered in accordance with Section 109.5 - Adjustments for Delay.

109.5 Adjustments for Delay

109.5.1 Definitions - Types of Delays Delays are defined as follows and may be divided into more than one type depending upon cause.

A. Excusable Delay Except as expressly provided otherwise by this Contract, an "Excusable Delay" is a Delay to the Critical Path that is directly and solely caused by (1) a weather-related Event of such an unusually severe nature that a Federal Emergency Disaster is declared. The Contractor will be entitled to an adjustment of time under this Section only if the Project falls within the geographic boundaries prescribed under the disaster declaration. or (2) a flooding event at the affected location of the Project that results in a Q25 tailwater elevation, or greater, but less than a Q50 tailwater elevation. Theoretical tailwater elevations will be determined by the Department; actual tailwater elevations will be determined by the Contractor and verified by the Department or (3) An Uncontrollable Event

B. Compensable Delay A "Compensable Delay" is a Delay to the Critical Path that is directly and solely caused by: (1) a weather-related Uncontrollable Event of such an unusually severe nature that a Federal Emergency Disaster is declared. The Contractor will be entitled to an Equitable Adjustment under this Section only if the Project falls within the geographic boundaries prescribed under the disaster declaration and receives project-specific emergency funds, and the Contractor can show proof that the Work was delayed by this weather event, (2) an Uncontrollable Event caused by a Utility Company for which the Utility Company reimburses the Department, (3) an Uncontrollable Event caused by other third party (not

Subcontractors) Working on Project-related Work within the Project Limits if, and only if, the such other third party offers the Department reimbursement for such Delay, or (4) acts by the Department that are in violation of applicable laws or the Contract, or (5) a flooding event at the affected location of the Project that results in a Q50 tailwater elevation, or greater. Theoretical Q50 tailwater elevations are included in the Specifications; actual tailwater elevations will be determined by the Contractor and verified by the Department or the Engineer.

C. Inexcusable Delay “Inexcusable Delays” are all Delays that are not Excusable Delays or Compensable Delays, which shall include Woodland Pulp LLC’s annual May outage activities for hydroelectric station maintenance and all routine dam operations around which the Contractor must accordingly plan its work.

For a related provision, see Section 101.2 - Definition of Uncontrollable Event.

109.5.2 Entitlement to Adjustments

A. Types of Adjustments Provided the Contractor meets the requirements of Section 109.5.2(B) below and complies with the notification, documentation, and procedural requirements set forth in the Contract, the Contractor is entitled to certain adjustments to the Contract depending upon the type of Delay.

1. For an Excusable Delay, the Contractor is entitled to an extension of time, but no additional compensation.
2. For a Compensable Delay, the Contractor is entitled to an extension of time and an Equitable Adjustment as set forth in Section 109.7 - Equitable Adjustments to Compensation and Time.
3. For an Inexcusable Delay, the Contractor is entitled to neither an extension of time nor additional compensation.

For related provisions, see Sections 104.2.7 - Damage to Project Caused By Uncontrollable Events and 104.3.10 - Responsibility for the Damage to Work.

B. Requirements for Entitlement To be entitled to any adjustments for an Excusable Delay or a Compensable Delay, the Contractor must demonstrate all of the following:

1. The Contractor consistently utilized its Schedule of Work to schedule, coordinate, and manage the Work, as evidenced by documentation created as the Work progressed, including Progress Meeting minutes;
2. The Delay affected the Critical Path of the Schedule of Work; and
3. There are no concurrent Inexcusable Delays.

C. Concurrent Delays The Contractor is not entitled to a time extension for the period of time when Excusable and Inexcusable Delays are concurrent. The Contractor also is not entitled to either a time extension or an Equitable Adjustment for the period of time

when Compensable and Inexcusable Delays are concurrent. In the event Compensable and Excusable Delays are concurrent, the Contractor is entitled only to a time extension, not an Equitable Adjustment, for the period of time such Delays are concurrent.

109.5.3 Early Completion Date Delay Claims For the purposes of this Section 109.5.3, a “Contractor’s Early Completion Date” means a Project Completion date shown on the Contractor’s initial Schedule of Work submitted in accordance with Section 107.4.2 - Schedule of Work Required that is earlier than the Contract’s specified Completion date. The Department will not be liable for any claims or expenses related to the period of time between the Contractor’s Early Completion Date and the Contract’s specified Completion date, unless the Contractor demonstrates, by clear and convincing evidence that: (A) all requirements of Section 109.5.2(B) - Requirements for Entitlement are met, and (B) that the Contractor’s Early Completion Date was reasonable at the time of Bid in light of the surrounding facts and circumstances, including the Contractor's available resources, and the requirements of the Work.

109.5.4 Notice and Procedural Requirements If the Contractor becomes aware of facts or circumstances that may cause a Delay for which the Contractor may seek adjustments to compensation, time, or other Contract requirements, the Contractor must notify the Department of such “Issue” within 48 hours and before doing any Work relating to such facts or circumstances as provided in Section 104.4.5 - Early Negotiation. Except as otherwise provided in this Section 109.5, the Contractor shall then comply with all other requirements of Section 111 – “Resolution of Disputes.” The Contractor will not be entitled to any change to compensation, time, or Work requirements without proper and timely notice. Failure to provide such notice constitutes a waiver of all claims related to such conditions.

109.5.5 Documenting the Delay and Request for Adjustments

A. Weekly Reports During Delay To be entitled to any adjustments for Delay, the Contractor must keep records as provided in Section 111.1.6 – Contractor’s Obligation to Keep Records. Further, the Contractor must submit weekly written reports containing the following information.

1. Number of Days of impact to the Critical Path.
2. A summary of all operations that have been Delayed, or will be Delayed on the impact of the Contractor's Critical Path.
3. A narrative describing how the cause of the Delay meets the definition of “Excusable Delay” or “Compensable Delay” contained in Section 109.5.1(A) or (B).
4. Itemization of all extra costs being incurred, including (A) how the extra costs relate to the Delay, (B) the identification of all non-salaried Project employees for whom costs are being compiled, and (c) a summary of time charges for Equipment, identified by the manufacturer’s number for which costs are being compiled.

B. Request and Report After Completion Within 14 Days of Completion of the phase of Work that the Contractor claims has been Delayed, the Contractor shall submit a written report to the Department that contains the following information:

1. A description of the operations that were Delayed and the documentation and narrative of how the cause for the Delay meets the definition of “Excusable Delay” or “Compensable Delay” contained in Sections 109.5.1(A) or (B), including all reports prepared for the Contractor by consultants, if used;
2. An as-built chart showing when Work operations were actually performed;
3. A graphic depiction of how the operations were Delayed and the impact on the Critical Path; and
4. An item-by-item request for additional time and compensation for items allowed under Section 109.7.5 – Force Account Work, including measurement and explanation.

The Department may require that all costs shown in the report be certified by an accountant, and that the Contractor provide all other information described in Section 111.2.2 - Detailed Notice of Dispute.

109.5.6 Decision by Project Manager Within 30 Days of receiving all information described in Section 109.5.5(B) - Request and Report After Completion, the Project Manager will Deliver a written decision on the request made to the Contractor. Failure to provide a decision within said 30-day period shall be considered a denial of the Contractor’s request, unless the parties mutually agree to an extension of time for such decision.

109.5.7 Additional Consideration By Department If the Contractor wants additional consideration, the Contractor shall Deliver a “Notice of Unresolved Dispute” to the Department’s appropriate Bureau Director within 14 Days of Receipt of the Program Manager’s decision. Such Notice shall comply with Section 111.3.1 - Notice of Unresolved Dispute. The parties must then comply with all other Dispute resolution provisions of this Contract, beginning with Section 111.3 - Negotiation By Management.

109.6 Value Engineering

109.6.1 Overview - General Requirements A Value Engineering Change Proposal (VECP) is a proposal made by the Contractor after Contract Execution that is intended to produce cost savings without impairing essential characteristics of the Project, including function, serviceability, safety, durability, maintainability, and aesthetics, all as determined by the Department.

A VECP shall contain proven features that have been used under similar conditions. A proposal is not a VECP if equivalent options are already provided in the Contract.

A VECP must be approved by the Department. Unless otherwise agreed in writing, the Contractor and the Department will equally share the Net Savings generated by the VECP as provided in Section 109.6.4(C) - Contract Modification - Amount of Payment.

Unless mutually agreed otherwise, the VECP approval process will occur in three steps: (A) Conceptual VECP submission and review, (B) Detailed VECP submission and evaluation, and if approved, (C) Contract Modification, including the amount of payment due to the Contractor and credit due to the Department. When the nature and scope of a VECP warrants, the parties may agree to truncate the VECP approval process.

109.6.2 Conceptual VECP

A. Submittal To propose a VECP, the Contractor must submit a written “Conceptual VECP” to the Project Manager and the Engineer. The Conceptual VECP is not a formal and complete submittal based upon detailed technical analysis, but instead relays a conceptual idea based upon the Contractor’s knowledge and experience. The Conceptual VECP should include the following information:

1. General Description A narrative that describes the proposed change in concept and includes the basic differences between the existing Contract and the proposed change.
2. Advantages and Disadvantages A listing and brief description of the comparative advantages and disadvantages of the VECP, including effects on function, serviceability, safety, durability, maintainability, aesthetics, and any other factors significantly altered by the VECP.
3. Estimate of Net Savings An estimate of the Net Savings as defined in Section 109.6.4(C) - Contract Modification - Amount of Payment.
4. Savings and Schedule Impacts An estimate of the time necessary for the Contractor to submit a Detailed VECP. Such estimate must specify the date by which the Department must approve the VECP to obtain the maximum cost reduction, and the latest date by which the Department must approve the VECP for the Contractor to avoid significant impacts on the estimated Net Savings or the Contractor's Schedule of Work. If the Department determines that the time for response is insufficient for review, the Contractor will be so notified.

B. Conceptual Review and Response The Department will use its best efforts to review a Conforming Conceptual VECP and respond to the Contractor within 14 Days of Receipt. The Department may, at its sole discretion, (1) invite the Contractor to submit a Detailed VECP, (2) reject the Conceptual VECP for reasons that will be described briefly, or (3) request additional information. The Department may also, in its sole discretion, agree to partially reimburse the Contractor for the costs to develop and submit a Detailed VECP.

109.6.3 Detailed VECP

A. Submittal If the Department invites the Contractor to submit a Detailed VECP, it shall contain the following information that is sufficient in detail to clearly define and explain the proposed change(s):

1. Updated and more complete information regarding items included in the Conceptual VECP, including the general description of the VECP, advantages and disadvantages, use, or testing performed, elsewhere, a detailed computation of the estimated Net Savings generated in accordance with Section 109.6.4(C) - Contract Modification - Amount of Payment, actual VECP development costs to date, and estimated savings and schedule impacts, including approval date(s) required. If the Department determines that the time for response is insufficient for review, the Contractor will be notified promptly.
2. A complete set of Plans and Specifications showing the proposed revisions relative to the original Contract features and requirements. All VECPs that require engineering design, computations, or analysis shall be prepared under the responsible charge of, and sealed by, a Professional Engineer licensed in the State of Maine.

B. Evaluation

1. Additional Information The Department may request any additional information that it determines is necessary to properly evaluate the VECP. Where design changes are proposed, such additional information may include results of field investigations and surveys, design computations, specifications, and field change sheets. The Contractor will promptly provide any such requested information.
2. Cost Verification The Department may require the Contractor to provide additional information to verify the Contractor's cost analyses.

C. Response The Department will evaluate a Conforming Detailed VECP and provide the Contractor with a written response within 14 Days of Receipt of all of the information it has determined is necessary to properly evaluate the VECP. Such response will include a brief description of the Department's reason(s) for its decision. The Department, at its sole discretion, will either approve the Detailed VECP, approve it with conditions, or reject it. The Department may base its decision on any reason that is in the best interest of the Department, including: (1) unacceptable impact on the function, serviceability, safety, durability, maintainability, or aesthetics of the Project, (2) insufficient testing or use of the VECP concepts elsewhere, (3) insufficient justification of cost savings, (4) unacceptable schedule impacts, (5) insufficient review time, or (6) differing engineering judgment. The Contractor may request that the Department reconsider certain portions of the decision. If requested, the Department will reconsider its decision and then issue a final decision, which is not subject to review or appeal.

D. Termination of VECP Process If the Department rejects the VECP or the Contractor does not desire to proceed with the VECP as approved by the Department, the

VECP process will terminate and the Department will reimburse the Contractor for 100 percent of all VECP development costs incurred by the Contractor to date.

109.6.4 Contract Modification - Amount of Payment If the VECP is approved, or if it is approved with conditions, and the Contractor wants to proceed, a Contract Modification will be executed by the parties. In addition to the requirements of Section 109.8 - Contract Modifications, the VECP will set forth the net savings generated by the VECP, which shall be split equally between the Contractor and the Department, per the following formula:

$$NS = EGS - CDC - DVEC$$

Where:

NS = Net Savings generated by the VECP, as determined by the Department.

EGS = Estimated Gross Savings, which is the difference between the cost of performing the Work as originally specified in the Contract and the cost of performing the Work as revised by the VECP, at agreed upon or lump sum prices.

CDC = Contractor's Development Costs related to the preparation of the Detailed VECP, including costs of the Contractor's design subconsultants and Subcontractors. The Department shall reimburse the Contractor for these costs.

DVEC = Department's VE Costs related to review, approval, and implementation of the VECP, including design costs, field inspection, and the value of any Department provided property.

Once the Contract Modification is executed, the Contractor may be paid for its actual Development Costs. The Contractor's share of the Net Savings shall not be disbursed until the Work is complete and the actual Net Savings is known.

The Contract Modification shall also set forth any adjustments to Contract Time related to the Work as revised by the VECP, if any.

109.6.5 Subsequent Payment Adjustments Upon Completion of the portion of the Work revised by the VECP, the Department, on its own initiative or upon request by the Contractor, may review the actual net savings realized by the VECP. The Contractor will be afforded an opportunity to review and comment on such a review. If the actual net savings was greater than set forth in the Contract Modification, the increased savings will be shared equally by the parties. If the net savings was less than set forth in the Contract Modification, the reduction in savings will be borne equally by the parties.

109.6.6 General Conditions Regarding VECPs

- A. VECPs will remain the property of the Contractor, provided that the Department will have the unrestricted right to use any approved VECP, or any VECP in which the Department has reimbursed the Contractor for any portion of the development costs, on other Department Projects without notice, cost, or liability to the Contractor.

- B. Only the Contractor may submit VECPs. The Contractor shall review, be responsible for, and submit all proposals initiated by the Contractor's Subcontractors.
- C. The Contractor shall not anticipate Departmental approval of a VECP when Bidding or otherwise before approval of a Detailed VECP. The Contractor is responsible for all Delays caused by the VECP that were not negotiated in the Contract Modification.
- D. If a VECP is rejected, the Contractor shall perform the Work in accordance with the Contract.
- E. Except as otherwise provided in this Section 109.6, the Contractor shall have no claim against the Department for additional compensation or time resulting from the Delayed review or rejection of a VECP, including, but not limited to, development costs, loss of anticipated profits, and increased Material or labor costs.
- F. Cost sharing applies only to the Contract for which the VECP was submitted.
- G. Because the Department has no obligation to change the terms of the original Contract, all VECP decisions by the Department are final and are not subject to the Dispute resolution provisions provided in this Contract or otherwise available at law.

109.7 Equitable Adjustments to Compensation and Time

109.7.1 General Equitable Adjustment means an adjustment to compensation due to a change in the nature or scope of Work as defined in this Section 109.

This Section 109.7 applies to all changes to the nature or scope of the Work excepting (A) changes in quantities, which are governed by Section 109.1, (B) elimination of items of Work which is governed by Section 109.2, and (C) payment for Value Engineering Change Proposals, which is governed by Section 109.6.

109.7.2 Basis of Payment Adjustments will be established by mutual Agreement based upon Unit or Lump Sum Prices that include labor, materials, equipment, mark-up, overhead, profit, and time. These agreed upon Unit or Lump Sum prices will be full compensation and no additional overhead, profit, mark-ups, or fees are allowed. If Agreement on Equitable Adjustments cannot be reached, the Contractor shall accept payment on a Force Account basis as provided in Section 109.7.5 - Force Account Work, as full and complete compensation for all Work relating to the Equitable Adjustment.

109.7.3 Reserved

109.7.4 Non-Compensable Items The Contractor is not entitled to compensation or reimbursement for any of the following items:

- A. Lost profits or lost opportunity costs,

- B. Labor inefficiencies,
- C. Consequential damages, including but not limited to loss of bonding capacity, loss of Bidding opportunities, and insolvency,
- D. Indirect costs or expenses of any nature,
- E. Dispute resolution costs of any nature, including attorney's fees, claims consultant fees, expert witness fees, claims preparation expenses, and costs related to dispute proceedings, mediation, arbitration, or litigation, and
- F. Interest.

109.7.5 Force Account Work Compensation for Force Account Work will be computed according to this Section.

A. Labor The Contractor will receive the actual hourly wages paid to workers actually engaged in the changed Work and the foreperson in direct charge of the changed Work as determined from certified payrolls, plus 90 percent of the sum thereof for all fringe benefits, payroll taxes, overhead, and profit.

B. Materials For Materials incorporated in the permanent Work, the Contractor will receive the Actual Cost of Materials, including freight and Delivery charges (but excluding any sale or use tax) plus a single 15 percent markup. For all Materials not incorporated in the permanent Work, the Contractor will receive the difference of actual value of such Material at the time of its use less the fair salvage value of Material when released, plus 15 percent of said difference. There shall be no markup on markups.

C. Equipment For all authorized usage of power-operated machinery, trucks, or other Equipment, the Contractor will receive the rental rates for the actual time to the nearest ¼ hour that such Equipment is in operation on the Work. Time spent moving Equipment within the Project Limits and any approved idle time may be measured for payment when authorized. Time spent servicing, maintaining, and changing attachments will not be paid for. The rental rates shall include the cost of all fuel oil, lubrication, supplies, necessary attachments, repairs and maintenance of any kind, depreciation, storage, insurance, small tools, and all other Incidentals.

The maximum Hourly Equipment rental rates (R) will be determined using the most current Blue Book rates and the following formula:

$$R = A \times B \times E + C + D$$

Where:

- A = Blue Book monthly rate divided by 176
- B = Blue Book regional adjustment factor for Maine
- C = Blue Book estimated operating costs per hour
- D = Operator's hourly payroll rate plus 90 percent
- E = Factor from the Rate Adjustment Table for the year the machine was made

When the Contractor's Equipment is ordered to be available for Force Account Work, but is idle for reasons not the fault of the Contractor, standby time will be paid at 70% of the hourly Equipment rental rate excluding all operating costs.

For each piece of Equipment, the Contractor shall provide the following information: the manufacturer's name, Equipment type, year of manufacture, model number, type of fuel used, horsepower rating, attachments required, together with its size or capacity and any further information necessary to ascertain the proper rate. The Contractor shall also provide a photocopy of the appropriate pages from the Blue Book that were used to arrive at the rates and prepare a chart that fully shows all the details of the Equipment costs.

Unless otherwise specified, manufacturer's ratings and manufacturer-approved modifications will be used to classify Equipment for the determination of applicable rental rates. A unit of at least the minimum rating recommended by the manufacturer shall power equipment that has no direct power unit.

If the Department specifies Equipment not listed in the above publication, the Department will establish a reasonable rate for such Equipment. If requested by the Department, the Contractor will produce cost data to assist the Department in the establishment of such rental rate, including all records that are relevant to the Actual Costs including rental Receipts, acquisition costs, financing documents, lease Agreements, and maintenance and operational cost records.

Equipment leased by the Contractor for Force Account Work and actually used on the Project will be paid for at the actual invoice amount plus 10% markup for administrative costs.

D. Superintendence No part of the salary or expense of anyone connected with the Contractor above the grade of foreman or having general supervision of the Work will be included in the labor items as specified above, except when the Contractor's entire on-site Workforce is occupied with Force Account Work, in which case, the salaries of the Superintendent may be included in the labor item specified above when the nature of the Work is such that their services are required, as determined by the Department.

E. Documentation Requirements All Statements shall be accompanied and supported by Receipted Invoices for all Materials used and transportation charges. If Materials used on the Force Account Work are not specifically purchased for such Work but are taken from the Contractor's stock, then instead of Invoices, the Statements shall contain or be accompanied by an affidavit of the Contractor certifying that such Materials were taken from stock, that the quantity claimed was actually used, and that the price and transportation claimed represent the Actual Cost to the Contractor, excluding storage costs.

No payment will be made for Work performed on a Force Account basis until the Contractor has furnished duplicate itemized Statements of the cost of such Force Account Work detailed to the following:

- 1) Name, classification, date, daily hours, total hours, rate, and amount for each foreman and laborer.
- 2) Designation, dates, daily hours, total hours, rental rate, and amount for each unit of Equipment.
- 3) Quantities of Materials, prices, and amounts.
- 4) Transportation charges on Materials.

F. Subcontractor Quoted Work When accomplishing Force Account Work that utilizes Subcontractors, the Contractor will be allowed a maximum markup of 5% for profit and overhead on the Subcontractor's portion of the Force Account Work. If the Department does not accept the Subcontractor quote, then the Subcontractor work will be subject to the Force Account provisions with a 5% markup for profit & overhead.

109.8 Contract Modification Excepting changes to quantities as provided in Section 109.1.1 - Changes Permitted, all changes to the Contract that affect compensation, time, or quality must be made by written Contract Modification. The Contract Modification will describe the underlying issue that resulted in the Contract Modification and will specify adjustments to compensation, time, or other Work requirements, as applicable. If adjustments to compensation or time are not shown on the face of the Contract Modification, then there are no such adjustments.

All Contract Modifications must be signed by the Project Manager or Commissioner. By signing a Contract Modification, the Contractor agrees to all the terms thereof and waives any and all claims for additional compensation, time, or other Work requirement adjustments relating to the issue that is the subject of the Contract Modification. All Contract Modifications are to be noted in Progress Meeting minutes.

SECTION 110 - INDEMNIFICATION, BONDING, AND INSURANCE

Scope of Section This Section contains general requirements for indemnification, bonding, and insurance by the Contractor.

110.1 Indemnification The Contractor agrees to indemnify, defend, and hold harmless the Department and Woodland Pulp LLC and its officers, directors, employees, agents, and consultants from and against all claims, actions, torts, costs, losses, and damages for bodily injury (including sickness, disease, or death) and property damage arising out of or relating to this Contract or the performance of Work by the Contractor, its Subcontractors, subconsultants, engineers, suppliers, any individuals or entities directly or indirectly employed by any of them, or anyone for whose acts any of them may be liable, excepting only claims directly and solely caused by the negligence of the Department. Damages covered include, but are not limited to, all Dispute resolution costs, including court costs, attorney's fees, and the fees of engineers and consultants, arbitrators, and other professionals related to Dispute defense and preparation.

This indemnification obligation shall not be limited in any way by any limitation on the amount or type of damages, compensation, or benefits payable by or for the Contractor or any Subcontractor, subconsultant, engineer, supplier, or other individual or entity under Workers' Compensation acts, disability benefit acts, or other employee benefit acts.

The Passamaquoddy Tribe is a source of funding for services in this contract. As such, the Contractor shall further indemnify, defend, and hold harmless the Passamaquoddy Tribe and its officials, employees, and agents ("Indemnified Party") against all claims, demands, causes of action, suits, damages, liabilities, judgments, losses, and expenses whatsoever by any third-party that are caused by or arise out of the actions or omissions of the Contractor or its owners, members, principals, employees, agents, or associates related to the performance of the work under this agreement. Woodland Pulp LLC is the owner of the property, and contractors must follow the Provisions of Exhibit G.

110.2 Bonding

110.2.1 Bonds The Contractor shall provide signed, valid, and enforceable Performance and Payment Bonds complying with the Contract. The Department may also require Warranty and Maintenance Bonds for specific items by Bid Amendment or through an executed change to the Contract. For a related provision, see Section 103.5 - Award Conditions.

The Contractor shall procure bonds from a company organized and operating in the United States, licensed or approved to do business in the State of Maine by the State of Maine Department of Professional and Financial Regulation, Bureau of Insurance, and listed on the latest Federal Department of the Treasury listing for "Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies."

The bonds shall each be in the full Contract amount, payable to the "Treasurer - State of Maine," and on the Department's forms, on exact copies thereof, or on forms that do not contain any significant variations from the Department's forms, in this case provided by MDOT, as solely determined by the Department.

By issuing a bond, the Surety agrees to be bound by all terms of the Contract, including those related to payment, time of performance, quality, warranties, and the Department's self-help remedy provided in Section 112.1 - Default to the same extent as if all terms of the Contract are contained in the bond(s).

Regarding claims related to any obligations covered by these bonds, the Surety shall provide, within 60 Days of Receipt of written notice thereof, full payment of the entire claim or written notice of all bases upon which it is denying or contesting payment. Failure of the Surety to provide such notice within the 60-Day period constitutes the Surety's waiver of any right to deny or contest payment and the Surety's acknowledgment that the claim is valid and undisputed.

If the Surety becomes financially insolvent, ceases to be licensed or approved to do business in the State of Maine, or stops operating in the United States, the Contractor shall file new bonds complying with this Section within 10 Days of the date the Contractor is notified or becomes aware of such change.

For a related provision, see Section 106.9.4 - Other Warranty Provisions.

All Bonds shall be procured from a company organized and operating in the United States, licensed or approved to do business in the State of Maine by the State of Maine Department of Business Regulation, Bureau of Insurance, and listed on the latest Federal Department of the Treasury listing for “Companies Holding Certificates of Authority as Acceptable Sureties on Federal Bonds and as Acceptable Reinsuring Companies.”

By issuing a bond, the Surety agrees to be bound by all terms of the Contract, including those related to payment, time for performance, quality, warranties, and the Department’s self-help remedy provided in Section 112.1 - Default to the same extent as if all terms of the Contract are contained in the bond(s).

Regarding claims related to any obligations covered by the bond, the Surety shall provide, within 60 Days of Receipt of written notice thereof, full payment of the entire claim or written notice of all bases upon which it is denying or contesting payment. Failure of the Surety to provide such notice within the 60-Day period constitutes the Surety’s waiver of any right to deny or contest payment and the Surety’s acknowledgment that the claim is valid and undisputed.

110.3 Insurance The Contractor shall provide signed, valid, and enforceable certificate(s) of insurance complying with this Section. All insurance must be procured from insurance companies licensed or approved to do business in the State of Maine by the State of Maine, Department of Business Regulation, Bureau of Insurance. The Contractor shall pay all premiums and take all other actions necessary to keep required insurances in effect for the duration of the Contract obligations, excluding warranty obligations.

110.3.1 Workers' Compensation For all operations performed by the Contractor and any Subcontractor, the Contractor and each Subcontractor shall carry Workers’ Compensation Insurance or shall qualify as a self-insurer with the State of Maine Workers’ Compensation Board in accordance with the requirements of the laws of the State of Maine. If maritime exposures exist, coverage shall include United States Long Shore and Harbor Workers coverage.

110.3.2 Commercial General Liability With respect to all operations performed by the Contractor and any Subcontractors, the Contractor and any Subcontractors shall carry commercial general liability insurance in an amount not less than \$1,000,000.00 per occurrence and \$2,000,000.00 in the aggregate. The coverage must include products, completed operations, and Contractual liability coverages, and Insurance Services Office (ISO) form #CG25031185 or equivalent. The Contractual liability insurance shall cover the

Contractor's obligations to indemnify the Department as provided in this Contract, including Section 110.1 - Indemnification. The coverage shall also include protection against damage claims due to use of explosives, collapse, and underground coverage if the Work involves such exposures.

When the work to be performed entails the use of barges, tug boats, work boats, supply boats, or other watercraft, Protection and Indemnity coverage for such work shall be provided at the limits called for under Commercial General Liability insurance.

110.3.3 Automobile Liability The Contractor shall carry Automobile Liability Insurance covering the operation of all motor vehicles, including any that are rented, leased, borrowed, or otherwise used in connection with the Project. The minimum limit of liability under this Section shall be \$1,000,000.00 per occurrence.

110.3.4 Professional Liability Contractors and Subcontractor(s) who engage in design Work, preliminary engineering Work, and environmental consulting Work for the Department shall maintain a Professional Liability policy for errors and omissions that provides a minimum liability of \$1,000,000 per claim and annual aggregate. "Design Work" includes the design of temporary Structures and all other Work that requires design computations. This policy shall cover "Wrongful Acts," meaning negligent acts, errors, or omissions by the Contractor, or any entity for whom the Contractor is legally liable, arising out of the performance of, or failure to perform, professional services. The Department reserves the right to adjust liability coverage on a project-by project basis as it deems appropriate.

110.3.5 Owners and Contractors Protective Liability The Contractor shall carry an Owners and Contractors Protective (OCP) Policy covering all operations performed by the Contractor and any Subcontractor in an amount not less than \$1,000,000.00 per occurrence and \$2,000,000.00 in the aggregate, naming the Department, Passamaquoddy Tribe, and Woodland Pulp LLC as the insured parties under the policy.

110.3.6 Builders Risk The Department does not require the Contractor to carry Builders Risk Insurance. However, the Contractor is advised of its risks for damage to the Work as provided in Section 104.3.10 - Responsibility for Damage to the Work. The Contractor is responsible for managing and insuring these risks as it deems appropriate.

110.3.7 Pollution Liability If required by the Department, the Contractor shall carry Pollution Liability insurance to cover the risk of sudden or accidental discharge of pollutants during the prosecution of the Work. The limits of liability for this coverage shall be in the amount of \$1,000,000.00 per occurrence and \$2,000,000.00 in the aggregate. Regardless of whether such insurance is carried by the Contractor, the Contractor is responsible for managing these risks as it deems appropriate.

110.3.9 Administrative & General Provisions

A. Additional Insured Each insurance policy, with the exception of Workers' Compensation and Professional Liability insurance, shall list the Department as an additional insured. The Contractor shall coordinate with the Department and the Property Owner to determine which policy(ies) must also name the Passamaquoddy Tribe and/or the Property Owner as additional insured.

B. Defense of Claims Each insurance policy shall include a provision requiring the carrier to investigate, defend, indemnify, and hold harmless all named insureds against any and all claims for death, bodily injury, or property damage, even if groundless. The Contractor's insurer shall name the Department as a released party ("Releasee") on any release or settlement agreement for settled claims.

C. Primary Insurance The insurance coverage provided by the Contractor shall be primary insurance with respect to the State, its officers, agents, and employees. Any insurance or self-insurance maintained by the State for its officers, agents, and employees is in excess of the Agent's insurance and shall not contribute with it.

D. Reporting Any failure to comply with reporting provisions of the policies shall not affect coverage provided to the State, its officers, agents, and employees.

E. Separate Application The insurance provided by the Contractor shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.

Nothing in this document constitutes a waiver of any defense, immunity or limitation of liability that may be available to the Department or its officers, agents, or employees under the Maine Tort Claims Act (14 M.R.S.A. § 8101, et seq.), and shall not constitute a waiver of other privileges or immunities that may be available to the Department.

SECTION 111 - RESOLUTION OF DISPUTES

Scope of Section This Section contains provisions for resolving Disputes early, efficiently, fairly, and as close to the Project level as possible. For related provision, see Section 104.4 - Communication and Coordination.

111.1 General

111.1.1 Definitions "Dispute" is defined in Section 101.2 - Definitions. "Issue" is defined in Section 104.4.5 – Early Negotiation. Additionally, an "Issue" as used in Sections 111.1 through 111.3 below, is a matter that may give rise to a Dispute.

111.1.2 Escalation Process To resolve Issues or Disputes, the Contractor and the Department may mutually agree in writing at any time to any form of Dispute resolution, including mediation, facilitated negotiation, neutral case evaluation, arbitration, or litigation.

In the absence of such written Agreement, the parties must pursue resolution of Issues or Disputes that arise after Contract Execution as follows: (A) first through negotiation at the Project level as provided in Sections 104.4.5 - Early Negotiation and 111.2 - Project Level Negotiation, (B) next through negotiation by management as provided in Section 111.3 - Negotiation by Management, and (C) next through the Commissioner as set forth in Section 111.5 - Appeal to Commissioner. If the Dispute remains unresolved after final agency action by the Commissioner, then, and only then, may a party seek judicial review of a Dispute as provided in Section 111.6 - Judicial Review.

111.1.3 Relationship to Partnering Partnering, including the establishment of a partnership charter, does not in any way waive, alter, or otherwise affect any provision of the Contract, including those requiring notice and all other provisions governing the resolution of Issues or Disputes. For a related provision, see Section 104.4.1 - Partnering.

111.1.4 Mandatory Notice The Contractor shall comply with all notice provisions of this Contract relating to Issues or Disputes, including those contained in Sections 104.3.3 - Duty to Notify If Ambiguities Discovered; 104.4.5(A) - Early Negotiation, Notice Required; 109.4.3 - Differing Site Conditions, Notice and Procedural Requirements; 109.5.4 - Adjustments for Delay, Notice and Procedural Requirements; and 111 - Resolution of Disputes. In order to promote the purposes of this Section 111, all notice provisions are mandatory and are to be strictly construed. Failure to provide conforming notice constitutes waiver by the Contractor of any and all claims to additional compensation, time, or modification of Contract requirements related to the Issue or Dispute.

111.1.5 Work to Proceed Despite Issue or Dispute Regardless of the status or disposition of any Issue or Dispute, the Contractor and the Department must perform their Contractual responsibilities Promptly and diligently. Unless expressly directed otherwise by the Department, the Contractor shall proceed without Delay to perform the Work or to conform to the decision or order of the Department.

111.1.6 Contractor's Obligation to Keep Records Throughout the course of any Issue or Dispute, the Contractor shall keep daily records, including supporting documentation, of extra costs and time related to the Issue or Dispute. Such records shall include all non-salaried labor, Material costs, Equipment expenses, and location for all operations that are affected by the Issue or Dispute. The Contractor will not be entitled to any change to compensation, time, or Work requirements without such records. The Contractor shall permit the Department daily access to and shall provide copies of these and any other records needed for evaluating the Dispute. The Contractor shall retain those records for the duration of the Dispute and as provided in Section 104.3.6 - Project Records.

111.1.7 Dispute Resolution Time Extensions All deadlines provided in this Section 111 may be extended only by mutual written consent signed by both parties.

111.1.8 Commissioner Communications Before Appeal Because the Commissioner may hear an Appeal and render final agency action under Section 111.5 - Appeal to Commissioner, the following persons shall not communicate with the Commissioner regarding the substance of a Dispute, except upon notice and opportunity for all parties to participate: (A) the Contractor or any agent for the Contractor and (B) Department staff, counsel, or consultants who are directly participating in Dispute resolution processes in an advocate capacity. The preceding sentence does not prohibit the Commissioner from communicating with, or having the aid or advice of all other Department staff, counsel, or consultants. This Section does not apply where the Commissioner has delegated hearing the Appeal to other Department personnel, in which case, this Section shall apply instead to the Commissioner's delegate.

111.1.9 Contract Modification Required All changes to the Contract that regard Issues or Disputes and that affect compensation, time, quality, or other Contract requirements must be made by written Contract Modification as provided by Section 109.8 - Contract Modification.

111.2 Project Level Negotiation

111.2.1 Early Negotiation The parties must first comply with all requirements of Section 104.4.5 - Early Negotiation.

111.2.2 Detailed Notice of Dispute If Early Negotiation fails to resolve the Issue within 45 Days of the date of Receipt of the written Notice of Issue for Consideration Conforming to Section 104.4.5(A) - Early Negotiation, and if the Contractor desires additional consideration by the Department, then the Contractor must Deliver a written Detailed Notice of Dispute to the Program Manager within 14 Days of the expiration of said 45-Day period. At a minimum, the Detailed Notice of Dispute shall include all of the following information in sufficient detail to allow reasoned analysis as determined by the Program Manager:

- A. A description of the background of Dispute, including the date(s) the Issue or Dispute first arose and the date the Contractor provided the Project Manager with the "Notice of Issue for Consideration" Conforming to Section 104.4.5(A) - Early Negotiation;
- B. All Contract provisions that are relevant to the Dispute;
- C. All facts relevant to the Dispute, including all non-Contract Documents and all non-documentary facts, including identification of all persons with knowledge of relevant facts and a synopsis of their testimony;

D. The Contractor's position as to why the Contract and facts demonstrate that the Contractor is entitled to additional compensation and/or time;

E. The estimated dollar cost, if any, of the Disputed Work and how the estimate was determined;

F. If the Contractor is asserting an Excusable or Compensable Delay occurred, an analysis of the progress schedule showing the impact on the Critical Path; and

G. A specific request for additional compensation or time, or other change to provisions of the Contract.

111.2.3 Decision by Project Manager Within 30 Days of receiving a Detailed Notice of Dispute Conforming to Section 111.2.2 - Detailed Notice of Dispute, the Project Manager will Deliver a written decision to the Contractor on the specific request made.

111.3 Negotiation by Management

111.3.1 Notice of Unresolved Dispute If the Contractor desires additional consideration, the Contractor shall Deliver a written "Notice of Unresolved Dispute" to the Department's appropriate Bureau Director (hereafter "Director" in this Section 111 - Resolution of Disputes within 14 Days of receiving the Project Manager's decision provided for in Section 111.2.3 - Decision by Program Manager.

At a minimum, the Notice of Unresolved Dispute must include the following information in sufficient detail to allow reasoned analysis as determined by the Director or the director's designee(s): (A) all documentation submitted to the Project Manager or the Engineer for Project-level negotiation, (B) all decisions rendered by the equivalent Bureau level manager, and (C) all additional information the Contractor desires the Department to consider.

111.3.2 Additional Documentation Within 14 Days of receiving a Notice of Unresolved Dispute Conforming to Section 111.3.1, the Director or the Director's designee(s) may require the Contractor to provide Additional Documentation. If required, the Contractor shall completely and accurately supply all requested information in writing within 21 Days of receiving said request. Failure to provide all Additional Documentation constitutes a waiver of all claims for additional compensation or time.

Additional Documentation may include the following:

- A. The date(s) on which facts arose which gave rise to the Issue or Dispute.
- B. The dates the Department received the "Notice of Issue for Consideration" Conforming to Section 104.4.5(A) - Early Negotiations - Notice Required and the "Detailed Notice of Dispute" Conforming to Section 111.2.2.

- C. A list of all Contract provisions that is relevant to the Dispute and a Statement of which specific Contract provisions the Contractor believes controls or is relevant to the outcome of the Dispute.
- D. A narrative setting forth the Contractor's position regarding additional compensation and time, if any, including all supporting facts, including dates, locations, and items of Work affected by the Dispute, and how the Contract provisions set forth in subparagraph C support the Contractor's position.
- E. A list of and copies of all documents that are relevant to the Dispute organized chronologically. With respect to each document, the list must include its date, the author(s) (including address and telephone numbers), and the recipient(s).
- F. A list of all persons who are involved in or knowledgeable of the Dispute, including addresses and telephone numbers of such persons. If such person has knowledge of oral statements upon which the Contractor is relying, the list must also include the substance of the oral statements, the date(s) they were made, and all people present at the time the statement was made.
- G. If an extension of time is sought:
 - 1. The specific Days or dates for which it is sought, including an explanation of impact on the Critical Path;
 - 2. The specific reasons the Contractor believes a time extension should be granted; and
 - 3. The specific provisions of the Contract under which it is sought.
- H. If additional compensation is sought, the exact amount sought and a breakdown of that amount into the categories provided by Section 109.7- Equitable Adjustments to Compensation and Time.
- I. An oath consisting of the following language:

“ON OATH, and under the penalty of law for perjury or falsification, the undersigned, (Name of person signing oath and title) hereby certifies that the amounts claimed by the Contractor for additional compensation and time (as applicable) set forth in the Notice of Unresolved Dispute and this additional documentation are a true and complete Statement of the Actual Costs incurred and time sought, and are fully documented and supported in accordance with the Contract.”
- J. Date of signature, sworn signature, and acknowledgment by notary.

The Director or the Director's designee may also retrieve and review the Bid Escrow Documentation, if any, if the Contract required submission of Bid Escrow.

111.3.3 Decision by Director Within 21 Days of receiving a Notice of Unresolved Dispute Conforming to Section 111.3.1 - Notice of Unresolved Dispute or, if requested, all Additional Documentation, whichever is later, the Director or the Director's designee(s) will Deliver a written decision. The decision will affirm, reverse, revise, or amend the decision of the Program Manager.

111.5 Appeal to Commissioner

111.5.1 Filing of Appeal If the Contractor elects, the Contractor may file an "Appeal of the Director's Decision." Such Appeal must be filed within 14 Days of the Contractor's Receipt of the Director's Decision. At a minimum, the Appeal must contain:

- A. All Materials submitted to the Director and all decisions by the Director;
- B. The specific findings of the Director that the appealing party claims are contrary to law and/or fact;
- C. Any other pertinent new documentary evidence;
- D. Any written arguments the appealing party wishes the Commissioner to consider; and
- E. The specific relief sought.

Unless directed otherwise by the Commissioner, review of the Appeal will be limited to the documentation submitted.

111.5.2 Director's Response The Director may submit a written response within 14 Days of receiving notice that an Appeal was filed with the Commissioner.

111.5.3 Time and Alternatives for Commissioner Action Within 30 Days of receiving an Appeal Conforming to Section 111.5.1 or, if applicable, the Director's response, allowed by Section 111.5.2, the Commissioner will:

- A. Affirm the decision of the Director, or
- B. Revise, amend, or reverse the decision of the Director.

111.5.4 Final Agency Action Any affirmation, revision, amendment, or reversal by the Commissioner is final agency action as of the date of Receipt of such action by the Contractor. If the Commissioner takes no action within such 30-Day period, the decision of the Director shall be final agency action upon the expiration of said 30-Day period.

111.6 Judicial Review All Bidders and Contractors hereby agree and acknowledge that with respect to any and all Disputes and/or Issues arising from the Bid and/or the Contract, they must and will comply with all of the Notice and Dispute Resolution provisions of this

Contract. For related provisions see Sections 111.1.2 – Escalation Process and 111.1.4 – Mandatory Notice. All Bidders and Contractors hereby agree and acknowledge that they must comply with, and exhaust, the Notice and Dispute Resolutions provisions of this Contract to the point of Final Agency Action prior to seeking judicial review. See Section 111.5.4 - Final Agency Action.

All Bidders and Contractors hereby agree and acknowledge that the sole and exclusive means of judicial review of final agency actions under the Contract is through a petition for review pursuant to Maine Rule of Civil Procedure 80C and 5 MRSA § 11001, et seq., of the Maine Administrative Procedure Act, to be filed in Maine Superior Court, Kennebec County.

SECTION 112 - DEFAULT AND TERMINATION

Scope of Section This Section contains general provisions related to Default and termination of the Contract.

112.1 Default

112.1.1 Grounds for Default The Contractor and the Surety are in Default of the Contract if the Contractor or the Surety violate any provision of Section 103.3.2 or the following:

- A. Fails to Promptly begin the Work under the Contract after being authorized to proceed,
- B. Fails to perform the Work with sufficient labor, Equipment, or Materials to assure the timely Completion of the Work,
- C. Performs Defective Work, neglects or refuses to uncover, remove or rebuild Unacceptable Work, or neglects or refuses to uncover Unauthorized or Uninspected Work when directed by the Department,
- D. Discontinues the prosecution of the Work without Departmental approval,
- E. Continues to perform Work after the Department directs that Work be stopped,
- F. Fails to resume Work that has been suspended as required by the Contract,
- G. Becomes insolvent or is declared bankrupt or commits any act of bankruptcy or insolvency that could affect the Work in any way,
- H. Allows any final judgment to stand against the Contractor unsatisfied for a period of ten Days,
- I. Makes an assignment for the benefit of creditors without authorization by the Department, or
- J. In any other manner, fails to perform the Work in Substantial Conformity with any material provision of the Contract.

112.1.2 Notice of Default / Cure Except as otherwise provided in this Contract, if Default occurs, the Department may give written Notice of Default to the Contractor and

its Surety. Failure to give Notice of Default is in no way a waiver by the Department of any provision of the Contract.

If the Contractor or Surety fails to completely cure such Default within a period of 14 Days after Notice of Default, then the Department may (A) terminate the Contract for cause in accordance with Section 112.2.1 - For Cause, or (B) take prosecution of the Work away from the Contractor without violating the Contract.

112.2 Termination The Department may, by written order to the Contractor, terminate the Contract as provided in this Section 112. Termination of the Contract or portion thereof shall not relieve the Contractor of its Contractual responsibilities for the Work completed (including warranty obligations), nor shall it relieve the Surety of its obligation for claims arising from the Work or the Contract.

112.2.1 For Cause If the Contractor fails to completely cure all Defects identified in the Notice(s) of Default provided for in Section 112.1.2 within the 14-Day cure period provided, the Department may immediately terminate the Contract for cause by written Notice of Termination For Cause. In this event, the Department may use any or all Materials and Equipment for the Work and may enter into an Agreement with another entity for the Completion of the Work, or use such other methods as in the opinion of the Department are required for the Completion of the intent of the Contract in an acceptable and timely manner.

The Department will pay for all Accepted items of Work as of the date of Termination at agreed upon prices. Items eliminated in their entirety by Termination will be paid for as provided in Section 109.2 - Elimination of Items, except that there will be no reductions in the amount of the credit to the Department. The Contractor shall make all Work records available to the Department upon request regarding payment under this Section. All costs and charges incurred by the Department, together with the cost of completing the Work specified in the Contract, will be deducted from amounts otherwise due the Contractor. If such expenses exceed the sum that would have been payable under the Contract, then the Contractor and the Surety are liable and shall pay to the Department the amount of such excess within 30 Days of the Delivery of a Statement setting forth such expenses to the Contractor and the Surety, as applicable.

If the Contractor files for bankruptcy at any time before expiration of the warranty periods provided by this Contract, then the Contractor and its Surety agree, if requested by the Department and within 30 Days of such request, to take all actions necessary or convenient to reject or accept this Contract under the executory Contract provisions of the federal bankruptcy code.

112.2.2 For Convenience The Department may terminate this Contract for convenience or for any reason that is in the best interest of the Department. Terminations caused without fault of or for reasons beyond the control of the Contractor are Terminations for Convenience. The Department will notify the Contractor of such terminations by sending a Notice of Termination for Convenience.

In case of a Termination for Convenience, the Department will pay for all Accepted items of Work as of the date of termination at agreed upon prices. Items eliminated in their entirety by Termination will be paid for as provided in Section 109.2 - Elimination of Items. The Contractor shall make all Work records available to the Department upon request regarding payment under this Section. Acceptable Materials, obtained by the Contractor for the Work but which have not been incorporated therein, may at the option of the Department be purchased from the Contractor at Actual Costs delivered to a prescribed location or otherwise disposed of as mutually agreed.

After Receipt of Notice of Termination for Convenience from the Department, the Contractor may also submit a claim for additional damages or costs not covered above or elsewhere in this Contract to the Project Manager within 60 Days of the effective Termination date. Such claim may include such cost items as idle Equipment time, Bidding and Project investigative costs, overhead expenses attributable to the Project terminated, legal and accounting charges involved in claim preparation, Subcontractor costs not otherwise paid for, idle labor cost if Work is stopped in advance of termination date, guaranteed payments for private land usage as part of the original Contract, and any other cost or damage item for which the Contractor reasonably believes reimbursement should be made. In no event, however, will loss of anticipated profits be considered as part of any settlement.

The Contractor agrees to make the Bid Escrow Documentation, if any, and its cost records available to the extent necessary to determine the validity and amount of each item claimed.

The Department will respond in writing to such claim within 60 Days of Receipt. If the Contractor wants additional consideration, the Contractor must Deliver a written "Notice of Unresolved Dispute" to the Director as provided in Section 111.3.1 - Notice of Unresolved Dispute and comply with all other applicable Dispute resolution provisions of Section 111 - Resolution of Disputes.

APPENDIX A TO DIVISION 100

SECTION 1 - BIDDING PROVISIONS

A. Federally Required Certifications By signing and delivering a Bid, the Bidder certifies as provided in all certifications set forth in this Appendix A - Federal Contract Provisions Supplement, including:

- Certification Regarding No Kickbacks to Procure Contract as provided on this page 1 below.
- Certification Regarding Non-collusion as provided on page 1 below.
- "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion" as provided by FHWA Form 1273, section XI set forth on page 32 below.
- "Certification Regarding Use of Contract Funds for Lobbying" as provided by FHWA Form 1273, section XII set forth on page 35 below.

Unless otherwise provided below, the term "Bidder," for the purposes of these certifications, includes the Bidder, its principals, and the person(s) signing the Bid. Upon execution of the Contract, the Bidder (then called the Contractor) will again make all the certifications indicated in this paragraph above.

CERTIFICATION REGARDING NO KICKBACKS TO PROCURE CONTRACT Except expressly stated by the Bidder on sheets submitted with the Bid (if any), the Bidder hereby certifies, to the best of its knowledge and belief, that it has not:

(A) employed or retained for a commission, percentage, brokerage, contingent fee, or other consideration, any firm or person (other than a bona fide employee working solely for me) to solicit or secure this contract;

(B) agreed, as an express or implied condition for obtaining this contract, to employ or retain the services of any firm or person in connection with carrying out the contract, or;

C) paid, or agreed to pay, to any firm, organization, or person (other than a bona fide employee working solely for me) any fee, contribution, donation, or consideration of any kind for, or in connection with, procuring or carrying out the contract;

By signing and submitting a Bid, the Bidder acknowledges that this certification may be furnished to the Maine Department of Marine Resources in connection with this contract in anticipation of federal funds and is subject to applicable state and federal laws, both criminal and civil.

CERTIFICATION REGARDING NONCOLLUSION Under penalty of perjury as provided by federal law (28 U.S.C. §1746), the Bidder hereby certifies, to the best of its knowledge and belief, that:

the Bidder has not, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of competitive bidding in connection with the Contract.

For related provisions, see Section 102.7.2 (C) of the Standard Specifications - "Effects of Signing and Delivery of Bids" - "Certifications", Section 3 of this Appendix A entitled "Other Federal Requirements" including section XI - "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion" and section XII. - "Certification Regarding Use of Contract Funds for Lobbying."

B. Bid Rigging Hotline To report bid rigging activities call: **1-800-424-9071**

The U.S. Department of Transportation (DOT) operates the above toll-free "hotline" Monday through Friday, 8:00 a.m. to 5:00 p.m., eastern time. Anyone with knowledge of possible bid rigging, bidder collusion, or other fraudulent activities should use the "hotline" to report such activities.

The "hotline" is part of the DOT's continuing effort to identify and investigate highway construction contract fraud and abuse and is operated under the direction of the DOT Inspector General. All information will be treated confidentially, and caller anonymity will be respected.

SECTION 2 - FEDERAL EEO AND CIVIL RIGHTS REQUIREMENTS

Unless expressly otherwise provided in the Bid Documents, the provisions contained in this Section 2 of this "Federal Contract Provisions Supplement" are hereby incorporated into the Bid Documents and Contract.

A. Nondiscrimination & Civil Rights - Title VI The Contractor and its subcontractors shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. The Contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT assisted contracts. Failure by the Contractor 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 Department deems appropriate. The Contractor and subcontractors shall comply with Title VI of the Civil Rights Act of 1964, as amended, and with all State of Maine and other Federal Civil Rights laws.

For related provisions, see Subsection B - "Nondiscrimination and Affirmative Action - Executive Order 11246" of this Section 2 and Section 3 - Other Federal Requirements of this "Federal Contract Provisions Supplement" including section II - "Nondiscrimination" of the "Required Contract Provisions, Federal Aid Construction Contracts", FHWA-1273.

B. Nondiscrimination and Affirmative Action - Executive Order 11246 Pursuant to Executive Order 11246, which was issued by President Johnson in 1965 and amended in 1967 and 1978, this Contract provides as follows.

The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon its efforts to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following:

Ensure and maintain a working environment free of harassment, intimidations, and coercion at all sites, and in all facilities at which the Contractor's employees are assigned to work. The Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all forepersons, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.

Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the Contractor or its union have employment opportunities available, and to maintain a record of the organization's responses.

Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore, along with whatever additional actions the Contractor may have taken.

Provide immediate written notification to the Department's designated representative when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Design-Builder's efforts to meet its obligations.

Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the sources compiled under B above.

Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO obligation; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.

Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination, or other employment decisions including specific review of these items with on-site supervisory personnel such as Superintendents, General Forepersons, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.

Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractor's and Subcontractors with whom the Contractor does or anticipates doing business.

Direct its recruitment efforts, both orally and written to minority, female and community organizations, to schools with minority and female students and to minority and female recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations such as the above describing the openings, screenings, procedures, and test to be used in the selection process.

Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth, both on the site and in other areas of a Contractor's workforce.

Validate all tests and other selection requirements.

Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.

Ensure that seniority practices, job classifications, work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.

Ensure that all facilities and company activities are non segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.

Document and maintain a record of all solicitations of offers for subcontracts from minority and female construction Contractor's and suppliers, including circulation of solicitations to minority and female Contractor associations and other business associations.

Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's EEO policies and affirmative action obligations.

C. Goals for Employment of Women and Minorities Per Executive Order 11246, craft tradesperson goals are 6.9% women and .5% minorities employed. However, goals may be adjusted upward at the mutual agreement of the Contractor and the Department. Calculation of these percentages shall not include On-the-Job Training Program trainees, and shall not include clerical or field clerk position employees.

For a more complete presentation of requirements for such Goals, see the federally required document "Goals for Employment of Females and Minorities" set forth in the next 6 pages below.

Start of GOALS FOR EMPLOYMENT OF FEMALES AND MINORITIES
Federally Required Contract Document

§60-4.2 Solicitations

- (d) The following notice shall be included in, and shall be part of, all solicitations for offers and bids on all Federal and federally assisted construction contracts or subcontracts in excess of \$10,000 to be performed in geographical areas designated by the Director pursuant to § 60-4.6 of this part (see 41 CFR § 60-4.2(a)):

Notice of Requirement for Affirmative Action to Ensure Equal Opportunity (Executive Order 11246)

1. The Offeror's or bidder's attention is called to the "Equal Opportunity Clause" and the "Standard Federal Equal Employment Specifications" set forth herein.
2. The goals and timetables for minority and female participation, expressed in percentage terms for the Contractor's aggregate work force in each trade on all construction work in the covered area, are as follows:

| | |
|---|------|
| <u>Goals for female participation in each trade</u> | 6.9% |
|---|------|

Goals for minority participation for each trade

Maine

| | |
|----------------|------|
| 001 Bangor, ME | 0.8% |
|----------------|------|

Non-SMSA Counties (Aroostook, Hancock, Penobscot, Piscataquis, Waldo, Washington)

002 Portland-Lewiston, ME

| | |
|---|------|
| SMSA Counties: 4243 Lewiston-Auburn, ME (Androscoggin) | 0.5% |
|---|------|

| | |
|-------------------|------|
| 6403 Portland, ME | 0.6% |
|-------------------|------|

(Cumberland, Sagadahoc)

| | |
|--------------------|------|
| Non-SMSA Counties: | 0.5% |
|--------------------|------|

(Franklin, Kennebec, Knox, Lincoln, Oxford, Somerset, York)

These goals are applicable to all the Contractor's construction work (whether or not it is Federal or federally assisted) performed in the covered area. If the contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and non-federally involved construction.

The contractor's compliance with the Executive Order and the regulations in 41 CFR Part 60-4 shall be based on its implementation of the Equal Opportunity Clause, specific affirmative action obligations required by the specifications set forth in 41 CFR § 60-4.3(a), and its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of meeting the Contractor's goals shall be in violation of the contract, the Executive Order and the regulations in 41 CFR Part 60-4. Compliance with the goals will be measured against the total work hours performed.

3. The Contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number of the subcontractor, employer identification number of the subcontractor, estimated dollar amount of the subcontract; estimated started and completion dates of the subcontract; and the geographical area in which the subcontract is to be performed.

4. As used in this Notice, and in the Contract resulting from this solicitation, the "covered area" is (insert description of the geographical areas where the contract is to be performed giving the state, county and city, if any).

STANDARD FEDERAL EQUAL EMPLOYMENT OPPORTUNITY CONSTRUCTION CONTRACT SPECIFICATIONS (EXECUTIVE ORDER 11246)

1. As used in these specifications:
 - a. "Covered area" means the geographical area described in the solicitation from which this contract resulted;
 - b. "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor, or any person to whom the Director delegates authority;
 - c. "Employer identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department form 941;
 - d. "Minority" includes:

- (i) Black (all persons having origins in any of the Black African racial groups not of Hispanic origin);
 - (ii) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race);
 - (iii) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands); and
 - (iv) American Indian or Alaskan Native (all persons having origins in any of the original peoples of the North America and maintaining identifiable tribal affiliations through membership and participation or community identification).
2. Whenever the Contractor, or any subcontractor at any tier, subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the Notice which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which this contract resulted.
 3. If the contractor, is participating (pursuant to 41 CFR § 60-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work in the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with its obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors for Subcontractors toward a goal in an approved Plan does not excuse any covered Contractor's or Subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.
 4. The Contractor shall implement the specific affirmative action standards provided in paragraphs 7 a. through p. of these specifications. The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minority and female utilization the Contractor should reasonably be able to achieve in each construction trade in which it has employees in contractors performing construction work in geographical areas where they do not have a Federal or federally assisted construction contract shall apply the minority and female goals established for the geographical areas where the work is being performed. Goals are published periodically in the Federal Register in notice form and such notices may be obtained from any Office of Federal Contract Compliance Programs office or from Federal procurement contracting officers. The Contractor is expected to make substantially uniform progress in meeting its goals in each craft during the period specific.
 5. Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom the Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the Contractor's obligations under these specifications, Executive Order 11246, or the regulations promulgated pursuant, thereto.

6. In order for the non working training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor.
7. The Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as expensive as the following:
 - a. Ensure and maintain a working environment free of harassment, intimidation, coercion at all sites, and in all facilities at which the Contractor's employees are assigned to work. The Contractor, when possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
 - b. Establish and maintain a current list of minority and female recruitment sources provide written notification to minority and female recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organization's responses.
 - c. Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment sources or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefore, along with whatever additional actions the Contractor may have taken.
 - d. Provide immediate written notification to the Director when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
 - e. Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the sources complied under 7b above.

- f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO obligations; by including in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.
- g. Review, at least annually, the Contractor's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination or other employment decisions including specific review of these items with on-site supervisory personnel such as Superintendents, General Foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.
- h. Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractors and Subcontractors with whom the Contractor does or anticipates doing business.
- i. Direct its recruitment, efforts, both oral and written, to minority, female and community organizations, to schools with minority and female students and to minority and female recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month other training by any recruitment source, the Contractor shall send written notification to organizations such as the above, describing prior to the date for the acceptance of applications for apprenticeship or the openings, screening procedures, and tests to be used in the selection process.
- j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth both on site and in other areas of a Contractor's work force.
- k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR Part 60-3.
- l. Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.
- m. Ensure that seniority practices, job classifications, work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.

- n. Ensure that all facilities and company activities are non segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.
 - o. Document and maintain a record of all solicitations of offers for subcontracts from minority and female construction contractors and suppliers, including circulation of solicitation to minority and female contractor associations and other business associations.
 - p. Conduct a review, at least annually, of all supervisor's adherence to and performance under the Contractor's EEO policies and affirmative action obligations.
8. Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7 a through p.). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7 a through p. of these specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program and reflected in the Contractor's minority and female work force participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions take on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance.
9. A single goal for minorities and a separate single goal for women have been established. The Contractor, however, is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order if a particular group is employed in a substantially disparate manner (for example, specific minority group of women is underutilized.)
10. The Contractor shall not use the goals and timetables or affirmative action even though the Contractor has achieved its goals for women generally, the Contractor may be in violation of the Executive Order if standards to discriminate against any person because of race, color, religion, sex, or national origin.
11. The Contractor shall not enter into any Subcontract with any person or firm debarred from Government contracts pursuant to Executive Order 11246.
12. The Contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 11246, as amended, and its implementation regulations by the Office of Federal Contract Compliance Programs. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 11246, as amended.

13. The Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of these specifications, so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails to comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR § 60-4.6.
14. The Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Government and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g. mechanic, apprentice, trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and location at which the work was performed. Records be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.
15. Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

End of GOALS FOR EMPLOYMENT OF FEMALES AND MINORITIES

SECTION 3 - OTHER FEDERAL REQUIREMENTS

I. NONDISCRIMINATION

The provisions of this section related to 23 CFR Part 230 are applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more. The provisions of 23 CFR Part 230 are not applicable to material supply, engineering, or architectural service contracts.

In addition, the contractor and all subcontractors must comply with the following policies: Executive Order 11246, 41 CFR 60, 29 CFR Parts 1625-1627, 23 USC § 140, the Rehabilitation Act of 1973, as amended (29 USC § 794), Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The contractor and all subcontractors must comply with the requirements of the Equal Opportunity Clause in 41 CFR § 60-1.4(b) and, for all construction contracts exceeding \$10,000, the Standard Federal Equal Employment Opportunity Construction Contract Specifications in 41 CFR § 60-4.3.

Note: The U.S. Department of Labor has exclusive authority to determine compliance with Executive Order 11246 and the policies of the Secretary of Labor including 41 CFR 60, and 29 CFR 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with 23 USC § 140, the Rehabilitation Act of 1973, as amended (29 USC § 794), and Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The following provision is adopted from 23 CFR Part 230, Appendix A, with appropriate revisions to conform to the U.S. Department of Labor (US DOL) and FHWA requirements.

1. Equal Employment Opportunity: Equal employment opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (28 CFR Part 35, 29 CFR Part 1630, 29 CFR Parts 1625-1627, 41 CFR 60 and 49 CFR 27) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. § 140 shall constitute the EEO and specific affirmative action standards for the contractor's project activities under this contract. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. § 12101 et seq.) set forth under 28 CFR Part 35 and 29 CFR Part 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:

a. The contractor will work with the contracting agency and the Federal Government to ensure that it has made every good faith effort to provide equal opportunity with respect to all of its terms and conditions of employment and in their review of activities under the contract.

b. The contractor will accept as its operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-apprenticeship, and/or on-the-job training."

2. EEO Officer: The contractor will designate and make known to the contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active EEO program and who must be assigned adequate authority and responsibility to do so.

3. Dissemination of Policy: All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the contractor's EEO policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:

- a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer.
- b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.
- c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minorities and women.
- d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.
- e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

4. Recruitment: When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minorities and women in the area from which the project work force would normally be derived.

- a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minorities and women. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority and women applicants may be referred to the contractor for employment consideration.
- b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, the contractor is expected to observe the provisions of that agreement to the extent that the system meets the contractor's compliance with EEO contract provisions. Where implementation of such an agreement has the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Federal nondiscrimination provisions.
- c. The contractor will encourage its present employees to refer minorities and women as applicants for employment. Information and procedures with regard to referring such applicants will be discussed with employees.

5. Personnel Actions: Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age or disability. The following procedures shall be followed:

- a. The contractor will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.
- b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.
- c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where such evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.
- d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with its obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of their avenues of appeal.

6. Training and Promotion:

- a. The contractor will assist in locating, qualifying, and increasing the skills of minorities and women who are applicants for employment or current employees. Such efforts should be aimed at developing full journey level status employees in the type of trade or job classification involved.
- b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e., apprenticeship, and on-the-job training programs for the geographical area of contract performance. In the event a requirement for training is provided under this contract by Bid Amendment or an executed change to the Contract, this subparagraph will be superseded as indicated. The contracting agency may reserve training positions for persons who receive welfare assistance in accordance with 23 U.S.C. § 140(a).
- c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.
- d. The contractor will periodically review the training and promotion potential of employees who are minorities and women and will encourage eligible employees to apply for such training and promotion.

7. Unions: If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use good faith efforts to obtain the cooperation of such unions to increase opportunities for minorities and women. Actions by the contractor, either directly or through a contractor's association acting as agent, will include the procedures set forth below:

a. The contractor will use good faith efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minorities and women for membership in the unions and increasing the skills of minorities and women so that they may qualify for higher paying employment.

b. The contractor will use good faith efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, national origin, age or disability.

c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the contracting agency and shall set forth what efforts have been made to obtain such information.

d. In the event the union is unable to provide the contractor with a reasonable flow of referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age or disability; making full efforts to obtain qualified and/or qualifiable minorities and women. The failure of a union to provide sufficient referrals (even though it is obligated to provide exclusive referrals under the terms of a collective bargaining agreement) does not relieve the contractor from the requirements of this paragraph. In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and the requirements of the Contract, such contractor shall immediately notify the contracting agency.

8. Reasonable Accommodation for Applicants / Employees with Disabilities: The contractor must be familiar with the requirements for and comply with the Americans with Disabilities Act and all rules and regulations established there under. Employers must provide reasonable accommodation in all employment activities unless to do so would cause an undue hardship.

9. Selection of Subcontractors, Procurement of Materials and Leasing of Equipment: The contractor shall not discriminate on the grounds of race, color, religion, sex, national origin, age or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor shall take all necessary and reasonable steps to ensure nondiscrimination in the administration of this contract.

a. The contractor shall notify all potential subcontractors and suppliers and lessors of their EEO obligations under this contract.

b. The contractor will use good faith efforts to ensure subcontractor compliance with their EEO obligations.

10. Assurance Required by 49 CFR § 26.13(b):

a. The requirements of 49 CFR Part 26 and the State DOT's U.S. DOT-approved DBE program are incorporated by reference as applicable.

b. The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor 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 contracting agency deems appropriate.

11. Records and Reports: The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following the date of the final payment to the contractor for all contract work and shall be available at reasonable times and places for inspection by authorized representatives of the contracting agency and the federal agencies.

a. The records kept by the contractor shall document the following:

(1) The number and work hours of minority and non-minority group members and women employed in each work classification on the project;

(2) The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women; and

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minorities and women;

b. The contractors and subcontractors will submit an annual report to the contracting agency each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on [Form FHWA-1391](#). The staffing data should represent the project work force on board in all or any part of the last payroll period preceding the end of July. If on-the-job training is being required by Bid Amendment or an executed change to the Contract, the contractor will be required to collect and report training data. The employment data should reflect the work force on board during all or any part of the last payroll period preceding the end of July.

II. NONSEGREGATED FACILITIES

This provision is applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more.

The contractor must ensure that facilities provided for employees are provided in such a manner that segregation on the basis of race, color, religion, sex, or national origin cannot result. The contractor may neither require such segregated use by written or oral policies nor tolerate such use by employee custom. The contractor's obligation extends further to ensure that its employees

are not assigned to perform their services at any location, under the contractor's control, where the facilities are segregated. The term "facilities" includes waiting rooms, work areas, restaurants and other eating areas, time clocks, restrooms, washrooms, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing provided for employees. The contractor shall provide separate or single-user restrooms and necessary dressing or sleeping areas to assure privacy between sexes.

III. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

The following clauses apply to any Federal-aid construction contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by 29 CFR § 5.5(a) or 29 CFR § 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

1. Overtime requirements. No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek, as applicable.

2. Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph (1.) of this section, the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1.) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1.) of this section.

3. Withholding for unpaid wages and liquidated damages. The contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2.) of this section.

4. Subcontracts. The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (1.) through (4.) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1.) through (4.) of this section.

IV. SAFETY: ACCIDENT PREVENTION

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR Part 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the contracting officer may determine, to be reasonably necessary to protect the life and health of employees on the job and the safety of the public and to protect property in connection with the performance of the work covered by the contract.

2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and health standards (29 CFR Part 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. § 3704).

3. Pursuant to 29 CFR § 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance with the construction safety and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. § 3704).

V. FALSE STATEMENTS CONCERNING PROJECT

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, the following language shall be posted on each Federal-aid project (23 CFR Part 635) in one or more places where it is readily available to all persons concerned with the project:

18 U.S.C. § 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or

costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 1, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined under this title or imprisoned not more than 5 years or both."

VI. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

By submission of this bid/proposal or the execution of this contract, or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any person who is or will be utilized in the performance of this contract is not prohibited from receiving an award due to a violation of Section 508 of the Clean Water Act or Section 306 of the Clean Air Act.
2. That the contractor agrees to include or cause to be included the requirements of paragraph (1) of this Section X in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements.

VII. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, consultant contracts or any other covered transaction requiring FHWA approval or that is estimated to cost \$25,000 or more – as defined in 2 CFR Parts 180 and 1200.

1. Instructions for Certification – First Tier Participants:

- a. By signing and submitting this proposal, the prospective first tier participant is providing the certification set out below.

b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this covered transaction. The prospective first tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective first tier participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.

c. The certification in this clause is a material representation of fact upon which reliance was placed when the contracting agency determined to enter into this transaction. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the contracting agency may terminate this transaction for cause of default.

d. The prospective first tier participant shall provide immediate written notice to the contracting agency to whom this proposal is submitted if any time the prospective first tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

e. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

f. The prospective first tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

g. The prospective first tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," provided by the department or contracting agency, entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold.

h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is

erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.

i. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the prospective participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

j. Except for transactions authorized under paragraph (f) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – First Tier Participants:

a. The prospective first tier participant 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 participating in 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 (a)(2) of this certification; and

(4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

b. Where the prospective participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

2. Instructions for Certification - Lower Tier Participants:

(Applicable to all subcontracts, purchase orders and other lower tier transactions requiring prior FHWA approval or estimated to cost \$25,000 or more - 2 CFR Parts 180 and 1200)

- a. By signing and submitting this proposal, the prospective lower tier is providing the certification set out below.
- b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.
- d. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).
- e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold.
- g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended,

debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.

h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

* * * * *

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Participants:

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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VIII. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts which exceed \$100,000 (49 CFR Part 20).

1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

a. 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 any Federal 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, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

b. 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 Federal 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 Form to Report Lobbying," in accordance with its instructions.

2. 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 31 U.S.C. § 1352. 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.

3. The prospective participant also agrees by submitting its bid or proposal that the participant shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such recipients shall certify and disclose accordingly.

APPENDIX B TO DIVISION 100 – LIST OF ENVIRONMENTAL PERMITS

The following permits, authorizations, and approvals have been completed. Final copies of permits that govern Contractor's execution of the Work are incorporated into the Contract as Exhibit E. The full text of any permit which has been received and is not included in Exhibit E will be made available to the Contractor upon request.

- USACE Maine General Permit (GP) Pre-Construction Notification (PCN)
- Consultation with MHPC and Tribal historic preservation offices
- IJCSRBC authorization
- Maine Department of Environmental Protection (MEDEP) Maine Waterway Development Act Permit
- NMFS Biological Assessment
- Town of Baileyville, ME Shoreland Zoning Ordinance