



**REQUEST FOR QUALIFICATIONS
("RFQ")**

FOR

**CONSULTING, ENGINEERING AND LAND SURVEYING
SERVICES
(RFQ Number 13-OP-002)**

**STATEMENT OF QUALIFICATIONS DUE DATE
MARCH 28, 2013**

**Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103-1722**

February 4, 2013

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**REQUEST FOR QUALIFICATIONS
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING**

SECTION 1

**NOTICE TO FIRMS –
REQUEST FOR QUALIFICATIONS**

CONNECTICUT RESOURCES RECOVERY AUTHORITY

NOTICE TO FIRMS – REQUEST FOR QUALIFICATIONS

The Connecticut Resources Recovery Authority (“CRRA”) is a quasi-public entity, a body politic and corporate, created pursuant to C.G.S. Chapter 446e, Section 22a-261, as a public instrumentality and political subdivision of the State of Connecticut (the "State"). CRRA has the responsibility for developing and implementing environmentally sound solutions and best practices for solid waste disposal and recycling on behalf of, and in the best interests of the municipalities and residents of the State of Connecticut. CRRA oversees a statewide network of three regional waste-to-energy systems, a single-stream recycling facility, five transfer stations, and five landfills.

CRRA is requesting qualifications from qualified firms (including individuals) interested in providing certain consulting, engineering and land surveying services for CRRA from **July 1, 2013 through June 30, 2016**. Statements Of Qualifications (“SOQs”) will be accepted by CRRA for the following categories of consulting, engineering and land surveying services:

- General Engineering
- Resource Recovery and Recycling Consulting and Engineering
- Environmental Consulting and Engineering
- Landfill Consulting and Engineering
- Solid Waste Consulting
- Electric Marketing, Procurement and Consulting
- Land Surveying

Firms may submit SOQs for any one, all or a combination of the above listed categories of services. At its sole discretion, CRRA may choose one or more separate firms to provide services for each of the categories.

Request For Qualifications (“RFQ”) package documents may be obtained on the World Wide Web at <http://www.crra.org> under the “Business Opportunities” page beginning **Monday, February 4, 2013**. The documents will also be available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA’s offices must contact Roger Guzowski (860-757-7703) at least 24 hours in advance. There is a charge of \$25.00 for anyone picking up the documents at CRRA’s office. Payment should be made by check payable to “Connecticut Resources Recovery Authority.”

CRRA encourages firms interested in this RFQ to submit a Notice Of Interest Form to CRRA. The Notice Of Interest Form is available on CRRA’s web site along with the other RFQ documents. While not mandatory, CRRA will use the information provided on the Form to notify prospective consultants about the availability of addenda and other information related to the RFQ.

Sealed SOQs should be delivered to the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722 by 3:00 p.m., Thursday, March 28, 2013. CRRA reserves the right to reject any and all SOQs received after the time and date set forth above. All SOQs shall remain open for one hundred twenty (120) days after the SOQ due date.

SOQs will be opened at CRRA's convenience on or after the SOQ due date. Note that all information submitted by a firm responding to this RFQ is subject to Connecticut's Freedom of Information Act.

CRRA is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, contracting, or business practices. CRRA is committed to complying with the Americans with Disability Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

All questions regarding this RFQ must be submitted **in writing** to Roger Guzowski, by e-mail (rguzowski@crra.org), by fax (860-757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103) no later than **3:00 p.m., Thursday, March 14, 2013**. Subject to the discretion of CRRA, CRRA may decide to provide written responses to potential consultants no later than Thursday, March 21, 2013. Any firm considering submitting an SOQ is prohibited from having any ex-parte communications with any CRRA staff member or CRRA Board member except Mr. Guzowski.

**REQUEST FOR QUALIFICATIONS
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING**

SECTION 2

INSTRUCTIONS TO FIRMS

INSTRUCTIONS TO FIRMS

CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES

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1. Introduction

The Connecticut Resources Recovery Authority (“CRRA”) is a quasi-public agency, a body politic and corporate, created pursuant to C.G.S. Chapter 446e, Section 22a-261, as a public instrumentality and political subdivision of the State of Connecticut (the "State"). CRRA has the responsibility for developing and implementing environmentally sound solutions and best practices for solid waste disposal and recycling on behalf of, and in the best interests of the municipalities and residents of the State of Connecticut. CRRA oversees a statewide network of three regional waste-to-energy systems, a single-stream recycling facility, five transfer stations, and five landfills.

From time to time, CRRA requires the services of consulting, engineering and land surveying firms (including individuals). The purpose of this RFQ is to identify consulting, engineering and land surveying firms that would be qualified to work for CRRA. CRRA in-

tends, but does not guarantee, to enter into contracts with one of more firms. When CRRA has work that needs to be done, CRRA will select from among those firms with which it has agreements one for more firms to enter into a Request For Services for the specific work that needs to be done.

2. RFQ Projected Timeline

The following is the projected timeline for the RFQ process:

ITEM	DATE
RFQ Documents Available	Monday, February 4, 2013
Notice of Interest Forms Due	While submittal of a Notice Of Interest Form is not mandatory, CRRA encourages interested parties to return a Notice of Interest form as soon as possible as CRRA will use the information provided on the forms to notify interested firms about the availability of Addenda and any other information related to this RFQ.
Deadline for Written Questions	3:00 p.m., Thursday March 14, 2013
Response to Written Questions	No Later Than Thursday , March 21, 2013
SOQs Due at CRRA	3:00 p.m., Thursday, March 28, 2013
Selection and Notice(s) of Award Issued	Pending approval by the CRRA Board of Directors (expected to be presented to the Board for approval at the May Board Meeting).

CRRA reserves the right at its sole and absolute discretion to extend any of the actual or proposed dates in the above Projected Timeline and further reserves the right to reject any and all SOQs and republish this RFQ. CRRA also reserves the right at its sole and absolute discretion to terminate this RFQ process at any time prior to the execution of any Agreement.

3. Definitions

As used in this Instructions To Firms and in other Contract Documents (as defined herein), the following terms shall have the meanings as set forth below:

- (a) **Addenda:** Written or graphic documents issued prior to the SOQ due date that clarify, correct or change any or all of the Contract Documents.
- (b) **Contract Documents:**

1. Agreement For Consulting, Engineering And Land Surveying Services (the “Agreement”);
 2. RFQ Package Documents (defined in (e) below);
 3. Addenda;
 4. The firm’s SOQ (including all documentation attached to or accompanying such SOQ, all other documentation submitted in connection with such SOQ, and all post-submission documentation submitted prior to the Notice Of Award);
 5. Notice Of Award; and,
 6. Any written amendments to the Agreement.
- (c) **Laws And Regulations:** Any and all applicable laws, rules, regulations, ordinances, codes, orders and permits of any and all federal, state and local governmental and quasi-governmental bodies, agencies, authorities and courts having jurisdiction.
- (d) **Notice Of Award:** Written notification from CRRA to the apparent successful SOQ submitter(s) that states that CRRA has accepted such SOQ submitter’s SOQ and sets forth the remaining conditions that must be fulfilled by such SOQ submitter before CRRA executes the Agreement.
- (e) **RFQ Package Documents:**
1. Notice To Firms – Request For Statements of Qualification
 2. Instructions To Firms
 3. Notice of Interest Form
 4. Required Forms
 - 4.1. SOQ Form
 - 4.2. Payment Rate Schedule Form
 - 4.3. Firm Background and Experience Form
 - 4.4. Personnel Background and Experience Form
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 - Exhibit A. Scope of Services

- Exhibit B. RFS Standard Format
- Exhibit C. Compensation Schedule
- Exhibit D. CRRA's Travel And Expense Reporting Policy And Procedure
- Exhibit E. Monthly Bill format
- Exhibit F. SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban
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- Exhibit J. CRRA President's Certification Concerning Gifts

Terms that are not defined and used in this Instructions To Firms shall have the same respective meanings assigned to such terms in the Agreement.

4. Communications With CRRA Staff And Board Members

Except as otherwise authorized by this Instructions To Firms, during the period while the RFQ process is active (i.e., from the date CRRA issues the RFQ until the date the successful SOQ submitter(s) accepts the Notice Of Award), firms contemplating or preparing SOQs are prohibited from contacting CRRA staff or CRRA Board of Director members in an ex parte manner to discuss the RFQ submission process. A firm's SOQ shall be rejected if any of the foregoing ex parte communications take place.

5. Scope Of Services

The Services to be performed under the Agreement are more particularly described in **Exhibit A** of the Agreement. Specific instructions about how the Services are to be performed are included in the Agreement.

There are seven Categories of Services as follows:

- (a) General Engineering Services;
- (b) Resource Recovery and Recycling Consulting and Engineering Services;
- (c) Environmental Consulting and Engineering Services;
- (d) Landfill Consulting and Engineering Services;

- (e) Solid Waste Consulting Services;
- (f) Electric Marketing, Procurement and Consulting Services; and
- (g) Land Surveying.

CRRA will assume that a firm responding to this RFQ is willing to perform only the Categories of Services that are selected by the firm on the Statement Of Qualifications Form in the firm's SOQ.

Requests For Services for specific work to be performed during the term of the Agreement will be solicited, at CRRA's discretion, from the firms with which CRRA has entered into Agreements pursuant to this RFQ.

CRRA does not set a limit on the number of contracts that will be awarded in any particular Category Of Services. CRRA selects the firms that CRRA has determined, based on the SOQs submitted in response to the RFQ, are well qualified to provide the types of services specified for each Category Of Services and with whom CRRA has determined it would be in CRRA's interest to have available to do particular work in the Category when and if a need for such work arises.

CRRA does not guarantee to any SOQ submitter with which it enters into a contract pursuant to this RFQ any work.

The term of the Agreement shall be from July 1, 2013 to June 30, 2016.

6. Availability Of RFQ Package Documents

Complete sets of the RFQ Package Documents may be obtained on the World Wide Web beginning Monday, February 4, 2013 at:

<http://www.crra.org> under the "Business Opportunities" page; select the "RFQ: Consulting, Engineering and Land Surveying Services" link.

The RFQ Package Documents are in PDF format. The forms included in the RFQ Package Documents (e.g., the Payment Rate Schedule Form) are also available for downloading in Microsoft Word format at the same place on CRRA's web site where the PDF of the RFQ is located. Prospective SOQ submitters can fill the forms out by typing the answers on their computer's keyboard. The forms can then be printed and submitted with the SOQ. CRRA encourages firms to make use of the downloadable Word forms.

The RFQ Package Documents are also available Monday through Friday, from 8:30 a.m. to 5:00 p.m. at CRRA's offices, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, beginning on the same date. Anyone intending to pick up the documents at CRRA's offices must contact Roger Guzowski Roger Guzowski [(860) 757-7703] at least 24 hours in advance. There is a charge of \$25.00 for anyone picking up the documents at CRRA's office. Payment should be made by check payable to "Connecticut Resources Recovery Authority."

7. Notice Of Interest

CRRA encourages firms interested in this RFQ to submit a Notice Of Interest Form (Section 3 of the RFQ Package Documents) as soon as possible upon their receipt of the RFQ Package Documents. While submittal of a Notice Of Interest Form is not mandatory, CRRA will use the information provided on the forms to notify interested firms about the availability of Addenda and any other information related to this RFQ. Instructions for submitting the Form are included on the Form.

8. Addenda And Interpretations

CRRA may issue Addenda to the RFQ Package Documents that shall, upon issuance, become part of the RFQ Package Documents and binding upon all firms that potentially may submit or actually have submitted SOQs for the Services. Such Addenda may be issued in response to requests for interpretation or clarification received from potential SOQ submitters. Subject to the discretion of CRRA, CRRA may decide to provide written responses to such requests for interpretation or clarification.

Any request for interpretation or clarification of any documents included in the RFQ Package Documents must be **submitted in writing to Roger Guzowski by e-mail (rguzowski@crra.org), by fax (860-757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722). To be given consideration, any such written request must be received by CRRA by 3:00 p.m., Friday, March 14, 2013.**

Addenda, if any, will be mailed and/or e-mailed to all persons who submitted a Notice Of Interest Form (see Section 7, above) or who picked up or requested from CRRA a printed copy of the RFQ Package Documents. Such addenda will also be posted on CRRA's web site (<http://www.crra.org> on the "Business Opportunities" page under the "RFQ: Consulting, Engineering And Land Surveying Services" heading). Such addenda will be mailed/e-mailed and posted on the web site no later than Thursday, March 21, 2013.

Failure of any SOQ submitter to receive any such Addenda shall not relieve such SOQ submitter from any conditions stipulated in such Addenda. Only questions answered or issues addressed by formal written Addenda will be binding. **All oral and other written responses, statements, interpretations or clarifications shall be without legal effect and shall not be binding upon CRRA.**

9. SOQ Submission Procedures

Sealed SOQs in response to this RFQ must be submitted no later than 3:00 p.m., Eastern Time, Thursday, March 28, 2013 at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Roger Guzowski. CRRA reserves the right to reject SOQs received after the time and date set forth above.

Each SOQ submitter must submit one (1) original and the number of copies indicated in the following table.

Number of Categories of Services for which the SOQ is Submitted	Number of Originals	Number of Copies
1	1	2
2	1	3
3	1	4
4	1	5
5	1	5
6	1	5
7	1	5

The original of the SOQ shall be stamped or otherwise marked as such.

Each SOQ (the original and the required number of copies) shall be enclosed in a sealed envelope that shall be clearly marked “SOQ For Consulting, Engineering And Land Surveying Services.”

10. Period SOQs Shall Remain Open

SOQs shall remain open and subject to acceptance for one hundred twenty (120) days after the SOQ due date.

11. Form Of The Agreement

The form of the Agreement that CRRA intends to sign with successful SOQ submitters is enclosed as Section 6 of the RFQ Package Documents.

While it intends to enter into an agreement with one or more selected SOQ submitters, CRRA makes no guarantees that any SOQ will result in an Agreement. Further, CRRA reserves the right to reject any or all SOQ submissions and to award any Agreements in a manner deemed to be in its best interests.

The terms and conditions of the Agreement (Section 6 of the RFQ Package Documents), as attached, are non-negotiable, other than as set forth on the Business Exception Form (Sec-

tion 4.11 of the RFQ package documents). Any potential SOQ submitter that will be unable to execute the Agreement, as attached, should not submit an SOQ.

12. Modification/Withdrawal Of An SOQ

SOQs may be modified or withdrawn by an appropriate document duly executed (in the manner that an SOQ must be executed) and delivered to CRRA's office at any time prior to the SOQ due date.

13. Joint SOQs

No joint SOQs shall be accepted. CRRA uses the RFQ process to identify and contract with firms that have expertise in particular areas (i.e., Categories Of Services). However, CRRA recognizes that consultants with which it has contracts may need to employ sub-consultants for particular types of work for which the consultant has entered into a specific Request For Services ("RFS") (see Section 19 of this Instructions To Firms). CRRA uses the RFS process to review and approve sub-consultants. If there are sub-consultants that an SOQ submitter would use for specific aspects of a Category Of Services for which it wishes to be considered, the SOQ submitter should identify and disclose those sub-consultants in its SOQ. However, selection of an SOQ submitter does not in any way indicate CRRA's approval of the use of any of the sub-consultants identified and disclosed in the SOQ.

CRRA does not require an SOQ submitter it selects for a particular Category Of Services to have expertise in all of the areas specified in the Scope Of Services for that Category Of Services. CRRA may select an SOQ submitter pursuant to this RFQ just because it has expertise on one of the subcategories of services specified for that Category Of Services in the Scope Of Services.

14. SOQ Contents

SOQs shall be submitted on forms provided by CRRA as part of the RFQ Package Documents. All of the forms must be completed with the appropriate information required and all blanks on such forms filled in.

An SOQ must consist of the following and be in the following order:

- (a) Title page, including the title of the solicitation, the name of the SOQ submitter and the date the SOQ is submitted;
- (b) Cover letter, signed by a person authorized to commit the SOQ submitter to the contractual arrangements with CRRA, which includes the following:
 1. The name of the SOQ submitter;
 2. The legal structure of the SOQ submitter (e.g. corporation, joint venture, etc.);
 3. A clear statement indicating that the attached SOQ constitutes a firm and binding offer by the SOQ submitter to CRRA considering the terms and

conditions outlined in the RFQ and noting any technical exceptions taken thereto;

4. A summary of the key strengths and qualifications of the SOQ submitter to serve as a consulting/engineering/land surveying firm to CRRA; and
 5. The SOQ submitter's promise, if any, to set aside a portion of the contract for legitimate minority business enterprises (see Section 16.2 of this Instructions To Firms);
- (c) Table of Contents for the SOQ submitter's SOQ (not the CRRA Table of Contents for the RFQ);
 - (d) The entire Statement Of Qualifications Form (Section 4.1 of the RFQ Package Documents), with the Category(s) of Services for which the SOQ submitter wishes to be considered checked (Page 1), Addenda, if any, listed in the appropriate place (Page 3), the name and address of the contact for Notices listed in the appropriate place (Page 7) and the completed agreement page (Page 7);
 - (e) The completed Payment Rate Schedule Form (Section 4.2 of the RFQ Package Documents) in printed format;
 - (f) The completed Firm Background And Experience Form (Section 4.3 of the RFQ Package Documents), with a separate Form included for each Category Of Services for which the SOQ submitter wishes to be considered;
 - (g) The completed Personnel Background And Experience Form (Section 4.4 of the RFQ Package Documents), with a separate Form included for each Category Of Services for which the SOQ submitter wishes to be considered;
 - (h) The completed Business Disclosure Form (Section 4.5 of the RFQ Package Documents);
 - (i) The completed References Form (Section 4.6 of the RFQ Package Documents), with a separate Form included for each Category Of Services for which the SOQ submitter wishes to be considered;
 - (j) The completed Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form (Section 4.7 of the RFQ Package Documents), with the SOQ submitter's most recent EEO-1 data attached if the SOQ submitter wishes such data to be considered in the evaluation of its SOQ;
 - (k) The completed Affidavit Concerning Nondiscrimination (Section 4.8 of the RFQ Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
 - (l) The completed Background Questionnaire (Section 4.9 of the RFQ Package Documents) (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);

- (m) The completed Business Exception Form (Section 4.11 of the RFQ Package Documents).
- (n) A copy of the SOQ submitter's up-to-date certificate of insurance showing all coverages required by Section 6.1 of the Agreement [Please be advised that this is the area in which SOQ submitters seem to have the most difficulty. CRRA requires that the certificate submitted show evidence of exactly the insurance requirements specified in the Agreement. For example, if the Agreement specifies automobile insurance for "any" vehicles, the "any" vehicle box on the certificate must be checked];
- (o) An electronic version of the completed Payment Rate Schedule Form (Section 4.2 of the RFQ Package Documents) on compact disc ("CD"), preferably in Microsoft Word or Excel format. SOQ submitters may simply save to a CD the completed Microsoft Word version of the Payment Rate Schedule Form that is available for downloading on CRRA's web site (<http://www.crra.org>) under the "Business Opportunities" page and submit the CD with the saved, completed Form to CRRA. SOQ Submitters must include the electronic version of the Payment Rate Schedule Form in the original of the SOQ. The electronic version need not be included in any of the copies of the SOQ; and
- (p) Appendix A - Brief resumes (i.e., no more than two pages per individual) of each individual listed in the Personnel Background And Experience Forms (Section 4.4 of the RFQ Package Documents) included in the SOQ.

SOQ submitters should not include in their SOQs any other portions of the RFQ Package Documents (e.g., this Instructions To Firms or the Agreement).

An SOQ submitter may include additional information as an addendum/appendix to its SOQ if the SOQ submitter thinks that it will assist CRRA in evaluating the SOQ submitter's SOQ. An SOQ submitter should not include information that is not directly related to the subject matter of this solicitation.

15. SOQ Opening

SOQs will be opened at CRRA's convenience on or after the SOQ due date.

CRRA reserves the right to reject any or all of the SOQs, or any part(s) thereof, and/or to waive any informality or informalities in any SOQ or the RFQ process.

16. SOQ Evaluation

The award of the contract(s) for the Services will be made, if at all, to the SOQ submitter(s) whose evaluation by CRRA results in CRRA determining that such award to such SOQ submitter(s) is in the best interests of CRRA. **However, the selection of an SOQ submitter(s) and the award of such contract(s), while anticipated, are not guaranteed.**

CRRA is an Equal Opportunity and Affirmative Action employer and does not discriminate in its hiring, employment, contracting, or business practices. CRRA is committed to complying with the Americans with Disability Act of 1990 (ADA) and does not discriminate on the basis of disability in admission to, access to, or operation of its programs, services, or activities.

16.1 Evaluation Criteria

CRRA will base its evaluation of SOQs on the following criteria, which are not necessarily in order of importance:

- (a) Payment rates;
- (b) Qualifications;
- (c) Demonstrated skill, ability and integrity to perform the Services required by the Contract Documents;
- (d) Reputation;
- (e) Adequacy of insurance coverages as evidenced by a certificate or certificates of insurance showing, at a minimum, all coverages required by Section 6.1 of the Agreement (Section 6 of the RFQ Package Documents)); and
- (f) Any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

16.2 Additional Evaluation Criteria

CRRA will also base its evaluation of SOQs on criteria including, but not limited to, the following:

- (a) In each Category of Services for which the SOQ submitter wishes to be considered, the experience of the SOQ submitter in serving as a consulting/engineering/land surveying firm for clients, including governmental entities and resource recovery entities;
- (b) In each Category of Services for which the SOQ submitter wishes to be considered, the qualifications of the personnel who would perform the Services for CRRA, including the experience and availability of the day-to-day staff and the breadth and depth of qualifications of other professionals available to provide services to CRRA; and
- (c) The references for the SOQ submitter.

16.3 Affirmative Action Evaluation Criteria

SOQs will also be rated on the SOQ submitter's demonstrated commitment to affirmative action. Sections 46a-68-1 to 46a-68-17 of the *Regulations of Connecticut*

State Agencies require CRRA to consider the following factors when awarding a contract that is subject to contract compliance requirements:

- (a) The SOQ submitter's success in implementing an affirmative action plan (See Question 4 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 4.7 of the RFQ Package Documents));
- (b) The SOQ submitter's success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the *Regulations of Connecticut State Agencies*, inclusive (See Question 5 of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 4.7 of the RFQ Package Documents));
- (c) The SOQ submitter's promise to develop and implement a successful affirmative action plan (See Question 4B of the Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety (Section 4.7 of the RFQ Package Documents));
- (d) The SOQ submitter's submission of EEO-1 data indicating that the composition of its work force is at or near parity when compared to the racial and sexual composition of the work force in the relevant labor market area (See Section 14(j) of this Instructions To Firms); and
- (e) The SOQ submitter's promise to set aside a portion of the contract for legitimate minority business enterprises (See Section 14(b)(5) of this Instructions To Firms).

17. Interviews

To assist in the selection process, CRRA may decide to interview some or all SOQ submitters. Such interviews, if they are conducted, will be held during the month of April, 2013.

18. Contract Award

If CRRA decides to award a contract(s) for the Services, CRRA will issue to the successful SOQ submitter(s) a Notice Of Award within one hundred twenty (120) days after the SOQ due date.

CRRA reserves the right to correct inaccurate awards resulting from CRRA's clerical errors. This may include, in extreme circumstances, revoking a Notice Of Award already made to an SOQ submitter and subsequently awarding the Notice of Award to another SOQ submitter. Such action by CRRA shall not constitute a breach of this RFQ by CRRA since the Notice Of Award to the initial SOQ submitter is deemed to be void ab initio and of no effect as if no Agreement ever existed between CRRA and the initial SOQ submitter.

19. Requests For Services

Following the execution of the Agreement and the satisfaction of all other conditions by the successful SOQ submitter(s), the successful SOQ submitter(s) may be required on an as-needed basis to provide a detailed scope of services and estimates of the costs and time to perform such Services as to specific projects occurring during the term of the Agreement. If CRRA chooses to have such SOQ submitter(s) perform such services, such SOQ submitter(s) will, at CRRA's sole and absolute discretion, execute a Request For Services in the form outlined in **Exhibit B** to the Agreement.

20. Contractor's Certification Concerning Gifts

Pursuant to *Connecticut General Statutes* Section 4-252, the apparently successful SOQ submitter(s) must submit a document certifying that it has not given any gifts to certain individuals between the date CRRA started planning the RFQ and the date the Agreement is executed. If the apparently successful SOQ submitter(s) does not execute the Certification, it will be disqualified for the Agreement. The dates between which the SOQ submitter may not give gifts and the identities of those to whom it may not give gifts are specified in **Exhibit I** of the Form of the Agreement (Section 6 of the RFQ Package Documents).

21. SOQ Submitter's Qualifications

CRRA may make any investigation deemed necessary to determine the ability of any SOQ submitter to perform the Services required. Each such SOQ submitter shall furnish CRRA with all such information as may be required for this purpose.

22. SOQ Preparation And Other Costs

Each SOQ submitter shall be solely responsible for all costs and expenses associated with the preparation and/or submission of its SOQ or incurred in connection with any interviews and negotiations with CRRA, and CRRA shall have no responsibility or liability whatsoever for any such costs and expenses.

**REQUEST FOR QUALIFICATIONS
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING
SECTION 3
NOTICE OF INTEREST FORM**



NOTICE OF INTEREST FORM

Individuals and firms that have an interest in the Connecticut Resources Recovery Authority (“CRRRA”) solicitation listed below are encouraged to submit this Notice Of Interest Form to CRRRA as early as they can. Request For Qualifications documents and other information released by CRRRA related to the solicitation will be directly provided to those firms that have submitted this Form to CRRRA.

Solicitation:	Consulting, Engineering and Land Surveying Services
RFQ Number:	13-OP-002

Provide the following information about the individual/firm and the contact person for the firm.

Name of Individual/Firm:	
Name of Contact Person:	
Title of Contact Person:	
Mailing Address 1:	
Mailing Address 2:	
City, State, Zip Code	
Telephone Number:	
Fax Number:	
E-Mail Address:	

Submit this form to the CRRRA contact listed below via e-mail, fax or correspondence as listed below.

CRRRA Contact:	Roger Guzowski
E-Mail Address:	<u>rguzowski@crra.org</u>
Fax Number:	(860) 757-7742
Correspondence Address:	Connecticut Resources Recovery Authority 100 Constitution Plaza, 6th Floor Hartford, CT 06103

**REQUEST FOR QUALIFICATIONS
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING**

SECTION 4

**REQUIRED STATEMENT OF QUALIFICATIONS
FORMS**

Includes:

- 4.1 Statement of Qualifications Form**
- 4.2 Payment Rate Schedule Form**
- 4.3 Firm Background And Experience Form**
- 4.4 Personnel Background And Experience Form**
- 4.5 Business Disclosure Form**
- 4.6 References Form**
- 4.7 Questionnaire Concerning Affirmative Action**
- 4.8 Affidavit Concerning Non-Discrimination**
- 4.9 Background Questionnaire**
- 4.10 SEEC Form 11**
- 4.11 Business Exception Form**



STATEMENT OF QUALIFICATIONS FORM

RFQ NUMBER: 13-OP-002

CONTRACT FOR: Consulting, Engineering and Land Surveying Services

STATEMENT OF QUALIFICATIONS SUBMITTED TO: Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103-1722

1. CATEGORY(S) OF SERVICES FOR WHICH SOQ SUBMITTED

In the table below, place a check mark in the box for each Category Of Services for which the SOQ Submitter wishes to be considered. (The Scope Of Services for each Category is described in Exhibit A of the Agreement and should be consulted before checking the box for any Category Of Services.)

<input type="checkbox"/>	General Engineering Services
<input type="checkbox"/>	Resource Recovery and Recycling Consulting and Engineering Services
<input type="checkbox"/>	Environmental Consulting and Engineering Services
<input type="checkbox"/>	Landfill Consulting and Engineering Services
<input type="checkbox"/>	Solid Waste Consulting Services
<input type="checkbox"/>	Electric Marketing, Procurement and Consulting Services
<input type="checkbox"/>	Land Surveying

2. DEFINITIONS

Unless otherwise defined herein, all terms that are not defined and used in this Statement Of Qualifications Form shall have the same respective meanings assigned to such terms in the Contract Documents.

3. TERMS AND CONDITIONS

The undersigned (the "SOQ Submitter") accepts and agrees to all terms and conditions of the Request For Qualifications, Instructions To Firms, the Agreement and any Addenda to

any such documents. This SOQ shall remain open and subject to acceptance for one hundred twenty (120) days after the SOQ due date.

If CRRA issues a Notice Of Award to SOQ Submitter, SOQ Submitter shall within ten (10) days after the date thereof:

- (a) Execute and deliver to CRRA the two attached counterparts of the non-negotiable Agreement;
- (b) Execute and deliver to CRRA the Contractor's Certification Concerning Gifts;
- (c) Deliver to CRRA the requisite certificates of insurance;
- (d) Execute and deliver to CRRA all other Contract Documents attached to the Notice Of Award along with any other documents required by the Contract Documents; and
- (e) Satisfy all other conditions of the Notice Of Award.

4. SOQ SUBMITTER'S OBLIGATIONS

The SOQ Submitter proposes and agrees, if this SOQ is accepted by CRRA and CRRA issues a Notice Of Award to the SOQ Submitter, to the following:

- (a) To perform, furnish and complete all the Services as specified or indicated in the Contract Documents and Agreement for the applicable prices, rates and/or costs set forth in this SOQ and in accordance with the terms and conditions of the Contract Documents and Agreement;
- (b) At the request of CRRA and if the successful SOQ Submitter qualifies, to apply with the State of Connecticut Department of Administrative Services, and do all that is necessary to make itself qualify, as a Small Contractor and/or Minority/Women/Disabled Person Business Enterprise in accordance with Section 4a-60g of the *Connecticut General Statutes*.

5. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING NON-NEGOTIABILITY OF THE AGREEMENT

In submitting this SOQ, the SOQ Submitter acknowledges and agrees that the terms and conditions of the Agreement (including all Exhibits thereto), as included in the RFQ, are non-negotiable, other than as set forth on the Business Exception Form (Section 4.11 of the RFQ Package Documents) and the SOQ Submitter is willing to and shall, if CRRA accepts its SOQ for the Services and issues a Notice Of Award to the SOQ Submitter, execute such Agreement. However, CRRA reserves the right to negotiate with the SOQ Submitter over the SOQ Submitter's rates for the Services submitted on its Payment Rate Schedule Form.

6. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING EXAMINATION OF CONTRACT DOCUMENTS

In submitting this SOQ, the SOQ Submitter represents that:

- (a) The SOQ Submitter has thoroughly examined and carefully studied the RFQ Package Documents and the following Addenda, receipt of which is hereby acknowledged (list Addenda by Addendum number and date):

Addendum Number	Date Issued

- (b) Without exception the SOQ is premised upon performing, furnishing and completing the Services required by the Contract Documents and applying the specific means, methods, techniques, sequences or procedures (if any) that may be shown, indicated or expressly required by the Contract Documents;
- (c) The SOQ Submitter is fully informed and is satisfied as to all Laws And Regulations that may affect cost, progress, performance, furnishing and/or completion of the Services;
- (d) The SOQ Submitter has studied and carefully correlated the SOQ Submitter's knowledge and observations with the Contract Documents and such other related data;
- (e) The SOQ Submitter has given CRRA written notice of all conflicts, errors, ambiguities and discrepancies that the SOQ Submitter has discovered in the Contract Documents and the written resolutions thereof by CRRA are acceptable to the SOQ Submitter;
- (f) If the SOQ Submitter has failed to promptly notify CRRA of all conflicts, errors, ambiguities and discrepancies that the SOQ Submitter has discovered in the Contract Documents, such failure shall be deemed by both the SOQ Submitter and CRRA to be a waiver to assert these issues and claims in the future;
- (g) The SOQ Submitter is aware of the general nature of work to be performed by CRRA and others that relates to the Services for which this SOQ is submitted; and

- (h) The Contract Documents are generally sufficient to indicate and convey understanding by the SOQ Submitter of all terms and conditions for performing, furnishing and completing the Services for which this SOQ is submitted.

7. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING INFORMATION MADE AVAILABLE

In submitting this SOQ, the SOQ Submitter acknowledges and agrees that the SOQ Submitter shall not use any information made available to it or obtained in any examination made by it in connection with this RFQ in any manner as a basis or grounds for a claim or demand of any nature against CRRA arising from or by reason of any variance which may exist between information offered or so obtained and the actual materials, conditions, or structures encountered during performance of any of the Services.

8. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING STATE OF CONNECTICUT TAXES

In submitting this SOQ, the SOQ Submitter acknowledges and agrees that CRRA is exempt from all State of Connecticut taxes and assessments, including sales and use taxes. Accordingly, the SOQ Submitter shall not charge CRRA any State of Connecticut taxes or assessments at any time in connection with the SOQ Submitter's performance of this Agreement, nor shall the SOQ Submitter include any State of Connecticut taxes or assessments in any rates, costs, prices or other charges to CRRA hereunder. The SOQ Submitter represents and warrants that no State of Connecticut taxes or assessments were included in any rates, costs, prices or other charges presented to CRRA in any SOQ or other submittal to CRRA in connection with this RFQ.

9. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING DISCLOSURE OF INFORMATION

In submitting this SOQ, the SOQ Submitter:

- (a) Recognizes and agrees that CRRA is subject to the Freedom of Information provisions of the *Connecticut General Statutes* and, as such, any information contained in or submitted with or in connection with the SOQ Submitter's SOQ is subject to disclosure if required by law or otherwise; and
- (b) Expressly waives any claim(s) that the SOQ Submitter or any of its successors and/or assigns has or may have against CRRA or any of its directors, officers, employees or authorized agents as a result of any such disclosure.

10. SOQ SUBMITTER'S REPRESENTATIONS CONCERNING NON-COLLUSION

By submission of this SOQ, the SOQ Submitter, together with any affiliates or related persons, the guarantor, if any, and any joint ventures, hereby represents that, under risk of termination of the Agreement, if awarded, to the best of its knowledge and belief:

- (a) The prices in the SOQ have been arrived at as the result of an independent business judgment without collusion, consultation, communication, agreement or otherwise for the purpose of restricting competition, as to any matter relating to such prices and any other person or company;
- (b) Unless otherwise required by law, the prices that have been quoted in this SOQ have not, directly or indirectly, been knowingly disclosed by the SOQ Submitter prior to “opening” to any other person or company;
- (c) No attempt has been made or will be made by the SOQ Submitter to induce any other person, partnership or corporation to submit, or not to submit, an SOQ for the purpose of restricting competition;
- (d) The SOQ Submitter has not directly or indirectly induced or solicited any other firm to submit a false or sham SOQ; and
- (e) The SOQ Submitter has not sought by collusion to obtain for itself any advantage for the Services over any other firm for the Services or over CRRA.

11. SOQ SUBMITTER’S REPRESENTATIONS CONCERNING RFQ FORMS

By submission of this SOQ, the SOQ Submitter, together with any affiliates or related business entities or persons, the guarantor, if any, and any joint ventures, hereby represents that, under risk of termination of the Agreement, if awarded, all of the forms included in the RFQ Package Documents that are submitted to CRRA as part of its SOQ are identical in form and content to the preprinted forms in the RFQ Package Documents except that information requested by the forms has been inserted in the spaces on the forms provided for the insertion of such requested information.

12. SOQ SUBMITTER’S WAIVER OF DAMAGES

The SOQ Submitter and all its affiliates and subsidiaries understand that by submitting an SOQ, the SOQ Submitter is acting at its and their own risk and the SOQ Submitter does for itself and all its affiliates, subsidiaries, successors and assigns hereby waive any rights any of them may have to receive any damages for any liability, claim, loss or injury resulting from:

- (a) Any action or inaction on the part of CRRA or any of its directors, officers, employees or authorized agents concerning the evaluation, selection, non-selection and/or rejection of any or all SOQs by CRRA or any of its directors, officers, employees or authorized agents;
- (b) Any agreement entered into for the Services (or any part thereof) described in the Contract Documents; and/or
- (c) Any award or non-award of a contract for the Services (or any part thereof) pursuant to the Contract Documents.

13. SOQ SUBMITTER'S REPRESENTATION REGARDING THE CONNECTICUT CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

With regard to a State contract as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to CRRA's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising prospective state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See Section 4.10 [SEEC Form 11] of the RFQ Package Documents.

14. ATTACHMENTS

The following documents are attached hereto and made a part of this SOQ:

- (a) The completed Payment Rate Schedule Form;
- (b) A completed Firm Background And Experience Form for each Category Of Services for which the SOQ Submitter wishes to be considered;
- (c) A completed Personnel Background And Experience Form for each Category Of Services for which the SOQ Submitter wishes to be considered;
- (d) The completed Business Disclosure Form;
- (e) A completed References Form for each Category Of Services for which the SOQ Submitter wishes to be considered;
- (f) The Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety that has been completely filled out by the SOQ Submitter;
- (g) The Affidavit Concerning Nondiscrimination that has been completely filled out and signed by the SOQ Submitter and signed before a Notary Public or Commissioner of the Superior Court, with the SOQ Submitter's nondiscrimination policies and procedures attached;
- (h) The Background Questionnaire that has been completely filled out by the SOQ Submitter and signed before a Notary Public or Commissioner of the Superior Court;
- (i) A copy of the SOQ Submitter's up-to-date certificate of insurance showing all coverages required by Section 6.1 of the Agreement;
- (j) An electronic version of the completed Payment Rate Schedule Form on compact disc ("CD") (to be submitted only with the original copy of the SOQ); and

- (k) Brief resumes (i.e., no more than two pages per individual) of each individual listed in the Personnel Background And Experience Forms.

15. NOTICES

Communications concerning this SOQ should be addressed to the SOQ Submitter at the address set forth below.

SOQ Submitter Name:	
SOQ Submitter Contact:	
Title:	
Address 1:	
Address 2:	
City, State, Zip Code	
Telephone Number:	
Fax Number:	
E-Mail Address:	

16. ADDITIONAL REPRESENTATION

The SOQ Submitter hereby represents that the undersigned is duly authorized to submit this SOQ on behalf of the SOQ Submitter.

AGREED TO AND SUBMITTED ON _____, 20____

Name of SOQ Submitter:	
Signature of SOQ Submitter Representative:	
Name (Typed/Printed):	
Title (Typed/Printed):	



**PAYMENT RATE
SCHEDULE FORM**

Name of SOQ Submitter:	
Name of RFQ	Consulting, Engineering and Land Surveying Services

Each firm that submits a Statement of Qualifications (“SOQ”) must submit the information requested on the forms on the following pages.

1. Billing Rates

In the Billing Rates Table on Page 2, the SOQ submitter must list staff level, name, title and hourly billing rate for each professional who would be assigned to work with CRRA. Only the professionals listed here will be authorized to work on CRRA matters unless other professionals are specifically authorized by CRRA. If the SOQ submitter has discounted rates for government entities, such as CRRA, those rates should be listed. Indicate on an attached sheet any other specialized billing arrangements you will make available to CRRA.

In the “Staff Level” column, SOQ submitter should indicate the pay grade of the individual listed in that column under the pay grade system used by the SOQ submitter.

2. Ancillary Services Rates

In the Ancillary Services Rates Table on Page 3, the SOQ submitter must provide the rate at which applicable ancillary services are billed, including, but not limited to:

- Drafting;
- Work processing;
- Copying (per page)
- Computer time; and
- Any other services (excluding telephones) for which the SOQ submitter routinely bills.

BILLING RATES
(Provide Billing Rates Below)
(Use Additional Sheets If Necessary)

Staff Level	Name and Title	Hourly Rates		
		FY 2014 (07/01/13 – 06/30/14)	FY 2015 (07/01/14 – 06/30/15)	FY 2016 (07/01/15 – 06/30/16)

ANCILLARY SERVICES RATES
(Provide Rates Below)
(Use Additional Sheets If Necessary)

Ancillary Service	Rates		
	FY 2014 (07/01/13 – 06/30/14)	FY 2015 (07/01/14 – 06/30/15)	FY 2016 (07/01/15 – 06/30/16)
Drafting			
Word Processing			
Copying (Per Page)			
Computer Time			
Travel in SOQ Submitter-Owned Vehicle (Per Mile)			
Any Other Services For Which You Routinely Bill (List Below)			



FIRM BACKGROUND AND EXPERIENCE FORM

In the space below, summarize work performed/services provided of a similar nature to that specified in the RFQ Package Documents which have been performed by the SOQ submitter and which will enable CRRRA to evaluate the experience and professional capabilities of the SOQ submitter.

Prepare and submit a separate Background And Experience Form for each Category Of Services for which the SOQ submitter wishes to be considered.

CATEGORY OF SERVICES

In the table below, check the box for the Category of Services for which this Background And Experience Form is being submitted.

<input type="checkbox"/>	General Engineering Services
<input type="checkbox"/>	Resource Recovery and Recycling Consulting and Engineering Services
<input type="checkbox"/>	Environmental Consulting and Engineering Services
<input type="checkbox"/>	Landfill Consulting and Engineering Services
<input type="checkbox"/>	Solid Waste Consulting Services
<input type="checkbox"/>	Electric Marketing, Procurement and Consulting Services
<input type="checkbox"/>	Land Surveying

BACKGROUND AND EXPERIENCE

[Attach Additional Pages If Necessary]



PERSONNEL BACKGROUND AND EXPERIENCE FORM

In the space below, for each Category Of Services for which the SOQ Submitter wishes to be considered, provide the requested information on the professionals who would be assigned to work with CRRA.

In completing the forms below, please note the following:

- In the “Staff Level” item, indicate the individual’s staff level as specified on the Payment Rate Schedule Form (Section 5 of the RFQ Package Documents).
- In the “% of Time Available” item, indicate the percentage of the individual’s time that he/she would be available to provide services to CRRA.
- Any particular individual may be identified to be assigned to work with CRRA for more than one Category of Services. When such is the case, use the space labeled “Other Categories Of Services” to indicate all of the Categories Of Services for which the individual might be involved.

If more than 10 individuals would be assigned to work with CRRA for a particular Category Of Services, copy page 6 of this form and use it to provide the requested information for the additional individuals.

Provide a brief resume (i.e., no more than two pages) of each individual listed on this and other Personnel Background And Experience Forms, if any, as Appendix A to the SOQ. Please provide only one resume for each individual identified, regardless of how many Categories Of Services he/she might be assigned.

Prepare and submit a separate Personnel Background And Experience Form for each Category Of Services for which the SOQ Submitter wishes to be considered.

CATEGORY OF SERVICES

In the table below, check the box for the Category of Services for which this Personnel Background And Experience Form is being submitted.

<input type="checkbox"/>	General Engineering Services
<input type="checkbox"/>	Resource Recovery and Recycling Consulting and Engineering Services
<input type="checkbox"/>	Environmental Consulting and Engineering Services
<input type="checkbox"/>	Landfill Consulting and Engineering Services
<input type="checkbox"/>	Solid Waste Consulting Services
<input type="checkbox"/>	Electric Marketing, Procurement and Consulting Services
<input type="checkbox"/>	Land Surveying

PROFESSIONAL 1

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 2

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 3

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 4

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 5

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 6

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 7

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 8

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 9

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			

PROFESSIONAL 10

Name:		Staff Level:	
Title:		% of Time Available:	
Probable areas of responsibility:			
Other Categories Of Services:			
Background:			



**BUSINESS DISCLOSURE
FORM**

SOQ Submitter (hereinafter referred to as "Consultant") must provide the information requested in the following sections/tables.

1. CONFLICTS OF INTEREST

In the table below, disclose any material assignments, relationships or other employment that the Consultant or any employee of the Consultant has with any member of CRRA's past or present Board of Directors, any CRRA employee, governmental entity, or other person or entities that may create a conflict of interest or the appearance of a conflict of interest in providing to CRRA the Services that are the subject of this solicitation.

[Attach Additional Pages If Necessary]

--

2. CONFLICT OF INTEREST MEASURES

In the table below, discuss any measures that the Consultant either has in place or would take to identify, disclose and resolve any possible conflicts of interest.

[Attach Additional Pages If Necessary]

--

3. BUSINESS WITH MAJOR CRRA CURRENT AND FORMER CONTRACTORS

In the table below, disclose any services similar to the Services that are the subject of this solicitation that the Consultant has provided to any of the following major CRRA current and former contractors. Place a check in the box for any such contractor for which the Consultant has provided the services. If the Consultant has provided any such services, provide a summary description of the services provided.

Having provided the services similar to the Services that are the subject of this solicitation to one or more of the contractors listed below does not disqualify a Consultant from consideration under this solicitation.

[Attach Additional Pages If Necessary]

Entity	Summary Description of Services Provided
<input type="checkbox"/> Covanta	
<input type="checkbox"/> Copes Rubbish Service	
<input type="checkbox"/> CWPM, LLC	
<input type="checkbox"/> The Metropolitan District	
<input type="checkbox"/> NAES Corporation	
<input type="checkbox"/> Wheelabrator (Waste Management)	
<input type="checkbox"/> ReCommunity/ FCR, LLC	



REFERENCES FORM

In the tables below, provide the information requested for three (3) references who can attest to the quality of work performed/services provided by the SOQ Submitter. The references should not be affiliated with CRRA.

Prepare and submit a separate References Form for each Category Of Services for which the SOQ Submitter wishes to be considered. Any particular reference may serve as a reference for more than one Category Of Services.

CATEGORY OF SERVICES

In the table below, check the box for the Category of Services for which this References Form is being submitted.

<input type="checkbox"/>	General Engineering Services
<input type="checkbox"/>	Resource Recovery and Recycling Consulting and Engineering Services
<input type="checkbox"/>	Environmental Consulting and Engineering Services
<input type="checkbox"/>	Landfill Consulting and Engineering Services
<input type="checkbox"/>	Solid Waste Consulting Services
<input type="checkbox"/>	Electric Marketing, Procurement and Consulting Services
<input type="checkbox"/>	Land Surveying

REFERENCE 1

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
Brief Description Of Work Performed:	

REFERENCE 2

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
Brief Description Of Work Performed:	

REFERENCE 3

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
Brief Description Of Work Performed:	



QUESTIONNAIRE CONCERNING AFFIRMATIVE ACTION, SMALL BUSINESS CONTRACTORS AND OCCUPATIONAL HEALTH AND SAFETY

Because CRRA is a political subdivision of the State of Connecticut, it is required by various statutes and regulations to obtain background information on prospective contractors prior to entering into a contract. The questions below are designed to assist CRRA in procuring this information. Many of the questions are required to be asked by RCSA 46a-68j-31. For the purposes of this form, "Contractor" means Bidder, Proposer or Statement of Qualifications Submitter, as appropriate.

	Yes	No
1. Is the Contractor an Individual? <i>If you answered "Yes" to Question 1, skip to Question 2. If you answered "No" to Question 1, proceed to Question 1A and then to Question 2.</i>	<input type="checkbox"/>	<input type="checkbox"/>
1A. How many employees does the Contractor have? <input type="text"/>		
2. Is the Contractor a Small Business Enterprise based on the criteria in Schedule A? <i>If you answered "Yes" to Question 2, proceed to Question 2A and then to Question 3. If you answered "No" to Question 2, skip to Question 3.</i>	<input type="checkbox"/>	<input type="checkbox"/>
2A. Is the Contractor certified by DAS as a Small Business Enterprise? ¹	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Contractor a Minority Owned Business Enterprise based on the criteria in Schedule B? <i>If you answered "Yes" to Question 3, proceed to Question 3A and then to Question 4. If you answered "No" to Question 3, skip to Question 4.</i>	<input type="checkbox"/>	<input type="checkbox"/>
3A. Is the Contractor certified by DAS as a Minority Owned Business Enterprise? ¹	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the Contractor have an Affirmative Action Plan? ² <i>If you answered "Yes" to Question 4, proceed to Question 4A and then to Question 5. If you answered "No" to Question 4, skip to Question 4B and then to Question 5.</i>	<input type="checkbox"/>	<input type="checkbox"/>
4A. Has the Affirmative Action Plan been approved by the CHRO?	<input type="checkbox"/>	<input type="checkbox"/>
4B. Will the Contractor develop and implement an Affirmative Action Plan?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the Contractor have an apprenticeship program complying with RCSA 46a-68-1 through 46a-68-17?	<input type="checkbox"/>	<input type="checkbox"/>
6. Has the Contractor been cited for three or more willful or serious violations of any occupational safety and health act?	<input type="checkbox"/>	<input type="checkbox"/>
7. Has the Contractor received one or more criminal convictions related to the injury or death of any employee in the three-year period preceding the issuance of this Request For Bids/Proposals/Qualifications?	<input type="checkbox"/>	<input type="checkbox"/>
8. Has the Contractor been the recipient of one or more ethical violations from the State of Connecticut Ethics Commission during the three-year period preceding the issuance of this Request For Bids/Proposals/Qualifications?	<input type="checkbox"/>	<input type="checkbox"/>
9. Will subcontractors be involved? <i>If you answered "Yes" to Question 9, proceed to Question 9A. If you answered "No" to Question 9, you are finished with the questionnaire.</i>	<input type="checkbox"/>	<input type="checkbox"/>
9A. How many subcontractors will be involved? <input type="text"/>		

LIST OF ACRONYMS

- RCSA – Regulations of Connecticut State Agencies
- CHRO – State of Connecticut Commission on Human Rights and Opportunities
- DAS – State of Connecticut Department of Administrative Services

FOOTNOTES

- ¹ If the Contractor answered “yes” to Question 2A and/or 3A, Contractor must attach a copy of its DAS Set-Aside Certificate to this Questionnaire.
- ² If the Contract is a "public works contract" (as defined in Section 46a-68b of the Connecticut General Statutes), the dollar amount exceeds Fifty Thousand Dollars (\$50,000.00) in any fiscal year, and the Contractor has fifty (50) or more employees, the Contractor, in accordance with the provisions of Section 46a-68c of the Connecticut General Statutes, shall develop and file an affirmative action plan with the Connecticut Commission on Human Rights and Opportunities.

**SCHEDULE A
CRITERIA FOR A SMALL BUSINESS ENTERPRISE**

Contractor must meet all of the following criteria to qualify as a Small Business Enterprise:

1. Has been doing business under the same ownership or management and has maintained its principal place of business in the Connecticut for at least one year immediately prior to the issuance of the Request For Bids/ Proposals/Qualifications;
2. Has had gross revenues not exceeding fifteen million dollars (\$15,000,000) during its most recent fiscal year; and
3. At least 51% of the ownership of the Contractor is held by a person(s) who exercises the operational authority over daily affairs of the business and has the power to direct policies and management and receives beneficial interests of the business.

**SCHEDULE B
CRITERIA FOR A MINORITY OWNED BUSINESS ENTERPRISE**

Contractor must meet all of the following criteria to qualify as a Minority Owned Business Enterprise:

1. Satisfies all of the criteria in Schedule A for a Small Business Enterprise;
2. At least 51% of the ownership of the Contractor by one or more minority person(s) who exercises operational authority over daily affairs of the business, has the power to direct management and policies and receives the beneficial interests of the business;
3. A minority is a person(s) who is American Indian, Asian, Black, Hispanic, has origins in the Iberian Peninsula, a woman, or an individual with a disability.

CONNECTICUT GENERAL STATUTES SECTION 46a-68b

As used in this section and sections 4a-60, 4a-60a, 4a-60g, 4a-62, 46a-56 and 46a-68c to 46a-68k, inclusive: "Public works contract" means any agreement between any individual, firm or corporation and the state or any political subdivision of the state other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the state, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.



**AFFIDAVIT CONCERNING
NONDISCRIMINATION**

This Affidavit must be completed and properly executed under penalty of false statement by a chief executive officer, president, chairperson, member or other corporate officer duly authorized to adopt company, corporate or partnership policy of the business entity submitting a bid/proposal/statement of qualifications to the Connecticut Resources Recovery Authority that certifies such business entity complies with the nondiscrimination agreement and warranties contained in Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, regarding nondiscrimination against persons on account of their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability, physical disability or sexual orientation.

I, the undersigned, am over the age of eighteen and understand and appreciate the obligation of an oath. I am _____ (title) of _____ (firm name), an entity duly formed and existing under the laws of _____ (name of state or commonwealth) ("Contractor").

I certify that I am authorized to execute and deliver this affidavit on behalf of Contractor, as follows:

1. Contractor seeks to enter into the "AGREEMENT FOR CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES" (the "Agreement") with the Connecticut Resources Recovery Authority; and
2. Contractor has in place a company or corporate policy that complies with the nondiscrimination agreements and warranties required under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, and the said company or corporate policy is in effect as of the date hereof.

By (Signature): _____

Name (Print): _____

Title: _____

Sworn to before me this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court

Commission Expiration Date

Sections 4a-60(a)(1) and 4a-60a(a)(1) of the Connecticut General Statutes follow.

Sec. 4a-60. (Formerly Sec. 4-114a). Nondiscrimination and affirmative action provisions in contracts of the state and political subdivisions other than municipalities.

- (a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions:
 - (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut; and the contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, intellectual disability, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved;

Sec. 4a-60a. Contracts of the state and political subdivisions, other than municipalities, to contain provisions re nondiscrimination on the basis of sexual orientation.

- (a) Every contract to which the state or any political subdivision of the state other than a municipality is a party shall contain the following provisions:
 - (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation;



BACKGROUND QUESTIONNAIRE

This Questionnaire must be completed and properly executed by an individual or business entity submitting a bid/proposal/statement of qualifications to the Connecticut Resources Recovery Authority (such individual or business entity hereinafter referred to as the "Contractor").

Please answer the following questions by placing an "X" in the appropriate box.

	Yes	No
<p>1. Has the Contractor or any of the following ever been the subject of a criminal investigation?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor.</p> <p><i>If you answered "Yes" to Question 1, proceed to Question 1A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.</i></p> <p><i>If you answered "No" to Question 1, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>1A. Has any indictment arisen out of any such investigation?</p> <p><i>If you answered "Yes" to Question 1A, proceed to Question 2 and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.</i></p> <p><i>If you answered "No" to Question 1A, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>2. Has the Contractor or any of the following ever been the subject of a civil investigation?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor.</p> <p><i>If you answered "Yes" to Question 2, proceed to Question 3 and, on a separate sheet of paper, state the following: the court or other forum in which the investigation took or is taking place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; and the status of the investigation.</i></p> <p><i>If you answered "No" to Question 2, proceed to Question 3.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
<p>3. Has any entity (e.g., corporation, partnership, etc.) in which any of the following has an ownership interest of 50% or more in such entity ever been the subject of a criminal investigation?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor.</p> <p><i>If you answered "Yes" to Question 3, proceed to Question 3A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.</i></p> <p><i>If you answered "No" to Question 3, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3A. Has any indictment arisen out of any such investigation?</p> <p><i>If you answered "Yes" to Question 3A, proceed to Question 4 and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.</i></p> <p><i>If you answered "No" to question 3A, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>4. Has any entity (e.g., corporation, partnership, etc.) in which any of the following has an ownership interest of 50% or more in such entity ever been the subject of a civil investigation?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor.</p> <p><i>If you answered "Yes" to Question 4, proceed to Question 5 and, on a separate sheet of paper state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; and the status of the investigation.</i></p> <p><i>If you answered "No" to question 4, proceed to Question 5.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>5. Has the Contractor or any of the following ever been debarred from bidding on, or otherwise applying for, any contract with the State of Connecticut or any other governmental authority?</p> <p>(a) A principal of the Contractor; (b) An owner of the Contractor; (c) An officer of the Contractor; (d) A partner in the Contractor; (e) A director of the Contractor; or (f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor.</p> <p><i>If you answered "Yes" to Question 5, proceed to the Certification on the following page and, on a separate sheet of paper please explain.</i></p> <p><i>If you answered "No" to question 5, proceed to the Certification on the following page.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

CERTIFICATION

Signature: _____

Name (print/type): _____

Title: _____

State Of: _____

County Of: _____

_____, being fully sworn, deposes and says that
he/she is the _____ (Title) of
_____ (Firm Name),
the Contractor herein, that he/she has provided answers to the foregoing questions on the Contractor's
background, and, under the penalty of perjury, certifies that each and every answer is true.

Sworn to before me this _____ day of _____ 20 ____

Notary Public/Commissioner of the Superior Court

SEEC FORM 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the following page):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.



**BUSINESS EXCEPTION
FORM**

Using this form (add additional sheets of paper as needed), SOQ Submitter (hereinafter collectively referred to as “Consultant”) shall identify any portion of the Work required or described in the RFQ Package Documents, or any provision of the Agreement that Consultant desires to take exception to, including insurance, if any.

Consultant shall be specific regarding any exceptions listed. Consultant shall describe in detail the portion(s) of the Work or Agreement terms that the Consultant is taking exception to and why. Consultant shall also describe what, if any, alternative services, terms, or conditions Consultant is willing to provide or accept as a substitution for the Service, terms, or conditions to which Consultant has taken exception, if any.

If Consultant does not take exception to any portion of the Work required or described in this RFQ Package Documents or to any terms of the Agreement, Consultant shall simply indicate below that Consultant “takes no exceptions”, and submit this form along with the other Proposal forms as part of its Proposal submittal.

Note that CRRA will negotiate with Consultant on only those items identified by Consultant on this Business Exception Form. Also note that revisions to the services or Agreement will be at CRRA’s sole discretion. Also note that pursuant to State of Connecticut statutes and regulations, the Agreement contains a number of provisions that CRRA, as a quasi-public entity, is required to incorporate in all of its contracts and are, therefore, non-negotiable.

	Description of Exception Item	Reason for Exception	Proposed Alternative
1.			
2.			

	Description of Exception Item	Reason for Exception	Proposed Alternative
3.			
4.			
5.			
6.			
7.			

**REQUEST FOR QUALIFICATIONS
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING
SECTION 5
SAMPLE NOTICE OF AWARD**



NOTICE OF AWARD

TO: [NAME OF SUCCESSFUL SOQ SUBMITTER CONTACT]
[NAME OF SUCCESSFUL SOQ SUBMITTER]
[ADDRESS 1 OF SUCCESSFUL SOQ SUBMITTER]
[ADDRESS 2 OF SUCCESSFUL SOQ SUBMITTER]

RFQ NUMBER: 13-OP-002

CONTRACT: Agreement for Consulting, Engineering And Land Surveying Services

The Connecticut Resources Recovery Authority (“CRRA”) has considered the Statement Of Qualifications (“SOQ”) submitted by you dated [DATE] in response to CRRA’s Notice To Firms – Request For Qualifications for the above-referenced Services, which Services are more particularly described in the Agreement For Consulting, Engineering And Land Surveying Services (the “Services”).

You are hereby notified that your SOQ has been accepted for the following Category(s) of Services from time to time as the same may be requested by CRRA:

- (a) [CRRA WILL LIST EACH CATEGORY OF SERVICES FOR WHICH THE SOQ SUBMITTER HAS BEEN SELECTED].

Within ten (10) days from the date of this Notice of Award you are required to:

- (a) Execute the two attached counterparts of the non-negotiable Agreement and deliver such executed counterparts to CRRA. Such execution includes entering the requested information in the “Notices” Section (Section 7.7, Page 21) of the Agreement, signing the Agreement (Page 24), printing the signer’s name under the signature line (Page 24) and printing the signer’s title following the word “Its” (Page 24);
- (b) Execute the two attached counterparts of the Affidavit Concerning Consulting Fees;
- (c) Execute the two attached counterparts of the Contractor’s Certification Concerning Gifts and deliver such executed Certification to CRRA;
- (d) Deliver to CRRA the requisite certificates of insurance showing all of the coverages required by Section 6.1 of the Agreement [Please be advised that this is the area in which Consultants seem to have the most difficulty. CRRA requires that the certificate submitted show evidence of exactly the insurance requirements specified in the Agreement. For example, if the Agreement specifies automobile insurance for “any” vehicles, the “any” vehicle box on the certificate must be checked];

- (e) Complete and deliver to CRRA the attached Form W-9, "Request for Taxpayer Identification Number and Certification;" and
- (f) Satisfy all other conditions set forth herein.

As you have agreed, the terms and conditions of the Agreement, as attached, are non-negotiable.

If you fail within ten (10) days from the date of this Notice Of Award to perform and complete any of your obligations set forth in items (a) through (e) above, CRRA will be entitled to consider all your rights arising out of CRRA's acceptance of your SOQ as abandoned and terminated. CRRA will also be entitled to such other rights and remedies as may be granted at law or in equity.

You are required to acknowledge your receipt of this Notice Of Award by signing below and returning the same to CRRA at the following address:

Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, CT 06103
Attention: Roger Guzowski

Dated this [DAY] day of [MONTH], 2013.

Connecticut Resources Recovery Authority

By: _____
Roger Guzowski

Title: Contract and Procurement Manager

ACCEPTANCE OF NOTICE

Receipt of this NOTICE OF AWARD is hereby acknowledged this _____ day of _____, 2013.

By:

Signature: _____

Name (print/type): _____

Title: _____

**REQUEST FOR QUALIFICATIONS
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING
SECTION 6
FORM OF AGREEMENT AND EXHIBITS**

AGREEMENT FOR CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES

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This **AGREEMENT FOR CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES** (the “Agreement”) is made and entered into as of this 1st day of July, 2013 (the “Effective Date”) by and between the **CONNECTICUT RESOURCES RECOVERY AUTHORITY**, a body politic and corporate, constituting a public instrumentality and political subdivision of the State of Connecticut, having its principal offices at 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103 (“CRRA”) and **[NAME OF FIRM]**, having a principal place of business at **[ADDRESS OF FIRM]** (“Consultant”).

PRELIMINARY STATEMENT

WHEREAS, CRRA is the owner or lessee of certain pieces and parcels of real property located throughout the State of Connecticut (collectively, the “Properties”) upon which Properties CRRA owns and operates various solid waste management and/or disposal facilities (collectively, the “Facilities”); and

WHEREAS, CRRA now desires to enter into this Agreement in order to have Consultant render certain independent consulting, engineering and land surveying services for CRRA in accordance the terms and conditions of this Agreement;

NOW, THEREFORE, in consideration of the mutual covenants, promises, and representations contained herein, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto agree as follows.

1. DEFINITIONS, CONSTRUCTION AND INTERPRETATION

1.1 Definitions

As used in this Agreement and in other Contract Documents (as defined herein) the following terms shall have the meanings as set forth below:

- (a) “**Addenda**” means written or graphic documents issued prior to the statement of qualifications due date, which clarify, correct or change any or all of the Contract Documents.
- (b) “**Contract Documents**” means this Agreement (including all exhibits attached hereto), Notice To Firms – Request For Qualifications, Instructions To Firms, Addenda, Consultant’s Statement Of Qualifications (“SOQ”) (including all documentation accompanying such SOQ, all other documentation submitted in connection with such SOQ, and all post-SOQ documentation submitted prior to the Notice Of Award), Notice Of Award, and any written amendments to any of the Contract Documents.
- (c) “**Effective Date**” means the date set forth above in this Agreement.

- (d) **“Laws And Regulations”** means any and all applicable current or future laws, rules, regulations, ordinances, codes, orders and permits of any and all federal, state and local governmental and quasi-governmental bodies, agencies, authorities and courts having jurisdiction.
- (e) **“Notice Of Award”** means written notification from CRRA to the apparent successful SOQ submitter(s) which states that CRRA has accepted such SOQ submitter’s SOQ and sets forth the remaining conditions that must be fulfilled by such SOQ submitter before CRRA executes the Agreement.

1.2 Construction And Interpretation

For purposes of this Agreement:

- (a) Capitalized terms used herein shall have the meanings set forth herein;
- (b) Whenever nouns or pronouns are used in this Agreement, the singular shall mean the plural, the plural shall mean the singular, and any gender shall mean all genders or any other gender, as the context may require;
- (c) Words that have well-known technical or trade meanings are used herein in accordance with such recognized meanings unless otherwise specifically provided;
- (d) All accounting terms not otherwise defined herein have the meanings assigned to them in accordance with “generally accepted accounting principles,” and the term “generally accepted accounting principles” with respect to any computation required or permitted hereunder shall mean such accounting principles that are generally accepted as of the Effective Date of this Agreement;
- (e) The words “herein,” “hereof” and “hereunder” and words of similar import refer to this Agreement as a whole and not to any particular Section or Subsection;
- (f) Reference to any particular party shall include that party’s employees and the authorized agents of that party;
- (g) All references to agreements are references to the agreements as the provisions thereof that may be amended, modified or waived from time to time; and,
- (h) The captions contained in this Agreement have been inserted for convenience only and shall not affect or be effective to interpret, change or restrict the terms of provisions of this Agreement.
- (i) The Exhibits attached hereto are hereby incorporated into this Agreement and shall be deemed to be a part hereof;

- (j) The words “include” and “including” shall be deemed to be followed by the words “without limitation”; and
- (k) The Parties hereby acknowledge that the Parties and their counsel have reviewed this Agreement and hereby agree that any rule of construction to the effect that any ambiguities are to be resolved against the drafting Party shall NOT be employed in the interpretation of this Agreement, or any exhibits or amendments hereto.

2. SCOPE OF WORK

2.1 Consultant’s Responsibilities

Consultant shall be responsible for furnishing all labor, materials, supplies, tools, equipment and incidentals thereto to provide certain independent consulting, engineering and land surveying services to CRRA including, but not limited to, the Services described in **Exhibit A** attached hereto (collectively, the “Services”) and as identified as the category(ies) listed below as such Services may be requested from time to time by an Authorized Representative of CRRA on the terms specified in this Agreement:

- (a) [CRRA WILL LIST THE CATEGORY(IES) OF SERVICES FOR WHICH THE CONSULTANT HAS BEEN SELECTED].

2.2 Performance And Completion Of Services

Consultant agrees to perform the Services as an independent Consultant, consistent with:

- (a) Any and all instructions, guidance and directions provided by CRRA to Consultant;
- (b) The Contract Documents;
- (c) Sound consulting, engineering and land surveying practices;
- (d) The level of care and skill exercised by members of the consulting, engineering and land surveying field practicing under similar conditions and circumstances;
- (e) All Laws And Regulations; and
- (f) Any Request (as hereinafter defined) pursuant to which such Services are rendered.

Items (a) through (f) above are hereinafter collectively referred to as the “Standards.”

2.3 Authorized Representative Of CRRA

Consultant will only perform Services upon request from an Authorized Representative of CRRA. For purposes of this Agreement, the terms “Authorized Representative of CRRA” or “Authorized Representative” shall mean CRRA’s President (the “President”), CRRA’s Director of Operations and Environmental Affairs, or any person designated in writing to Consultant by the President. Any Services performed at the request of anyone who is not an Authorized Representative shall not be paid for by CRRA. CRRA and Consultant shall from time to time mutually agree on the method and manner of performing such Services.

2.4 Direction of Services

CRRA and/or its Authorized Representative may, where necessary or desired, provide Consultant with instructions, guidance and directions in connection with Consultant’s performance of the Services hereunder.

2.5 CRRA’s Inspection Rights

Consultant’s performance of the Services hereunder, as well as Consultant’s work products resulting from such performance, are subject to inspection by CRRA. Inspections may be conducted at any time by CRRA. In the event of an inspection, Consultant shall provide to CRRA any documents or other materials that may be necessary in order for CRRA to conduct the inspection. If, after any such inspection, CRRA is unsatisfied with Consultant’s performance of the Services hereunder or any of the work products resulting therefrom, Consultant shall, at the direction of CRRA, render such performance or work products satisfactory to CRRA at no additional cost or expense to CRRA and without any extension of the Project Schedule for the remaining Services. For purpose of this Section 2.5, CRRA shall mean CRRA and/or its Authorized Representative.

2.6 Change in Scope of Services

In the event that CRRA determines during the term of this Agreement that any revisions, modifications or changes are necessary to the Scope Of Services as set forth in Section 2.1 hereof, then pursuant to CRRA’s request, Consultant shall promptly commence and perform the services required for such revisions, modifications or changes, which services shall be performed in accordance with the Standards unless otherwise specifically agreed to in writing by CRRA and Consultant.

2.7 Access

In the event that Consultant requires access to any Facility or Property in order to perform any of the Services hereunder, CRRA hereby grants to Consultant, during the Facilities’ normal hours of operation, access to only those areas of the Properties necessary for Consultant to perform the Services hereunder, provided that:

- (a) Consultant shall not interfere with any other operations or activities being conducted on the Properties by either CRRA or any other person or entity;

- (b) Consultant directly coordinates with CRRA on such access and Consultant's storage of any equipment or materials on the Properties; and
- (c) Consultant is in compliance with all of the terms and conditions of this Agreement.

CRRA reserves the right to revoke the access granted to Consultant herein if Consultant fails to comply with any of the foregoing conditions of access.

2.8 CRRA Right to Exclude Certain Individuals

Without limitation of Consultant's overall responsibility for the acts and omissions of all on-site personnel and other employees, CRRA reserves the right to exclude anyone from the site who CRRA reasonably believes is a danger to themselves or any other Person, or to CRRA property.

2.9 Specific Services Request For Services

At its discretion, CRRA, through an Authorized Representative, may require that prior to undertaking work on a specific task, Consultant and an Authorized Representative mutually agree in writing upon a detailed Scope of Services required for such task, together with an estimate of the time, cost, and expenses for such Services. In such cases, CRRA will request performance of such Services by means of a written request in accordance with the format of **Exhibit B** attached hereto and made a part hereof (a "Request"). Accordingly, upon receipt and acceptance of a written Request, Consultant will perform such Services described in such Request in accordance with the terms of this Agreement and such Request.

If, during Consultant's performance of such Services, there is a change in Consultant's estimated time, cost or expenses for such Services, Consultant will promptly notify CRRA in writing of such change and shall not incur any costs or expenses exceeding those specified in the Request without prior written authorization from an Authorized Representative. CRRA shall not pay for any Services rendered or expenses incurred by Consultant in excess of those included in such Request unless specifically authorized in advance and in writing by an Authorized Representative.

2.10 Lobbying And Paying Finder's Fees

Pursuant to the *Connecticut General Statutes*, CRRA is prohibited from retaining or hiring a lobbyist as defined in section 1-91 of the *Connecticut General Statutes* or paying a finder's fee for any Services provided to CRRA. Therefore, Consultant shall not provide CRRA any lobbying services, or receive, pay, or distribute any finder's fees under this Agreement.

2.11 Progress Reports

If requested by CRRA, Consultant agrees to provide a progress report to CRRA by the 10th day of each calendar month for the Services which Consultant is performing. The report is to contain the following information in the format given:

- (a) Title of task;
- (b) Description of task;
- (c) Original schedule;
- (d) Original estimated budget by month in dollars and hours;
- (e) Progress in preceding month;
- (f) Estimated dollars and hours spent in preceding month;
- (g) Dollars and hours spent monthly, to date;
- (h) Problem areas; and
- (i) Description of activities for the coming month and estimated hours and dollars for such activities.

2.12 Proprietary Information

Consultant shall not use, publish, distribute, sell or divulge any information obtained from CRRA by virtue of this Agreement for Consultant's own purposes or for the benefit of any person, firm, corporation or other entity (other than CRRA) without the prior written consent of CRRA. Any report or other work product prepared by Consultant in connection with the performance of the Services hereunder shall be owned solely and exclusively by CRRA and cannot be used by Consultant for any purpose beyond the scope of this Agreement without the prior written consent of CRRA. Any material designated by CRRA in accordance with applicable law as confidential shall not be disclosed to any third parties without the prior written consent of CRRA. However, Consultant acknowledges that CRRA is subject to the Connecticut Freedom of Information Act and CRRA must disclose certain documents in accordance with said statutes. Consultant retains all of its rights in its inventions, expressions, know how, techniques, skills, knowledge and experience and materials used by it generally or provided by it generally to clients, and Consultant shall not be restricted in any way with respect thereto. The restrictions and agreements set forth in this Section 2.11 shall not apply to any information:

- (a) Which at the time disclosed to or obtained by Consultant is in the public domain;
- (b) Which becomes part of the public domain through no act, omission or fault of Consultant;
- (c) Which Consultant's records demonstrate was developed independently by Consultant or was received by Consultant from a third party which Consultant had no reason to believe had any confidentiality or fiduciary obligation to CRRA with respect to such information;

- (d) Which is required to be disclosed by law, including, without limitation, pursuant to the terms of a subpoena or other similar document; provided, however, Consultant shall give prior timely notice of such disclosure to CRRA to permit CRRA to seek a protective order, and, absent the entry of such protective order, Consultant shall disclose only such Confidential Information that Consultant is advised by its counsel must be disclosed by law; or
- (e) Following the lapse of five years after disclosure of such information to Consultant.

2.13 Books and Records

Consultant shall maintain proper books and records containing complete and correct information on all Services performed by Consultant pursuant to this Agreement in accordance with generally accepted accounting principles and practices. CRRA has the right to inspect and review all such books and records during Consultant's business hours.

2.14 Status of Consultant

CRRA and Consultant acknowledge and agree that Consultant is acting as an independent Consultant in performing any Services for CRRA hereunder and that Consultant shall perform such Services in its own manner and method subject to the terms of this Agreement. Nothing in this Agreement shall be construed or interpreted as creating a partnership, a joint venture, an agency, a master-servant relationship, an employer-employee relationship or any other relationship between CRRA and Consultant other than that of an owner and an independent contractor. Consultant is expressly forbidden from transacting any business in the name of or on account of CRRA, and Consultant has no power or authority to assume or create any obligation or responsibility for or on behalf of CRRA in any manner whatsoever.

2.15 Subcontractors

Consultant shall consult with CRRA before hiring any subcontractors to perform any Services hereunder. Consultant shall require all of its subcontractors to abide by the terms and conditions of this Agreement. Moreover, Consultant's subcontracts with such subcontractors shall specifically provide that, in the event of a default by Consultant thereunder or under this Agreement, CRRA may directly enforce such subcontracts and make payments thereunder. Consultant shall provide CRRA with all contracts, amendments, books, records, accounts, correspondence and other materials necessary to enforce such subcontracts. Also Consultant's subcontracts with its subcontractors shall specifically include CRRA as a third party beneficiary and shall provide that such subcontractors shall not be excused from any of their obligations under such subcontracts by reason of any claims, setoffs, or other rights whatsoever that they may have with or against Consultant other than through such subcontracts.

2.16 Consultant's Employees

All persons employed by Consultant shall be subject and responsible solely to the direction of Consultant and shall not be deemed to be employees of CRRA.

2.17 Restrictions On Parties

This Agreement shall not be construed to restrict either CRRA or Consultant from entering into other consulting agreements similar to this one with other parties, provided however Consultant shall not render services to another which would either be in conflict with the interests of CRRA or prevent Consultant from performing hereunder. Consultant shall not assign this Agreement or subcontract any of the Services to be performed hereunder without the prior written consent of the Authorized Representative.

3. COMPENSATION AND PAYMENT

3.1 Compensation Schedule

Consultant shall be paid by CRRA for the services rendered and expenses incurred under this Agreement on the basis set forth on Exhibit C attached hereto and made a part hereof. All Services provided by Consultant to CRRA must be approved in advance by CRRA or its Authorized Representative. Any Services rendered by Consultant that were not approved in advance by the Authorized Representative shall not be paid by CRRA even if said Services were requested by other CRRA staff.

Services rendered and expenses incurred during a particular fiscal year shall be paid by CRRA on the basis of the rates set forth in Exhibit C for that fiscal year. For the purposes of this Agreement, the term "fiscal year" shall mean the twelve (12) month period from July 1st through the following June 30th.

CRRA will not reimburse the costs of first-class travel and expects that travel arrangements will take advantage of any cost-effective discounts or special rates. Out of pocket expenses shall be reimbursed at cost provided they are consistent with CRRA's Travel and Expense Reporting document attached hereto and made a part hereof as Exhibit D, except that Consultant will be deemed to have met CRRA's "Receipt" requirements of such document if Consultant provides to CRRA with each billing

- (a) Receipts for all items greater than or equal to \$25 and
- (b) Copies of the Consultant's expense forms itemizing expenses incurred in providing Services to CRRA.

Consultant shall not be compensated for any time spent preparing any billing documentation, or any information requested by CRRA's in house accountants/auditors or outside auditors, State of Connecticut auditors, or CRRA in house accounting department, or related materials.

3.2 Bill Format

Consultant shall render a bill to CRRA each month for all of the Services performed and all of the costs and expenses incurred in the immediately preceding month pursuant to this Agreement. Each monthly bill shall contain at least the following information:

- (a) The name, title and billing rate for each person performing Services for which payment is sought;
- (b) A description of the Services performed by each person by task;
- (c) The time spent by each person;
- (d) Separate listing of all expenses incurred including copies of receipts or sub-consultant invoices;
- (e) The time period covered by the bill;
- (f) The Request for Service name and number to be charged;
- (g) The contract number for this Agreement (to be provided by CRRA); and;
- (h) The request for services identification number, if appropriate.

Consultant shall not carry forward balances. If a previous bill is unpaid, Consultant shall resubmit that periodic bill for payment. Group or block billing is not acceptable and bills with such billing will be returned unpaid to the firm for clarification and itemization.

Bills shall be accompanied by an itemization of disbursements and costs (long-distance calls, photocopying, transcripts, expert witnesses, court costs, etc.) and travel expenses shall be itemized separately to indicate travel, lodging, business meeting, meals, taxis and limousines and other expenses (specially detailed). Disbursements will be reimbursed at the firm's cost.

Consultant shall be solely responsible for the reporting of and payment of federal, state, and local income taxes, FICA and FUTA contributions and shall maintain any insurance coverage required by state or federal law in addition to any insurance required hereunder.

The format for all monthly bills is attached hereto as **Exhibit E** and made a part hereof.

3.3 Payment Procedure

If CRRA determines, in its sole discretion, that

- (a) The Services for which Consultant is requesting payment have been properly performed and completed in conformance with the Standards,
- (b) Consultant is not in default hereunder,

- (c) CRRA does not dispute the amount of the payment requested, and
- (d) The bill contains all of the information required hereunder,

then CRRA shall pay the amount requested within thirty (30) calendar days after its receipt of such bill.

If, however,

- (a) CRRA determines that any of the Services for which Consultant has requested payment is not in conformance with the Standards,
- (b) Such bill does not contain all the requisite information, or
- (c) Consultant is in default hereunder,

then CRRA may, in its sole and absolute discretion, withhold all or a portion of the payment requested by Consultant and Consultant shall, if requested by CRRA, immediately take, at Consultant's sole cost and expense, all action necessary to render such Services and/or bill in conformance with the Standards, or to cure such default.

CRRA shall have no obligation under this Agreement to pay for any Services that CRRA determines have not been performed and/or completed in conformance with the Standards, and CRRA shall have no obligation to pay Consultant any amount due Consultant under this Agreement if Consultant is in default hereunder. If CRRA disputes the amount in any written request for payment submitted by Consultant, CRRA shall have the right to withhold the disputed amount until the dispute is settled. CRRA shall notify Consultant of any disputed amount and the reason(s) for disputing such amount.

Consultant's acceptance of an assignment from CRRA will be deemed as Consultant's agreement to conform to CRRA's billing policies and procedures.

3.4 Accounting Obligations

Consultant shall maintain books and accounts of the costs incurred by Consultant in performing the Services pursuant to this Agreement by contract number and in accordance with generally accepted accounting principles and practices. CRRA, during normal business hours, for the duration of this Agreement, shall have access to such books and accounts to the extent required to verify such costs incurred.

3.5 Withholding Taxes And Other Payments

No FICA (social security) payroll tax, state or federal income tax, federal unemployment tax or insurance payments, state disability tax or insurance payments or state unemployment tax or insurance payments shall be paid or deposited by CRRA with respect to Consultant, nor be withheld from payment to Consultant by CRRA. No workers' compensation insurance has been or will be obtained by CRRA on account of the Services to be performed hereunder by

Consultant, or any of Consultant's employees or sub-consultants. Consultant shall be responsible for paying or providing for all of the taxes, insurance and other payments described or similar to those described in this Section 3.6 and Consultant hereby agrees to indemnify CRRA and hold CRRA harmless against any and all such taxes, insurance or payments, or similar costs which CRRA may be required to pay in the event that Consultant's status hereunder is determined to be other than that of an independent Consultant.

3.6 State of Connecticut Taxes

Pursuant to Section 22a-270 of the *Connecticut General Statutes* (as the same may be amended or superceded from time to time), CRRA is exempt from all State of Connecticut taxes and assessments ("Connecticut Taxes"), and the payment thereof. Without limiting the generality of the preceding sentence, the sale of any services or tangible personal property to be incorporated into or otherwise consumed in the operation of a CRRA Project is exempt from Connecticut Taxes, including without limitation Connecticut sales and use taxes, wherever purchased. Accordingly, Contractor shall not include in the fees, and Contractor shall not charge or pass through any Connecticut Taxes to CRRA, including that portion of any combined tax or assessment representing any Connecticut Taxes, regardless of whether Contractor has incurred any Connecticut State Taxes in its performance of the Agreement.

CRRA expresses no opinion as to the eligibility for any tax exemption, or refund or other reimbursement, including without limitation any Connecticut Taxes, with respect to tangible personal property purchased at any location for use in the performance of Work contemplated by this Agreement.

Contractor should consult with its tax advisor and/or its attorney, and the Connecticut Department of Revenue Services ("DRS") and any other applicable tax authority, with regard to such tax authorities' policies, procedures, recordkeeping and filing requirements for reimbursement of any taxes, including without limitation Connecticut Taxes, paid in the performance of Work contemplated by this Agreement, and whether or not there is a mechanism available to Contractor for the reimbursement of taxes, including without limitation Connecticut Taxes, paid on fuel purchased for use in the performance of the Work contemplated by this Agreement.

Contractor and CRRA agree that Contractor is and shall act as an independent contractor. Notwithstanding Contractor's status as an independent contractor, but without limiting Contractor's obligation hereunder to pay, and be solely responsible for, any Connecticut taxes levied, imposed or applicable to the Work, for the sole purpose of allowing CRRA to benefit from the aforesaid exemption, CRRA shall designate, and Contractor has agreed to act, as CRRA's agent in purchasing services and equipment, machinery, parts, materials, supplies, inventories, fuel, and other items necessary to perform the Services hereunder for the account of CRRA, and with funds provided as reimbursement therefore by CRRA.

3.7 Audit

CRRA reserves the right to review the reasonableness of all bills and expenses as they are billed to CRRA by Consultant. Upon reasonable notice from CRRA, Consultant agrees to allow CRRA to audit Consultant's files pertaining to CRRA's Services assigned to Consultant. Any such audit will be conducted on Consultant's premises and Consultant will be expected to produce any pertinent file information requested including Consultant's time and expense records.

For an audit, Consultant shall provide the following:

- (a) Access to files, records, bills in electronic forms, electronic daily billing reports and summaries;
- (b) Each employee's original bills and time slips for the services;
- (c) A list of hourly rates for each employee providing Services; and
- (d) A detailed explanation of Consultant's billing methods.

CRRA reserves the right to seek reimbursement of inappropriately billed time or expenses.

4. TERM OF AGREEMENT

4.1 Term

The term of this Agreement shall commence upon the Effective Date and shall terminate, unless otherwise terminated in accordance with the terms hereof, on June 30, 2016.

4.2 Time Is Of The Essence

CRRA and Consultant hereby acknowledge and agree that time is of the essence with respect to Consultant's performance of the Services hereunder. Accordingly, upon Consultant's receipt and acceptance of a Request, Consultant shall immediately commence performance of the Services requested and continue to perform the same during the term of this Agreement in order to complete all of the Services requested by the completion date set forth in such Request, if any.

4.3 Termination

This Agreement may be terminated by CRRA upon at least thirty (30) days advance written notice.

Upon receipt of such written notice from CRRA, Consultant shall immediately cease work on any and all CRRA matters, unless otherwise directed in writing by the Authorized Representative. Upon termination of this Agreement pursuant to this Section 4.3,

- (a) CRRA shall pay Consultant for all Services performed by Consultant prior to the termination date, provided:
 - (1) CRRA has determined that such Services have been performed by Consultant in conformance with the Standards;
 - (2) Payment for such Services has not been previously made or is not disputed by CRRA;
 - (3) Consultant is not in default hereunder; and,
 - (4) Consultant has performed all its obligations under this Section 4.3 to CRRA's satisfaction, and
- (b) CRRA shall have no further liability hereunder.

Except for the payment that may be required pursuant to the preceding sentence, CRRA shall not be liable to Consultant in any other manner whatsoever in the event CRRA exercises its right to terminate this Agreement.

Consultant shall transmit to CRRA originals or copies of any and all material prepared, developed or obtained under this Agreement in Consultant's possession within thirty (30) days of receipt of the written notice of termination unless otherwise directed by the Authorized Representative.

4.4 Records And Documents

Consultant shall retain and maintain accurate records and documents relating to the performance of Services under this Agreement for a minimum of three (3) years after final payment by CRRA and shall make them available for inspection and audit by CRRA. Consultant's obligations under this Section 4.4 shall survive the termination or expiration of this Agreement.

5. INDEMNIFICATION

5.1 Consultant's Indemnity

Consultant shall at all times protect, defend, indemnify and hold harmless CRRA and its board of directors, officers, agents and employees from and against any all liabilities, actions, claims, damages, losses, judgments, workers' compensation payments, costs and expenses (including but not limited to attorneys' fees) arising out of injuries to the person (including death), damages to property or other damages alleged to have been sustained by: (a) CRRA or any of its directors, officers, agents or employees, or (b) Consultant or any of its directors, officers, employees, agents or sub-consultants, or (c) any other person, to the extent any such injuries, damages or damages are caused or alleged to have been caused in whole or in part by the acts, omissions or negligence of Consultant or any of its directors, officers, employees, agents or

sub-consultants. Consultant further undertakes to reimburse CRRA for damages to property of CRRA caused by Consultant or any of its directors, officers, employees, agents or sub-consultants. The existence of insurance shall in no way limit the scope of this indemnification. Consultant's obligations under this Section 5.1 shall survive the termination or expiration of this Agreement.

6. INSURANCE

6.1 Insurance

At all times during the term of this Agreement, Consultant shall, at its sole cost and expense, procure and maintain the insurance coverages described below for claims which may arise from or in connection with the work set forth in the scope of work hereunder (the "Work") performed by the Consultant and those for whom they are legally responsible.

CRRA reserves the right to waive, at its sole and absolute discretion, in whole or in part, any of the required insurances specified in this Section 6.

Prior to execution of a Specific Request for Services (a "Request") pursuant to Section 2.9 of this Agreement, CRRA may elect to require additional lines of insurance, increase or decrease the dollar amounts of some or all of the insurance, or make other changes to the insurance provisions based upon the specific scope of services outlined in a Request. If additional insurance is required by CRRA for a request, costs will be discussed at the time the Request terms are negotiated.

(a) Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. Commercial General Liability insurance as specified by the most recent version of ISO Form Number CG 001 (occurrence).
2. Automobile Liability insurance as specified by the most recent edition of ISO Form Number CA 0001, Symbol 1 (any auto). An MCS 90 Endorsement and a CA 9948 Endorsement shall be attached **if any hazardous materials are transported by the Consultant during its performance of the Work.**
3. Workers' Compensation insurance as required by all states in which the Work is being done and Employer's Liability insurance.
4. Professional Liability insurance if the Consultant or any subcontractor to them is providing engineering and/or design services. The Professional Liability insurance should include coverage for all professional services related to the Work

(including design work that preceded this Agreement) and should be kept in force for a completed operations period of at least five years after final completion of the Work.

6.2 Minimum Limits of Insurance

Consultant shall maintain the following limits of liability for the insurance described above:

1. Commercial General Liability:
 - a. \$1,000,000 Each Occurrence for Bodily Injury & Property Damage.
 - b. \$1,000,000 General Aggregate
 - c. \$1,000,000 Products & Completed Operations Aggregate
 - d. \$1,000,000 Personal & Advertising Injury

2. Automobile Liability:
 - a. \$1,000,000 Combined Single Limit Each Accident for Bodily Injury and Property Damage.
 - b. Include Owned, Hired and Non-Owned Auto Liability

3. Workers' Compensation: Statutory limits.

4. Employer's Liability:
 - a. \$500,000 Each Accident
 - b. \$500,000 Disease – Policy Limit
 - c. \$500,000 Disease – Each Employee

5. Professional liability
 - a. \$1,000,000 Each Claim

(a) Deductibles, Self-insured Retentions and Uninsured Losses

The Consultant shall be responsible for payment of all deductibles and self-insured retentions on any of the insurance policies required under this Agreement. The Consultant is also responsible for the payment of all losses arising out of its performance of the Work that may not be covered by the insurance policies required under this Agreement.

(b) Other Insurance Provisions

All policies required under this Agreement shall contain the following provisions:

1. CRRA, its subsidiaries, officials and employees are to be covered as additional insureds on a primary and non-contributing basis on the following insurance policies purchased by the Consultant:
 - a. Commercial General Liability
 - b. Automobile Liability
2. The Consultant agrees to notify CRRA at least thirty (30) days in advance of any cancellation or change to insurance coverages required under this Agreement. Notice of cancellation or change in coverage shall be provided to CRRA's Risk Manager by fax to 860-757-7740, or by e-mail to lmartin@crra.org, or by correspondence to CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722.
3. The Consultant should waive (and require their insurers to waive) subrogation rights against CRRA for losses and damages incurred under the insurance policies required by this Agreement.
4. The Consultant's insurance 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.

(c) Acceptability of Insurance

Insurance is to be placed with insurers with current A.M. Best ratings of not less than A-VIII, and be lawfully authorized to conduct business in the state(s) or jurisdiction(s) where the Work is being performed, unless otherwise approved by CRRA.

(d) Verification of Coverage

Consultant shall furnish CRRA with a Certificate of Insurance evidencing the coverages required under this Agreement. All certificates are to be received and approved by CRRA before the Work commences. Consultant shall provide new Certificates of Insurance upon renewal, replacement or addition of any insurance required under this Agreement.

(e) Subcontractors

Consultant shall either include all subcontractors as insureds under its insurance policies or shall require subcontractors to provide their own insurance subject to all of the requirements stated herein.

7. MISCELLANEOUS

7.1 Non-Discrimination

Contractor agrees to the following:

- (a) Contractor agrees and warrants that in the performance of the Services for CRRA Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, sexual orientation, gender identity or expression, intellectual disability, mental disability, or physical disability, including, but not limited to, blindness, unless it is shown by Contractor that such disability prevents performance of the Services involved, in any manner prohibited by the laws of the United States or of the State of Connecticut. Contractor further agrees to take affirmative action to insure that applicants with job related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, sexual orientation, gender identity or expression, intellectual disability, mental disability, or physical disability, including, but not limited to, blindness, unless it is shown by Contractor that such disability prevents performance of the Services involved;
- (b) Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of Contractor, to state that it is an “affirmative action-equal opportunity employer” in accordance with regulations adopted by the Connecticut Commission on Human Rights and Opportunities (The “Commission”);
- (c) Contractor agrees to provide each labor union or representative of workers with which Contractor has a collective bargaining agreement or other contract or understanding and each vendor with which Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union, workers’ representative and vendor of Contractor’s commitments under Sections 4a-60 and 4a-60a of the *Connecticut General Statutes* and to post copies of the notice in conspicuous places available to employees and applicants for employment;
- (d) Contractor agrees to comply with each applicable provision of Sections 4a-60, 4a-60a, 46a-68e, and 46a-68f, inclusive, of the *Connecticut General Statutes* and with each regulation or relevant order issued by the Commission pursuant to Sections 46a-56, 46a-68e, and 46a-68f of the *Connecticut General Statutes*; and
- (e) Contractor agrees to provide the Commission with such information requested by the Commission, and permit access to pertinent books, records and accounts concerning the employment practices and procedures of Contractor as related to

the applicable provisions of Sections 4a-60, 4a-60a and 46a-56 of the *Connecticut General Statutes*. If this Agreement is a public works contract, Contractor agrees and warrants that it will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials in such public works project.

7.2 Entire Agreement

This Agreement constitutes the entire agreement and understanding between the parties hereto and concerning the subject matter hereof, and supersedes any previous agreements, written or oral, between the parties hereto and concerning the subject matter hereof.

7.3 Governing Law

This Agreement shall be governed by, and construed, interpreted and enforced in accordance with the laws of the State of Connecticut as such laws are applied to contracts between Connecticut residents entered into and to be performed entirely in Connecticut.

7.4 Assignment

This Agreement may not be assigned in whole or in part by either party without the prior written consent of the other party or such assignment shall be void.

7.5 No Waiver

Failure to enforce any provision of this Agreement or to require at any time performance of any provision hereof shall not be construed to be a waiver of such provision, or to affect the validity of this Agreement or the right of any party to enforce each and every provision in accordance with the terms hereof. No waiver of any provision of this Agreement shall affect the right of CRRA or Consultant thereafter to enforce such provision or to exercise any right or remedy available to it in the event of any other default involving such provision or any other provision. Making payment or performing pursuant to this Agreement during the existence of a dispute shall not be deemed to be and shall not constitute a waiver of any claims or defenses of the party so paying or performing.

7.6 Modification

This Agreement may not be amended, modified or supplemented except by a writing signed by the parties hereto that specifically refers to this Agreement. Any oral representations or letters by the parties or accommodations shall not create a pattern or practice or course of dealing contrary to the written terms of this Agreement unless this Agreement is formally amended, modified or supplemented.

7.7 Notices

All notices, requests, demands and other communications hereunder shall be in writing and shall be deemed to have been duly given if mailed via certified first class mail return receipt requested postage prepaid or overnight express mail service to the pertinent address below.

(a) If to CRRA:

Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103
Attention: [TITLE OF APPROPRIATE CRRA OFFICIAL]

With a copy to:

Connecticut Resources Recovery Authority
100 Constitution Plaza, 6th Floor
Hartford, Connecticut 06103
Attention: President

(b) If to Consultant:

Attention: _____

7.8 Binding Effect

This Agreement shall inure to the benefit of and be binding upon the heirs, personal representatives, successors and assigns of the parties hereto.

7.9 Severability

CRRA and Consultant hereby understand and agree that if any part, term or provision of this Agreement is held by any court to be invalid, illegal or in conflict with any applicable law, the validity of the remaining portions of this Agreement shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if this Agreement did not contain the particular part, term or provision held to be invalid, illegal or in conflict with any applicable law.

7.10 Small Contractor Application

At the request of CRRA and if Consultant qualifies, Consultant shall apply with the State of Connecticut Department of Administrative Services, and do all that is necessary to make itself

qualify, as a Small Contractor and/or Minority/Women/Disabled Person Business Enterprise in accordance with Section 4a-60g of the *Connecticut General Statutes*.

7.11 Whistleblower Protection

If any officer, employee or appointing authority of the Consultant takes or threatens to take any personnel action against any employee of the Consultant in retaliation for such employee's disclosure of information to the Auditors of Public Accounts or the Attorney General under the provisions of *Connecticut General Statutes* Section 4-61dd, the Consultant shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of the contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation each calendar day's continuance of the violation shall be deemed to be a separate and direct offense. The Consultant shall post a notice in a conspicuous place which is readily available for viewing by employees of the provisions of *Connecticut General Statutes* Section 4-61dd relating to large state contractors.

7.12 Counterparts

This Agreement may be executed in any number of counterparts by the parties hereto. Each such counterpart so executed shall be deemed to be an original and all such executed counterparts shall constitute but one and the same instrument.

7.13 Campaign Contribution And Solicitation Prohibitions

For all State contracts as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See **Exhibit F** [SEEC Form 11].

7.14 Affidavit Concerning Nondiscrimination

At the time the Consultant submitted its SOQ to CRRA, it simultaneously executed a document entitled Affidavit Concerning Nondiscrimination and said document is attached hereto and made a part of this Agreement as **Exhibit G**.

7.15 Affidavit Concerning Consulting Fees

At the time of Consultant's execution of this Agreement, Consultant simultaneously executed a document entitled Affidavit Concerning Consulting Fees and said document is attached hereto and made a part of this Agreement as **Exhibit H**.

7.16 Contractor's Certification Concerning Gifts

At the time of Consultant's execution of this Agreement, Consultant simultaneously executed a document entitled Contractor's Certification Concerning Gifts and said document is attached hereto and made a part of this Agreement as **Exhibit I**.

7.17 President's Certification Concerning Gifts

At the time of the President of CRRA's execution of this Agreement, the President of CRRA simultaneously executed a document entitled President's Certification Concerning Gifts and said document is attached hereto and made a part of this Agreement as **Exhibit J**.

[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK]

[SIGNATURE PAGE FOLLOWS]

IN WITNESS WHEREOF, the parties hereto have set their hands and seals as of the day and year first written above.

CONNECTICUT RESOURCES RECOVERY AUTHORITY

By: _____
Thomas D. Kirk
Its President
Duly Authorized

[CONSULTANT]

By: _____

[Print/Type Name]
Its _____
[Title]
Duly Authorized

SCOPE OF SERVICES

The following are the Categories of Services.

1. General Engineering Services

The following are examples of the types of work included under the General Engineering Services Category:

- (a) Provide professional engineering services, including general civil, structural, geotechnical, electrical and mechanical engineering and laboratory materials testing. All design plans must be submitted to CRRA in Auto-CAD format;
- (b) Provide construction administration and inspection services, including analyzing construction plans and specifications, reviewing shop drawings, monitoring of ongoing construction activities, certifying completion of construction milestones and reviewing change orders and contractor's invoices;
- (c) Prepare feasibility studies related to building and equipment rehabilitation;
- (d) Provide Special Inspection Services in conformance to The Connecticut Building Code;
- (e) Conduct traffic studies including data collection, capacity and queuing analysis and representing CRRA before the State Traffic Commission and the Department of Transportation;
- (f) Provide expert testimony for litigation matters; and
- (g) Provide public presentations.

2. Resource Recovery and Recycling Consulting and Engineering Services

The following are examples of the types of work included under the Resource Recovery and Recycling Consulting and Engineering Services Category:

- (a) Provide services related to the design, construction, and testing of resource recovery facilities, recycling facilities and miscellaneous MSW facilities;
- (b) Design and construct various process equipment systems (e.g., ferrous and nonferrous systems);
- (c) Conduct electrical generation, boiler and turbine efficiency analyses, testing and studies;
- (d) Analyze marketing strategies for recyclables;
- (e) Prepare recycling plans and assist in implementing such plans;

- (f) Provide cost estimates of facility and ancillary equipment;
- (g) Provide cost estimates, testing and studies of facility ancillary equipment;
- (h) Review operation and maintenance plans;
- (i) Provide mechanical and electrical contractor services pertaining to MSW and recycling facilities;
- (j) Prepare Health and Safety Plans;
- (k) Conduct facility efficiency studies;
- (l) Analyze electrical power marketing;
- (m) Negotiate technical issues with the vendors;
- (n) Provide certifications of compliance with technical specifications and acceptance testing of resource recovery and recycling projects;
- (o) Prepare technical reports;
- (p) Conduct feasibility studies;
- (q) Provide public presentations; and
- (r) Provide expert testimony.

3. Environmental Consulting and Engineering Services

The following are examples of the types of work included under the Environmental Consulting and Engineering Services Category:

- (a) Prepare/analyze cost/benefit analyses of air and water pollution control methodologies;
- (b) Develop/analyze/review solid waste management procedures and practices;
- (c) Conduct ambient air, process air emissions, groundwater and surface water modeling, testing and analysis;
- (d) Conduct indoor air surveys;
- (e) Negotiate with regulatory agencies (federal, state and local);
- (f) Assist in environmental permitting;
- (g) Review and analyze regulations;
- (h) Conduct environmental audits;
- (i) Conduct environmental site assessments;
- (j) Conduct noise and odor analyses and abatement;
- (k) Prepare ecological risk assessments;
- (l) Assist in the development of Environmental Management Systems;

- (m) Assist in environmental reporting (e.g., air emission statements, TRI Reports, etc.);
- (n) Provide public presentations; and
- (o) Provide expert testimony.

4. Landfill Consulting and Engineering Services

The following are examples of the types of work included under the Landfill Consulting and Engineering Services Category:

- (a) Analyze landfill operation and administration alternatives;
- (b) Analyze landfill development plans;
- (c) Provide liner system design services and leachate collection and treatment;
- (d) Provide groundwater control system services including cut-off walls;
- (e) Prepare landfill operations and management plans and closure plans (including capping, monitoring, landscaping and slope stabilization);
- (f) Conduct well testing and monitoring and provide for well placement;
- (g) Provide well water sampling;
- (h) Provide services related to landfill gas collection and methane recovery systems and landfill gas-to-energy systems;
- (i) Conduct landfill siting-feasibility studies;
- (j) Conduct Hydro geological surveys;
- (k) Review and analyze regulations;
- (l) Negotiate with regulatory agencies (federal, state and local);
- (m) Provide landfill capacity analysis and life projections;
- (n) Provide landfill construction support, construction supervision, quality control and quality assurance inspection, testing and certification;
- (o) Provide public presentations; and
- (p) Provide expert testimony.

5. Solid Waste Consulting Services

The following are examples of the subjects upon which consulting services will be required under the Solid Waste Consulting Services Category:

- (a) Solid waste operations and waste systems management;
- (b) Solid waste collection systems;
- (c) Economic flow control;

- (d) Solid waste transportation systems, including rail and barge;
- (e) Solid waste management plans and feasibility studies;
- (f) Electrical generation, including boiler and turbine analysis;
- (g) Energy marketing;
- (h) Occupational health and safety;
- (i) Recycling marketing;
- (j) Recycling planning and implementation; and
- (k) Strategic planning/future options identification.

6. Electric Marketing, Procurement And Consulting Services

The following are examples of the types of work included under the Electric Marketing, Procurement and Consulting Services Category:

- (a) Provide electric market analysis including evaluation of current and projected energy prices, identification of key factors that will impact energy prices, and market trending;
- (b) Identify potential energy purchasers;
- (c) Assist CRRA in the preparation of a Request for Proposals for a wholesale purchaser of the electric output of CRRA's Mid-Connecticut Resource Recovery Facility to assure optimum pricing;
- (d) Provide computerized modeling to evaluate electric bids received;
- (e) Assist CRRA and legal counsel in drafting and negotiating a final contract with the preferred purchaser; and
- (f) Provide general energy market consulting and education services to CRRA staff.

7. Land Surveying

All survey work must be performed by a professional Land Surveyor licensed in the State of Connecticut in accordance with the recommended standards adopted by the Connecticut Association of Land Surveyors and all survey data must be submitted to CRRA in Auto-CAD format.

The following are examples of the types of work included under the Landfill Consulting and Engineering Services Category:

- (a) Preparation of topographic surveying and mapping;
- (b) Preparation of boundary survey to A-2 accuracy, in accordance with the recommended standards adopted by the Connecticut Association of Land Surveyors, Inc. ("CALS");

- (c) Provide photogrammetry services and compute earthwork quantities to determine landfill capacities;
- (d) Provide construction stakeout and location surveys; and
- (e) Provide site plans and as-built surveys.



REQUEST FOR SERVICES

[DATE]

[NAME OF CONTACT FOR CONSULTANT]
[NAME OF CONSULTANT]
[ADDRESS 1 OF CONSULTANT]
[ADDRESS 2 OF CONSULTANT]

**Re: Agreement for Consulting, Engineering and Land Surveying Services
Request for Services**

Dear _____:

This Request will authorize you to provide the Services described below in accordance with the terms and conditions of the “Agreement for Consulting, Engineering and Land Surveying Services” dated [DATE OF AGREEMENT] between CRRA and you.

The Scope of Services, Estimated time of Performance and Estimated Costs set forth below will become a part of the above-referenced Agreement and will be incorporated therein, as an amendment, upon your acceptance of this Request, to be indicated below. The Scope of Services is the product of consultation between CRRA and you and the Estimated Time of Performance and Estimated Costs have been provided by you and deemed acceptable by CRRA.

1. Scope of Services

[PROVIDE DETAILS]

2. Estimated Time of Performance

[PER CONSULTANT]

3. Estimated Costs

[PER CONSULTANT]

These costs are not to be exceeded without CRRA's prior written consent. CRRA shall not pay for any services rendered or expenses incurred by Consultant in excess of those included in this Request unless specifically authorized in advance and in writing by CRRA.

4. [OPTIONAL] Required Insurance

Prior to execution of this Request For Services, Consultant shall procure and maintain, at its own cost and expense, throughout the term of this Request For Services and any extension thereof, the following types of insurance:

- (a) [Based on the specific Scope Of Services for the Request For Services, CRRA may elect to increase the dollar amounts of the minimum coverage limits of some or all of the insurances required pursuant to Section 6.1 of the Consulting, Engineering and Land Surveying Services Agreement. If CRRA elects to do so, such increased minimum coverage amounts will be specified in this section.]

Prior to execution of this Request For Services, Consultant shall submit to CRRA a certificate or certificates for each required insurance referenced above that meets all of the requirements in Article 6 of the Consulting, Engineering And Land Surveying Services Agreement between the Consultant and CRRA.

Sincerely,

CONNECTICUT RESOURCES RECOVERY AUTHORITY

By: _____
Title: _____

Accepted and agreed to under the terms of the
Agreement for Consulting, Engineering and Land Surveying Services
dated [DATE OF AGREEMENT]

[CONSULTANT NAME]

By: _____
Title: _____

COMPENSATION SCHEDULE

[The Consultant's Payment Rate Schedule Form that was submitted with the Consultant's Statement Of Qualifications, as such Form may be modified as a result of negotiations between CRRA and the Consultant, will be added by CRRA.]



TRAVEL POLICY AND EXPENSE REPORTING

**BOARD OF DIRECTORS POLICY AND PROCEDURE
NUMBER 032**

**APPROVED BY CRRA BOARD OF DIRECTORS
SEPTEMBER 29, 2005**

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CONNECTICUT RESOURCES RECOVERY AUTHORITY TRAVEL POLICY AND EXPENSE REPORTING

1. GENERAL STATEMENT

This Travel Policy and Expense Reporting guide presents the policies that all CRRA employees (hereafter “employee(s)”) must adhere to in the planning and conducting of their business travel and their reimbursement requests. CRRA requires that all travel expenditures and their accountings meet the Internal Revenue Service requirements of “ordinary, necessary and reasonable” and should be conservative and consistent with the nature of the business assignment. These policies safeguard CRRA and protect the employee from being assessed additional taxable income. All employees are expected to fully comply with the policies and instructions in this guide. Reimbursements for actual and necessary expenses made to Directors of CRRA shall be made consistent with the provisions of this Travel Policy And Expense Reporting guide; however, as stated in the Connecticut General Statutes, Directors shall not be required to obtain pre-approval from the President for any expenses.

2. APPROVALS

Prior written approval by the President or the employee’s Division Head at least one (1) week in advance is required for all overnight trips out of state, except in an emergency. It is the obligation of the employee to obtain this prior approval and no reimbursement will be made without this approval.

Prior written approval by the President or the employee’s Division Head at least one (1) week in advance is required for all employee trips that are for educational seminars, professional conferences, vendor-initiated field trips, and industry organization events.

To obtain written approval, the employee must complete the overnight travel form, and, if a cash advance is requested, complete a cash advance form that estimates the out-of-pocket expenses, and submit the completed form(s) to the appropriate Division Head or President in as far in advance as possible of departure date.

3. TRANSPORTATION

Transportation expenses should be kept to a minimum. The most direct and practical route should be selected.

3.1 Rental Automobile

Rental car expenses will be paid by CRRA and whenever possible should be billed directly to CRRA to take advantage of CRRA's tax-exempt status and any other discounts available to CRRA.

3.1.1 Insurance

3.1.1.1 Business Use Of A Rental Automobile

Employees on business do not need to purchase additional insurance coverage (collision damage waiver or excess liability) from the rental company. The Corporate Insurance Program covers these risks. Please note that all vehicles must be rented in CRRA's name to have CRRA's policy cover the employee.

3.1.1.2 Personal Use Of A Rental Automobile

Employees are prohibited from using a CRRA rental automobile for personal use. Personal use that is incidental to CRRA business use will be covered by the CRRA insurance policy as long as the vehicle was rented in CRRA's name. Incidental usage is defined as usage of the vehicle that is directly related to business usage (e.g. mileage to get meals on a business trip).

3.2 Business Use Of Employee's Car

3.2.1 Reimbursement Rate

The reimbursement rate for an employee's use of their personal automobile for CRRA business is the IRS approved rate, as adjusted from time to time by the IRS, for employee use of their personal car on business. The above mileage reimbursement allowance for business use of an employee's vehicle is calculated in a manner that takes into account all auto-related expenses, including the cost of carrying insurance (without a deductible). Therefore, CRRA will not reimburse an employee for vehicle damage or personal liability that occurs while a personal automobile is being used on CRRA business if the employee drives their personal vehicle 2,500 miles per year or more. This includes any deductible that may apply. However, if an employee's vehicle is driven on company business 2,500 miles or less annually, and is involved in a motor vehicle accident, CRRA will reimburse the employee through the normal expense reimbursement process for their physical damage deductible up to a maximum of \$500.00 per accident. Evidence of the payment of the deductible by the employee must be provided to CRRA in order to receive reimbursement. (Traveling on business does not include any travel involved in commuting to or from work, lunch time errands or anything other than authorized business use). Before an employee seeks the foregoing reimbursement for the use of his personal automobile, the

employee shall provide CRRA with written evidence of his personal automobile insurance with limits as required by the Connecticut General Statutes. The foregoing written proof shall be kept on file in the CRRA Finance Division.

3.2.2 Mileage Calculation

In all travel away from the CRRA office, the employee will be reimbursed using the shortest distance between points. For travel from Hartford to a CRRA facility, the President shall cause the shortest distance to be determined and the President shall cause such determination to be made available to employees. Unless approved by an employee's Division Head, employees shall use the distances determined by the President in all requests for reimbursement for travel from Hartford to a CRRA facility. An employee may request and the employee's Division Head may approve distances other than those determined by the President in extraordinary circumstances when, for reasons beyond the control of the employee, the route of the shortest distance was not reasonably available for use.

In calculating mileage, the normal commute mileage to and from the employee's home to the employee's assigned place of work must be deducted from the total trip mileage. For example, if the total trip mileage equals 100 miles, and normal commute mileage equals 20 miles, CRRA will reimburse the employee for 80 miles. This is in accordance with Internal Revenue Service and State of Connecticut policy.

3.2.3 Tolls/Parking

No receipts are necessary for tolls or parking unless they exceed five (\$5.00) dollars.

3.3 Air Travel

All air travel requires prior approval from the CRRA President. For approved travel, CRRA will reimburse employees only for coach accommodations. Employees are encouraged to inquire about discount packages and to take advantage of the least costly route whenever possible. When an employee plans a trip, the reservations should be made as far in advance as practical to obtain the lowest rate. All approved air travel for the previous month shall be reported to the CRRA Board of Directors at its next Board Meeting.

3.4 Taxis

Taxi service may be used when no other form of public transportation is available or when the cost of a taxi is close to the cost of public transportation. Employees are encouraged to use courtesy cars, airport limousines, or buses whenever possible. Since some taxi services do not provide receipts, you should have the back of your business card signed, dated, and the amount of the fare indicated by the driver.

3.5 CRRA Owned Automobiles

Please refer to the CRRA Vehicle Usage Policy adopted by the CRRA Board of Directors at its November 21, 2003, Board of Directors Meeting.

4. MEALS

Permissible expenditures for meals and tips depend on location and circumstances. Only reasonable and customary charges will be allowed and reimbursed by CRRA. An exception may be granted by the President in unusual circumstances. In-state breakfast, lunch, and dinner will not be reimbursed unless they involve a business meeting.

5. LODGING

Lodging accommodations in reasonable and economically priced single occupancy rooms, including customary tips, are reimbursable if the employee has to stay away from home overnight because of unfinished business or an early morning business meeting.

Employees should request government rates at the time of making reservations.

6. INCIDENTALS

The incidentals allowance encompasses such things as gratuities and one telephone call a day of reasonable duration to the employee's home. It is anticipated that the cost of such calls generally will appear on the employee's hotel bill.

7. PERSONAL EXPENSES

Some travel expenses are considered personal and CRRA will not reimburse them. The following, while not all inclusive, lists examples of such personal expenses that are not reimbursable expenses: amusements, athletic events, barbers, books for personal reading, athletic court or gym costs, damage to luggage, fines, hair stylists, magazines, newspapers, movies, and saunas.

8. OTHER BUSINESS EXPENSES

With prior approval of the President, CRRA will reimburse an employee for the incidental costs necessary to further an important CRRA business purpose. Any foregoing expense must be reported to the Board at the Board's next Board of Directors meeting. Any such expense must be documented by showing the following:

- The name(s) of the person or persons and the location and nature of the expense.
- The business relationship with CRRA.
- The specific business reason for the expense.
- The actual business conducted.

CRRA will not reimburse the cost of home entertaining.

9. EXPENSE REPORTING

All expense reporting must be submitted to CRRA using the CRRA expense reimbursement form(s) within twenty working days after the day the employee returns from his/her trip.

10. RECEIPTS

Employees shall obtain receipts for all travel expenses, exclusive of mileage reimbursement. This includes receipts for all meals, airfare, bus fare, taxi, toll or parking charges in excess of \$5.00 dollars, limousine, hotel, and registration fees. Travel expenses in excess of the stated guidelines herein will be reimbursed only if all receipts accompany expense vouchers. Expenses submitted without a receipt, except for gratuity and certain transfer charges, may not be reimbursed.

Original receipts are required for all entertainment.

11. EXCEPTIONS

Exceptions to these travel and expense guidelines will be authorized only upon the prior authorization of President when the circumstances warrant. Any such exception to these travel and expense guidelines should be documented and the President should notify the CRRA Board of Directors of such exception at the Board's next Board Meeting.

ORIGINAL

Approved by: Board of Directors
Effective Date: 05/20/04

REVISION 1

Prepared by: Jim Bolduc, Chief Financial Officer
Approved by: Board of Directors
Effective Date: 09/29/05

MONTHLY BILL FORMAT

Name of Consultant:	
Contract Number:	
Billing Period:	
Project Name:	Consulting, Engineering and Land Surveying Services
Purchase Order Number:	
Request For Services Number:	

TASK (Insert Task Number and Name; Use a separate set of tables for each task.)

Personnel	Title	Work Performed	Hours	Rate	Amount
(Insert Name of Person who worked on Task)					
(Insert Name of Person who worked on Task)					
(Insert Name of Person who worked on Task)					
Subtotal Personnel					
Ancillary Services/Equipment			Units	Rate	Amount
(Insert Name of Ancillary Services/Equipment used for Task)					
(Insert Name of Ancillary Services/Equipment used for Task)					
(Insert Name of Ancillary Services/Equipment used for Task)					
Subtotal Ancillary Services/Equipment					

Subtotal for Task (Insert Task Number)	
---	--

TOTAL (Insert billing period for which bill is being submitted)	
--	--

SEEC FORM 11

NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined on the following page):

Campaign Contribution and Solicitation Ban

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

Duty to Inform

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

Penalties for Violations

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

Contract Consequences

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A 07-1 may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "State Contractor Contribution Ban."

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

AFFIDAVIT CONCERNING NONDISCRIMINATION

[The Consultant's Affidavit Concerning Nondiscrimination that was submitted with the Consultant's Statement Of Qualifications will be added by CRRA.]



**AFFIDAVIT CONCERNING
CONSULTING FEES**

Pursuant to Section 4a-81 of the Connecticut General Statutes, this Affidavit must be completed and properly executed under penalty of false statement by a chief official of the successful statement of qualifications submitter for an Agreement (the “Contractor”). Such chief official of the Contractor must be the person who is properly authorized to execute the Agreement on behalf of the Contractor. This Affidavit must be properly executed at the same time that the Contractor executes the Agreement. If the Contractor fails to execute this Affidavit, the Contractor shall be disqualified for the Agreement.

I, the undersigned, am over the age of eighteen and understand and appreciate the obligation of an oath.
I am _____ (title) of _____ (firm name), an entity duly formed and existing under the laws of _____ (name of state or commonwealth) (“Contractor”).

I certify that I am authorized to execute and deliver this affidavit on behalf of Contractor, as follows:

1. Contractor seeks to enter into the “CONSULTING, ENGINEERING, AND LAND SURVEYING SERVICES” (the “Agreement”) with the Connecticut Resources Recovery Authority (“CRRRA”);
2. Except as disclosed in Table 1 below and except for a consulting agreement that is with a consultant who is registered under the provisions of Chapter 10 of the Connecticut General Statutes¹ as of the date this Affidavit is submitted, Contractor has not entered into any consulting agreement² in connection with the Agreement whereby any duties of the consultant pursuant to said consulting agreement² require that consultant pursue communications concerning business of CRRRA, whether or not direct contact with CRRRA, a CRRRA official, a CRRRA employee, a state agency, a state or public official, or a state employee was expected or made;
3. Contractor shall amend this Affidavit whenever Contractor enters into any new consulting agreement² during the term of the Agreement; and
4. The statements set forth herein are true, to the best of my knowledge and belief, subject to the penalties of false statement.

¹ Pursuant to Section 1-94 of Chapter 10 the Connecticut General Statutes, a lobbyist as defined in the Chapter is required to register with the Office of State Ethics.

² Pursuant to Section 41-81 of the Connecticut General Statutes, for the purposes of this Affidavit, “consulting agreement” means “any written or oral agreement to retain the services, for a fee, of a consultant for the purposes of (A) providing counsel to a contractor, vendor, consultant or other entity seeking to conduct, or conducting, business with the state, (B) contacting, whether in writing or orally, any executive, judicial, or administrative office of the state, including any department, institution, bureau, board, commission, authority, official or employee for the purpose of solicitation, dispute resolution, introduction, requests for information, or (C) any other similar activity related to such contract. Consulting agreement does not include any agreements entered into with a consultant who is registered under the provisions of chapter 10 as of the date such affidavit is submitted in accordance with the provisions of this section.

TABLE 1: Disclosure of Consulting Agreements

(If Contractor has not entered into any consulting agreements² in connection with the Agreement, Contractor should enter “None” in the space provided for the “Name of Consultant.”)

Name of Consultant:	
Name of Consultant’s Firm:	
Description of the Basic Terms of the Consulting Agreement:	
Brief Description of the Services Provided:	
Is the Consultant a Former State Employee or Public Official?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If the answer to the question above concerning whether or not the consultant is a former state employee or public official is “Yes,” the following information must be provided.	
Name of Former Agency:	
Date Employment Terminated:	

By (Signature): _____

Name (Print): _____

Title: _____

Sworn to before me this _____ day of _____ 20 _____

Notary Public/Commissioner of the Superior Court

Commission Expiration Date



**CONTRACTOR'S CERTIFICATION
CONCERNING GIFTS**

CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES

(This CERTIFICATION is to be signed by an authorized officer of the Contractor or the Contractor's managing general partner.)

Section 4-252 of the *Connecticut General Statutes* requires that a Contractor (i.e., the successful bidder/proposer/statement of qualifications submitter for an Agreement) complete and properly execute this Certification Concerning Gifts at the same time that the Contractor executes the Agreement. If the Contractor fails to make the required certifications, the Contractor shall be disqualified for the Agreement.

I, _____, a duly authorized officer and/or representative of _____ (firm name) (the "Contractor"), being duly sworn, hereby depose and say that:

1. I am over eighteen (18) years of age and believe in the obligations of an oath; and
 2. The Contractor has submitted a bid/proposal/statement of qualifications for the Agreement For Consulting, Engineering And Land Surveying Services (the "Agreement") to the Connecticut Resources Recovery Authority ("CRRA"), has been selected by CRRA as the successful bidder/proposer/statement of qualifications submitter for the Agreement and is prepared to enter into the Agreement with CRRA; and
 3. No gifts were made between December 1, 2012 and the date of execution of the Agreement, by
 - (a) The Contractor,
 - (b) Any principals and key personnel of the Contractor who participated substantially in preparing the Contractor's bid/proposal/statement of qualifications for or the negotiation of the Agreement, or
 - (c) Any agent of the Contractor or principals and key personnel who participated substantially in preparing the Contractor's bid/proposal/statement of qualifications for or the negotiation of the Agreement
- to
- (1) Any public official or employee of CRRA who participated substantially in the preparation of the bid/proposal/qualifications solicitation for or the negotiation or award of the Agreement (such CRRA employees are listed in Table 2 below), or
 - (2) Any public official or state employee of any state agency who has supervisory or appointing authority over CRRA (such public officials and state employees are listed in Table 3 below); and

- 4. No such principals and key personnel of the Contractor or agent of the Contractor or principals and key personnel knows of any action by Contractor to circumvent the prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the Contractor to provide a gift to any such public official or state employee; and
- 5. The Contractor made the bid/proposal/statement of qualifications for the Agreement without fraud or collusion with any person;
- 6. The information set forth herein is true, to the best of my knowledge and belief, subject to the penalties of false statement.

TABLE 2: CRRA Substantial Participants in the Preparation of the Request for Bids/Proposals for the Agreement

[Name and Title]

TABLE 3: Public Officials and State Employees of State Agencies Who Have Supervisory or Appointing Authority over CRRA

Governor Dannel P. Malloy
Senator Donald E. Williams, Jr., President Pro Tempore of the Senate
Senator John McKinney, Minority Leader of the Senate
Representative Brendan Sharkey, Speaker of the House of Representatives
Representative Lawrence F. Cafero, Jr., Minority Leader of the House of Representatives

Signature: _____

Name (type/print): _____

Title: _____

State Of: _____

County Of: _____

_____, being fully sworn, deposes and says that

he/she is the _____ (Title) of

_____ (Firm Name), the Contractor

herein, that he/she has read the foregoing statement concerning gifts, and, under the penalty of perjury, certifies that each and every part of said statement is true to his/her best knowledge and belief.

Sworn to before me this _____ day of _____ 200__

Notary Public/Commissioner of the Superior Court

For the purposes of this Certification Concerning Gifts, the following terms are defined as follows:

"Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" shall **not** include:

- (1) A political contribution otherwise reported as required by law or a donation or payment as described in subdivision (9) or (10) of subsection (b) of section 9-333b of the *Connecticut General Statutes*;
- (2) Services provided by persons volunteering their time, if provided to aid or promote the success or defeat of any political party, any candidate or candidates for public office or the position of convention delegate or town committee member or any referendum question;
- (3) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;
- (4) A gift received from (A) an individual's spouse, fiance or fiancée, (B) the parent, brother or sister of such spouse or such individual, or (C) the child of such individual or the spouse of such child;
- (5) Goods or services (A) which are provided to the state (i) for use on state property, or (ii) to support an event or the participation by a public official or state employee at an event, and (B) which facilitate state action or functions. As used in this Affidavit Concerning Gifts, "state property" means (i) property owned by the state, or (ii) property leased to an agency in the Executive or Judicial Department of the state;
- (6) A certificate, plaque or other ceremonial award costing less than one hundred dollars;
- (7) A rebate, discount or promotional item available to the general public;
- (8) Printed or recorded informational material germane to state action or functions;
- (9) Food or beverage or both, costing less than fifty dollars in the aggregate per recipient in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for the food or beverage, or his representative, is in attendance;
- (10) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed legislative reception to which all members of the General Assembly are invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception;
- (11) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed reception to which all members of the General Assembly from a region of the state are

invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception. As used in this subdivision, "region of the state" means the established geographic service area of the organization hosting the reception;

- (12) Gifts costing less than one hundred dollars in the aggregate or food or beverage provided at a hospitality suite at a meeting or conference of an interstate legislative association, by a person who is not a registrant or is not doing business with the state of Connecticut;
- (13) Admission to a charitable or civic event, including food and beverage provided at such event, but excluding lodging or travel expenses, at which a public official or state employee participates in his official capacity, provided such admission is provided by the primary sponsoring entity;
- (14) Anything of value provided by an employer of (A) a public official, (B) a state employee, or (C) a spouse of a public official or state employee, to such official, employee or spouse, provided such benefits are customarily and ordinarily provided to others in similar circumstances; or
- (15) Anything having a value of not more than ten dollars, provided the aggregate value of all things provided by a donor to a recipient under this subdivision in any calendar year shall not exceed fifty dollars.

"Participated substantially" means participation that is direct, extensive and substantive, and not peripheral, clerical or ministerial.

"Principals and key personnel" means officers, directors, shareholders, members, partners and managerial employees.



**PRESIDENT'S CERTIFICATION
CONCERNING GIFTS**

**AGREEMENT
FOR
CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES
Awarded To
[NAME OF CONSULTANT]**

(This CERTIFICATION is to be signed by the President of CRRA
at the time the Agreement is executed by him/her.)

By submission of this Certification, the President of the Connecticut Resources Recovery Authority ("CRRA") hereby certifies that the selection of the most qualified or highest ranked person, firm or corporation for the "Agreement for Consulting, Engineering and Land Surveying Services" was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Signature: _____

Name: **Thomas D. Kirk**

Title: **President**

State Of: **Connecticut**

County Of: **Hartford**

Thomas D. Kirk, being fully sworn, deposes and says that he is the President of the Connecticut Resources Recovery Authority, that he has read the forgoing statement concerning collusion, the giving of gifts or the promise of gifts, compensation, fraud or inappropriate influence and, under the penalty of perjury, certifies that each and every part of said statement is true.

Sworn to before me this _____ day of _____ 20 ____

Notary Public/Commissioner of the Superior Court