



**REQUEST FOR PROPOSALS  
("RFP")**

**FOR**

**INSPECTION AND MAINTENANCE OF  
ASH LEACHATE COLLECTION AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS  
(RFP Number FY14-EN-001)**

**PROPOSAL DUE DATE  
APRIL 17, 2014**

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

**March 3, 2014**

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**For**  
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**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 1  
NOTICE TO FIRMS  
REQUEST FOR PROPOSALS**

# CONNECTICUT RESOURCES RECOVERY AUTHORITY

## NOTICE TO CONTRACTORS – INVITATION TO FIRMS

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. Two of CRRA’s facilities are:

- The Hartford Landfill located at 180 Leibert Road in Hartford Connecticut 06120. Part of the landfill is a closed 18 acre lined ash area.
- The Shelton Landfill located at 866 River Road (Route 110) in Shelton Connecticut. Part of the landfill consists of two closed lined ash areas.

The lined ash areas at each landfill are equipped with a Leachate Collection and Treatment System that requires ongoing inspection and maintenance.

CRRA is seeking proposals from qualified contractors to furnish all tools, materials, labor, equipment and incidentals thereto for the inspection and maintenance of the Ash Leachate Collection and Treatment System at the Hartford Landfill and/or Shelton Landfill for the three-year period from July 1, 2014 through June 30, 2017.

Request for Proposal (“RFP”) package documents may be obtained beginning **Tuesday, March 3, 2014** on the World Wide Web at <http://www.crra.org> under the “Business Opportunities” page. Documents may also be picked up at CRRA headquarters located at 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, CT 06103. Anyone intending to pick up the documents at CRRA’s offices must contact Roger Guzowski by telephone (860-757-7703) or by e-mail ([rguzowski@crra.org](mailto:rguzowski@crra.org)) at least 24 hours in advance. There is a charge of \$50.00 for anyone picking up the documents at CRRA’s office. Payment should be made by check payable to “Connecticut Resources Recovery Authority.”

There will be a mandatory pre-proposal conference and tour of the site for all prospective proposers as follows:

- Shelton Landfill – 11am, Tuesday March 18, 2014
- Hartford Landfill – 1:30pm, Tuesday, March 18, 2014;

Any prospective proposer intending to participate in the pre-proposal conference and any of the site tours should notify CRRA by submitting the mandatory Notice Of Interest Form (Section 3 of the RFP Package Documents) to Roger Guzowski via e-mail ([rguzowski@crra.org](mailto:rguzowski@crra.org)) or via fax (860-757-7742) by 3pm, Monday, March 17, 2014.

**Sealed proposals must be received at the offices of CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722 no later than 3:00 p.m., Thursday, April 17, 2014.** Proposals received after the time and date set forth above shall be rejected. All proposals shall remain open for ninety (90) days after the proposal due date.

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

All questions regarding this RFP must be submitted **in writing** to Roger Guzowski, by e-mail ([rguzowski@crra.org](mailto:rguzowski@crra.org)), by fax (860-757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103) no later than 3:00 p.m., Thursday, April 3, 2014. Subject to the discretion of CRRA, CRRA may decide to provide written responses to firms no later than Friday, April 11, 2014. Any firm considering submitting a proposal is prohibited from having any ex-parte communications with any CRRA staff member or CRRA Board member except Mr. Guzowski.

**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 2  
INSTRUCTIONS TO PROPOSERS**

# INSTRUCTIONS TO PROPOSERS

## INSPECTION AND MAINTENANCE OF ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT THE HARTFORD AND SHELTON LANDFILLS

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### 1. Introduction

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.

Two of CRRA’s facilities are:

- The Hartford Landfill located at 180 Leibert Road in Hartford Connecticut 06120. Part of the landfill is a closed 18 acre lined ash area.

- The Shelton Landfill located at 866 River Road (Route 110) in Shelton Connecticut. Part of the landfill consists of two closed lined ash areas.

The lined ash areas at each landfill are equipped with a Leachate Collection and Treatment System. This system, which collects water from the Lined Ash Area and pumps it to an on-site pH adjustment system, requires regular inspection and maintenance services.

CRRA is seeking Proposals from qualified contractors to furnish all tools, materials, labor, equipment and incidentals thereto for the inspection and maintenance of the Ash Leachate Collection and Treatment System at the Hartford Landfill and/or Shelton Landfill for the three-year period from July 1, 2014 through June 30, 2017.

## 2. RFP Projected Timeline

The following is the projected timeline for the RFP process:

ITEM	DATE
RFP Documents Available	Monday, March 3, 2014
Notice of interest due (to attend mandatory pre-proposal conference and site tour)	By 3pm, Monday, March 17, 2014
Mandatory Pre-Proposal Conference and Site Tour at the Shelton Landfill	11am, Tuesday March 18, 2014
Mandatory Pre-Proposal Conference and Site Tour at the Hartford Landfill	1:30pm Tuesday, March 18, 2014
Deadline for Written Questions	By 3pm, Thursday, April 3, 2014
Response to Written Questions	No Later Than Friday, April 11, 2014
Proposals Due at CRRA	Thursday, April 17, 2014
Selection and Notice 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).
Effective Date of Agreement	July 1, 2014

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 Proposals and republish this RFP. CRRA also reserves the right at its sole and absolute discretion to terminate this RFP process at any time prior to the execution of any Agreement.



### 3. Definitions

As used in this Instructions To Proposers 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 Proposal due date that clarify, correct or change any or all of the Contract Documents.
- (b) **Contract Documents:**
  - (1) Agreement For The Inspection And Maintenance Of The Ash Leachate Collection And Treatment System Agreement At [The Hartford And/Or Shelton Landfill(s)](the “Agreement”);
  - (2) RFP Package Documents (defined below)
  - (3) Addenda;
  - (4) Contractor’s Proposal (including all documentation attached to or accompanying such Proposal, all other documentation submitted in connection with such Proposal, and all post-Proposal documentation submitted prior to the Notice Of Award);
  - (5) Notice Of Award, with Contractor Certification Concerning Gifts attached [to be executed by successful Proposer]; 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 Proposer that states that CRRA has accepted such Proposer’s Proposal and sets forth the remaining conditions that must be fulfilled by such Proposer before CRRA executes the Agreement.
- (e) **Project:** The provision by the successful Proposer of the services required for inspecting and maintaining the ash leachate collection and treatment system at the Hartford Landfill and/or Shelton Landfill, in accordance with the Contract Documents.
- (f) **Property:** The certain parcel of real property located at 180 Leibert Road, Hartford, Connecticut 06120 upon which property CRRA operates the Hartford Landfill, and/or the certain parcel of real property located at 866 River Road (Route 110) in Shelton Connecticut upon which property CRRA operates the Shelton Landfill.
- (g) **RFP Package Documents:**
  - 1. Notice To Contractors – Request for Proposals

2. Instructions To Proposals
3. Notice of Interest Form
4. Proposal Bond
5. Mandatory Proposal Forms
  - 5.1. Proposal Form
  - 5.2. Proposal Price Form
  - 5.3. Business Information Form
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  - 5.8. Background Questionnaire
6. SEEC Form 11, Notice To Executive Branch State Contractors And Prospective State Contractors Of Campaign Contribution And Solicitation Ban
7. (Sample) Notice Of Award
8. (Form of ) Agreement for the Inspection And Maintenance Of The Ash Leachate Collection And Treatment System At The Hartford [and/or] Shelton Landfill(s)
  - Exhibit A. Scope Of Services
  - Exhibit B. Price and Payment Rate Schedule
  - Exhibit C. Lump Sum Bill Format
  - Exhibit D. Bill Format - Time & Material Tasks
  - Exhibit E. CRRA Travel And Expense Policy
  - 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

- (h) **Site:** Those areas of the Property upon which any of the Work is to be performed, furnished and completed by the successful Proposer in accordance with the Contract Documents.

Terms used, but not defined, in this Instructions To Proposers 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 Proposers, during the period while the RFP process is active (i.e., from the date CRRA issues the RFP until the date the suc-

successful Proposer accepts the Notice Of Award), firms contemplating or preparing Proposals are prohibited from contacting CRRA staff or CRRA Board of Director members in an ex parte manner to discuss the RFP submission process. A firm's RFP submission shall be rejected if any of the foregoing ex parte communications take place.

## **5. Reserved Rights**

In addition to the other rights in this Request for Proposals, CRRA reserves, holds and may exercise at its sole discretion, the following rights and options:

- (a) To supplement, amend, or otherwise modify or cancel this Request for Proposals with or without substitution of another Request for Proposals;
- (b) To issue additional or subsequent solicitations for Proposals;
- (c) To conduct investigations of the Proposers and their Proposals;
- (d) To clarify the information provided pursuant to this Request for Proposals;
- (e) To request additional evidence or documentation to support the information included in any Proposal;
- (f) To reject any and all Proposal, or parts thereof, and/or to waive any informality or informalities in any of the proposals or the proposal process for the RFP, if such rejection or waiver is deemed in the best interests of CRRA.
- (g) To terminate this RFP process at any time prior to the execution of any Agreement.

## **6. Scope Of Services**

CRRA is seeking Proposals from qualified contractors to furnish all tools, materials, labor, equipment and incidentals thereto for the inspection and maintenance of the ash leachate collection and treatment system at the Hartford Landfill and Shelton Landfill for the three-year period from July 1, 2014 through June 30, 2017 (the "Services"). The Services will include, but will not be limited to, the following:

- (a) Mobilization and demobilization;
- (b) Inspection and maintenance of all pumps, transducers, piping, valves, totalizers, lift stations, telemetry, storage tanks, PLC, chart recorders, relays, alarms, mixers and any other equipment that is part of the ash leachate collection and treatment system as outlined in the Scope of Services;
- (c) Written documentation of all inspection and maintenance activities;
- (d) Preparation and submission of quarterly, semi-annual, and annual inspection reports; and
- (e) Supply and maintenance of spare parts inventory.

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

If additional services are required during the term of the Agreement at the Hartford Landfill and/or Shelton Landfill, such services shall be pre-approved in writing by CRRA.

## **7. Availability of RFP Package Documents**

Complete sets of the RFP Package Documents may be obtained beginning Monday, March 3, 2014 through CRRA's website on the World Wide Web at [www.crra.org](http://www.crra.org) through the "Business Opportunities" link and under "RFP: Inspection And Maintenance Of The Ash Leachate Collection And Treatment System At The Hartford And Shelton Landfills" heading.

Documents may also be picked up at CRRA headquarters located at 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, CT 06103. Anyone intending to pick up the documents at CRRA's offices must contact Roger Guzowski by telephone (860-757-7703) or by e-mail ([rguzowski@crra.org](mailto:rguzowski@crra.org)) at least 24 hours in advance. There is a charge of \$35.00 for anyone picking up the documents at CRRA's office. Payment should be made by check payable to "Connecticut Resources Recovery Authority."

All of the forms included in the documents are available for downloading in Microsoft Word format at CRRA's web site. Prospective Proposers can fill them out by typing the answers on their computer's keyboard. The forms can then be printed on submitted with the Proposal.

## **8. Mandatory Pre-Proposal Conference And Site Tour**

CRRA staff will conduct a **mandatory pre-proposal meeting and site tour** for all prospective Proposers at each Landfill. Prospective Proposers must attend the Landfill tour for each Landfill for which they intend to submit a Proposal. The mandatory Landfill tours are scheduled as follows:

- Shelton Landfill – 11am, Tuesday, March 18, 2014;
- Hartford Landfill – 1:30pm, Tuesday, March 18, 2014.

CRRA reserves the right to reject Proposals submitted by a Proposer that did not attend the mandatory pre-Proposal conference and the mandatory Landfill tour for each Landfill for which the Proposal is submitted. Alternate times for visiting the Landfills will not be allowed.

Prospective Proposers should submit the Notice of Interest Form (Section 3 of the RFP Package Documents) to Roger Guzowski, CRRA Contract and Procurement Manager via e-mail at [rguzowski@crra.org](mailto:rguzowski@crra.org) or via fax at (860)757-7742 on or prior to 3:00 PM ET,

Monday, March 17, 2014 to register for the **mandatory pre-proposal meeting and site tours**.

## **9. Addenda And Interpretations**

CRRA may issue Addenda to this Proposal package that shall, upon issuance, become part of this package and binding upon all potential or actual Proposers for the Services. Such Addenda may be issued in response to requests for interpretation or clarification received from potential Proposers.

Any request for interpretation or clarification of any documents included in this proposal package must be **submitted in writing to Roger Guzowski, Contract And Procurement Manager, by e-mail (rguzowski@ crra.org), by fax ((860) 757-7742), or by correspondence (CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722). To be given consideration, any such written request must be received by CRRA by 3:00 p.m., Thursday, April 3, 2014.**

Addenda if any issued before the mandatory pre-proposal meeting(s) and site tour(s) will be posted on CRRA's web site (<http://www.crra.org> on the "Business Opportunities" page under the "RFP: Inspection And Maintenance Of Ash Leachate Collection And Treatment System At The Hartford And Shelton Landfills" heading). Addenda, issued after the mandatory pre-proposal conference and site tour will be mailed and/or e-mailed to all persons who attended the pre-proposal conference and site tour and will be posted on CRRA's web site no later than three (3) days before the submittal deadline.

Failure of any Proposer to receive any such Addenda shall not relieve such Proposer 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.**

## **10. Proposal Submittal Procedures**

**Sealed Proposals shall be submitted no later than 3:00 p.m., Eastern Time, Thursday, April 17, 2014** at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Roger Guzowski. Proposals received after the time and date set forth above shall be rejected.

Each Proposer must submit one (1) original and one (1) copy of its Proposal. The original Proposal shall be stamped or otherwise marked as such. The Proposal shall be bound together by a binder clip.

Each Proposal (the original and copy) shall be enclosed in a sealed envelope that shall be clearly marked "Proposal For Inspection And Maintenance Of The [Hartford and/or Shelton, as appropriate] Landfill Ash Leachate Collection And Treatment System."

## **11. Period Proposals Shall Remain Open**

Proposals shall remain open and subject to acceptance for ninety (90) days after the Proposal due date.

## **12. Non-Negotiability Of The Agreement**

The terms and conditions of the Agreement (Section 8 of the RFP Package Documents), as attached, are non-negotiable. Any potential Proposer that will be unable to execute the Agreement, as attached, should not submit a Proposal. This includes, but is not limited to, the insurance requirements (Section 6 of the Agreement). However, CRRA reserves the right to negotiate any items with any responsive Proposer.

## **13. Modification/Withdrawal Of A Proposal**

Proposals may be modified or withdrawn by an appropriate document duly executed (in the manner that a Proposal must be executed) and delivered to CRRA's office, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Roger Guzowski, at any time prior to the Proposal due date.

## **14. Proposal Security**

Each Proposal shall be accompanied by a Proposal Security. Any Proposal that does not contain a Proposal Security or any Proposal that contains a Proposal Security that does not comply with the following requirements shall be rejected as non-responsive.

### **14.1 Amount of Security**

The Proposal Security shall be in an amount equal to five percent (5%) of the amount of the Proposal.

### **14.2 Type of Security**

The following are the acceptable forms of Proposal Security:

1. A cashier's check;
2. A certified check; or
3. A Proposal bond in the form included in Section 4 of the RFP Package Documents.

The Proposal Security shall be made payable to CRRA.

Any Proposal bond submitted as Proposal Security shall be in the form provided for such Proposal bond in Section 4 of the RFP Package Documents and such Proposal bond shall be executed and issued by a surety company acceptable to CRRA. Any Proposal that does not contain the above requisite Proposal Security or any Pro-

posal that contains Proposal Security that does not comply with the foregoing requirements shall be rejected as non-responsive.

### **14.3 Disposition of Proposal Security**

The Proposal Security of the successful Proposer will be retained until such Proposer has executed the Agreement, furnished the required contract security and satisfied all other conditions of the Notice of Award, including execution and submission of the Contractor Certification Concerning Gifts (**Section 8I of the RFP Package Documents**), whereupon such Proposal Security will be returned.

If the successful Proposer fails to execute and deliver the Agreement, furnish the required contract security, or satisfy all other conditions of the Notice Of Award within ten (10) days after the issuance of such Notice Of Award, CRRA may annul the Notice Of Award and the Proposal Security of that Proposer shall be forfeited.

The Proposal Security of other Proposers whom CRRA believes to have a reasonable chance of receiving the award may be retained by CRRA until the earlier of the seventh (7<sup>th</sup>) day after the Effective Date of the Agreement or ninety (90) days after the Proposal due date, whereupon the Proposal Security furnished by such Proposers will be returned. Proposal Security with Proposals that are not competitive will be returned within seven (7) days after the opening of such Proposals.

## **15. Proposal Contents**

Proposals shall be submitted on forms provided by CRRA as part of this Proposal package, all of which forms must be completed with the appropriate information required and all blanks on such forms filled in.

A Proposal must consist of the following and must be in the following order:

- (a) **Title page**, including the title of the project, the name of the Proposer and the date the Proposal is submitted;
- (b) **Cover letter**, signed by a person authorized to commit the Proposer to the contractual arrangements with CRRA, which includes the following:
  - (1) The name of the Proposer;
  - (2) A clear statement indicating that the attached Proposal constitutes a firm and binding offer by the Proposer to CRRA considering the terms and conditions outlined in the RFP; and
  - (3) The Proposer's promise, if any, to set aside a portion of the contract for legitimate minority business enterprises (see Section 17.2 of this Instructions To Proposers);
- (c) **Table of Contents** for the Proposal (not the Table of Contents included in the RFP Package Documents);

- (d) **Proposal Security** (cashier's check, certified check or Proposal bond) (see Section 14 of this Instructions To Proposers);
- (e) The completed **Proposal Form** (Section 5.1 of the RFP Package Documents), with Addenda, if any, listed in the appropriate place (Page 2), the name and address of the contact for Notices listed in the appropriate place (Page 7) and the completed agreement section (Page 7);
- (f) The completed **Proposal Price Form** (Section 5.2 of the RFP Package Documents);
- (g) The completed **Business Information Form** (Section 5.3 of the RFP Package Documents)
- (h) The completed **Personnel Background And Experience Form** (Section 5.4 of the RFP Package Documents)
- (i) The completed **References Form** (Section 5.5 of the RFP Package Documents);
- (j) The completed **Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety Form** (Section 5.6 of the RFP Package Documents), with the Proposer's most recent EEO-1 data attached if the Proposer wishes such data to be considered in the evaluation of its Proposal;
- (k) The completed **Affidavit Concerning Nondiscrimination** (subscribed and sworn before a Notary Public or Commissioner of the Superior Court); (Section 5.7 of the RFP Package Documents);
- (l) The completed Proposer's **Background Questionnaire** (subscribed and sworn before a Notary Public or Commissioner of the Superior Court); (Section 5.8 of the RFP Package Documents) and;
- (m) A copy of the Proposer's up-to-date certificate of insurance showing coverage required in Article 6 of the Agreement.

Proposers should not include in their Proposals other portions of the Proposal Package Documents (e.g., this Instructions To Proposers or the Agreement).

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

## 16. Proposal Opening

All Proposals will be opened at CRRA's convenience on or after the Proposal due date.



## 17. Proposal Evaluation

The award of the contract for the Services will be made, if at all, to the Proposer(s) whose evaluation by CRRA results in CRRA determining that such award to such Proposer(s) is in the best interests of CRRA. **However, the selection of a Proposer(s) and the award of such contract, 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.

### 17.1 Evaluation Criteria

CRRA will base its evaluation of the Proposals on price, qualifications, demonstrated skill, ability and integrity of each Proposer to perform the Services required by the Contract Documents and any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

### 17.2 Affirmative Action Evaluation Criteria

Proposals will also be rated on the Proposer'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 Proposer'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 5.6 of the RFP Package Documents));
- (b) The Proposer'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 5.6 of the RFP package documents));
- (c) The Proposer'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 5.6 of the RFP package documents));
- (d) The Proposer'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 15(j) of this Instructions To Proposers); and
- (e) The Proposer's promise to set aside a portion of the contract for legitimate minority business enterprises (See Section 15(b) of this Instructions To Proposers).

## **18. Contract Award**

If the contract is to be awarded, CRRA will issue to the successful Proposer(s) a Notice Of Award within ninety (90) days after the Proposal 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 a Proposer and subsequently awarding the Notice of Award to another Proposer. Such action by CRRA shall not constitute a breach of this RFP by CRRA since the Notice Of Award to the initial Proposer is deemed to be void ab initio and of no effect as if no Agreement ever existed between CRRA and the initial Proposer.

## **19. Contractor's Certification Concerning Gifts**

Pursuant to *Connecticut General Statutes* Section 4-252, the apparently successful Proposer(s) must submit a document certifying that it has not given any gifts to certain individuals between the date CRRA started planning the RFP and the date the Agreement is executed. If the apparently successful Proposer does not execute the Certification, it will be disqualified for the Agreement. The dates between which the Proposer may not give gifts and the identities of those to whom it may not give gifts are specified in the Form of the Agreement (Section 8I of the RFP package documents).

## **20. Affidavit Concerning Consulting Fees**

Pursuant to *Connecticut General Statutes* Section 4a-81, the apparently successful Proposer(s) must submit an affidavit stating that, except as specified in the affidavit, it has not entered into any contract with a consultant in connection with the RFP whereby any duties of the consultant pursuant to the contract require the consultant to pursue communications concerning the business of CRRA, whether or not direct contract with CRRA was expected or made. The affidavit is attached to the Notice Of Award included in the Form of the Agreement (Section 8H of the RFP Package Documents).

## **21. Proposer's Qualifications**

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

## **22. Proposal Preparation And Other Costs**

Each Proposer shall be solely responsible for all costs and expenses associated with the preparation and/or submission of its Proposal, 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 PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 3  
NOTICE OF INTEREST FORM**



<b>NOTICE OF INTEREST FORM</b>
--------------------------------

Individuals and firms that have an interest in the Connecticut Resources Recovery Authority (“CRRA”) solicitation listed below are encouraged to submit this Notice Of Interest (“NOI”) Form to CRRA as early as they can. Forms should be submitted no later than the date specified below. Request For Bids/Proposals/ Qualifications documents and other information released by CRRA related to the solicitation will be directly provided to those firms that have submitted this Form to CRRA by the Form Due Date.

Solicitation:	<b>INSPECTION AND MAINTENANCE OF ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT THE HARTFORD AND SHELTON LANDFILLS</b>
RFP Number:	<b>RFP 14-EN-001</b>
NOI Form Due Time/Date:	<b>3pm, Monday March 17<sup>th</sup>, 2014</b>

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 CRRA contact listed below via e-mail, fax or correspondence as listed below.

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

**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 4  
PROPOSAL BOND**

# PROPOSAL BOND FORM

Any singular reference to Contractor, Surety, Owner or other party shall be considered plural where applicable. The below addresses are to be used for giving required notice.

**BIDDER/PROPOSER** (Name and Address):

**SURETY** (Name and Address of Principal Place of Business):

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**OWNER** (Name and Address):

Connecticut Resources Recovery Authority 100 Constitution Plaza, 6 <sup>th</sup> Floor Hartford, CT 06103-1722
--

**BID/PROPOSAL**

<b>DUE DATE:</b>	
<b>AMOUNT:</b>	
<b>PROJECT DESCRIPTION</b> <small>(Including Name and Location):</small>	Inspection and Maintenance Of Ash Leachate Collection And Treatment System At The Hartford And Shelton Landfills

**BOND**

<b>BOND NUMBER:</b>	
<b>DATE</b> <small>(Not later than Bid/Proposal Due Date):</small>	
<b>PENAL SUM:</b>	DOLLARS (\$ _____ )

IN WITNESS WHEREOF, Surety and Bidder/Proposer, intending to be legally bound hereby, subject to the terms printed on Page 2 hereof, do each cause this Bid/Proposal Bond to be duly executed on its behalf by its authorized officer, agent, or representative.

**BIDDER/PROPOSER**

**SURETY**

--

(SEAL)

--

(SEAL)

Bidder's Name and Corporate Seal

Surety's Name and Corporate Seal

<b>SIGNATURE:</b>		<b>SIGNATURE:</b>	
<b>NAME AND TITLE:</b>		<b>NAME AND TITLE:</b>	

## TERMS AND CONDITIONS TO BID/PROPOSAL BOND

1. Bidder/Proposer and Surety, jointly and severally, bind themselves, their heirs, executors, administrators, successors and assigns to pay to Owner upon default of Bidder/Proposer any difference between the total amount of Bidder's/Proposer's bid/proposal and the total amount of the bid/proposal of the next lowest, responsible and responsive bidder/proposer as determined by Owner for the Work/Service required by the Contract Documents, provided that:
  - 1.1 If there is no such next lowest, responsible and responsive bidder/proposer, and Owner does not abandon the Project, then Bidder/Proposer and Surety shall pay to Owner the penal sum set forth on the face of this Bond, and
  - 1.2 In no event shall Bidder's/Proposer's and Surety's obligation hereunder exceed the penal sum set forth on the face of this Bond.
2. Default of Bidder/Proposer shall occur upon the failure of Bidder/Proposer to deliver within the time required by the Bid/Proposal Documents (or any extension thereof agreed to in writing by Owner) the executed Agreement and related documents required by the Bid/Proposal Documents and any performance and payment bonds required by the Bid/Proposal Documents and Contract Documents.
3. This obligation shall be null and void if:
  - 3.1 Owner accepts Bidder's/Proposer's bid/proposal and bidder/proposer delivers within the time required by the Bid/Proposal Documents (or any extension thereof agreed to in writing by Owner) the executed Agreement and related documents required by the Bid/Proposal Documents and any performance and payments bonds required by the Bid/Proposal Documents and Contract Documents, or
  - 3.2 All bids/proposals are rejected by Owner, or
  - 3.3 Owner fails to issue a notice of award to Bidder/Proposer within the time specified in the Bid/Proposal Documents (or any extension thereof agreed to in writing by Bidder/Proposer and, if applicable, consented to by Surety when required by paragraph 5 hereof).
4. Payment under this Bond will be due and payable upon default by Bidder/Proposer and within 30 calendar days after receipt by Bidder/Proposer and Surety of written notice of default from Owner, which notice will be given with reasonable promptness, identifying this Bond and the Project and including a statement of the amount due.
5. Surety waives notice of any and all defenses based on or arising out of any time extension to issue notice of award agreed to in writing by Owner and Bidder/Proposer, provided that the total time for issuing notice of award including extensions shall not in the aggregate exceed 120 days from Bid/Proposal Due Date without Surety's written consent.
6. No suit or action shall be commenced under this Bond prior to 30 calendar days after the notice of default required in paragraph 4 above is received by Bidder/Proposer and Surety and in no case later than one year after Bid/Proposal Due Date.
7. Any suit or action under this Bond shall be commenced only in a court of competent jurisdiction located in the state in which the Project is located.
8. Notices required hereunder shall be in writing and sent to Bidder/Proposer and Surety at their respective addresses shown on the face of this Bond. Such notices may be sent by personal delivery, commercial courier or by United States Registered or Certified Mail, return receipt requested, postage pre-paid, and shall be deemed to be effective upon receipt by the party concerned.
9. Surety shall cause to be attached to this Bond a current and effective Power of Attorney evidencing the authority of the officer, agent or representative who executed this Bond on behalf of Surety to execute, seal and deliver such Bond and bind the Surety thereby.
10. This Bond is intended to conform to all applicable statutory requirements. Any applicable requirement of any applicable statute that has been omitted from this Bond shall be deemed to be included herein as if set forth at length. If any provision of this Bond conflicts with any applicable provision of any applicable statute, then the provision of said statute shall govern and the remainder of this Bond that is not in conflict therewith shall continue in full force and effect.

**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 5  
PROPOSAL FORMS**

**Includes:**

Form 1: Proposal Form

Form 2: Proposal Price Form (2a. Hartford, 2b. Shelton)

Form 3: Business Information Form

Form 4: Personnel Background And Experience Form

Form 5: References Form

Form 6: Questionnaire Concerning Affirmative Action, etc.

Form 7: Affidavit Concerning Non-Discrimination

Form 8: Background Questionnaire





**PROPOSAL  
FORM**

**RFP NUMBER:** 14-EN-001

**CONTRACT FOR:** Inspection And Maintenance Of The Hartford Landfill Ash Leachate Collection And Treatment System At The Hartford [And/Or] Shelton Landfill[s]

**PROPOSAL  
SUBMITTED TO:** Connecticut Resources Recovery Authority  
100 Constitution Plaza, 6<sup>th</sup> Floor  
Hartford, Connecticut 06103-1722

**1. DEFINITIONS**

Unless otherwise defined herein, all terms that are not defined and used in this Proposal Form (a “Proposal”) shall have the same respective meanings assigned to such terms in the Contract Documents.

**2. TERMS AND CONDITIONS**

The undersigned (the “Proposer”) accepts and agrees to all terms and conditions of the Request For Proposals, Instructions To Proposers, the Agreement and any Addenda to any such documents. This Proposal shall remain open and subject to acceptance for ninety (90) days after the Proposal due date.

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

- (a) Execute and deliver to CRRA the required number of counterparts of the non-negotiable Agreement;
- (b) Execute and deliver to CRRA the Affidavit Concerning Consulting Fees;
- (c) Execute and deliver to CRRA the Contractor’s Certification Concerning Gifts;
- (d) Execute and deliver to CRRA all other Contract Documents attached to the Notice Of Award including a Certificate of Insurance showing the coverage required in Article 6 of the Agreement along with any other documents required by the Contract Documents; and
- (e) Satisfy all other conditions of the Notice Of Award.

**3. PROPOSER’S OBLIGATIONS**

Proposer proposes and agrees, if this Proposal is accepted by CRRA and CRRA issues a Notice Of Award to Proposer, to the following:

- (a) To perform, furnish and complete all the Services as specified or indicated in the Contract Documents and Agreement for the Proposal Price and within the Contract Time set forth in this Proposal and in accordance with the terms and conditions of the Contract Documents and Agreement; and
- (b) At the request of CRRA and if the successful Proposer qualifies, to apply with the State of Connecticut Department 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*.

**4. PROPOSER’S REPRESENTATIONS CONCERNING NON-NEGOTIABILITY OF THE AGREEMENT**

In submitting this Proposal, Proposer acknowledges and agrees that the terms and conditions of the Agreement (including all Exhibits thereto), as included in the RFP, are non-negotiable, and Proposer is willing to and shall, if CRRA accepts its Proposal for the Services and issues a Notice Of Award to Proposer, execute such Agreement. However, CRRA reserves the right to negotiate any items with any responsive Proposer.

**5. PROPOSER’S REPRESENTATIONS CONCERNING EXAMINATION OF CONTRACT DOCUMENTS**

In submitting this Proposal, Proposer represents that:

- (a) Proposer has thoroughly examined and carefully studied the RFP 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 Proposal 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) Proposer 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) Proposer has studied and carefully correlated Proposer's knowledge and observations with the Contract Documents and such other related data;
- (e) Proposer has given CRRA written notice of all conflicts, errors, ambiguities and discrepancies that Proposer has discovered in the Contract Documents and the written resolutions thereof by CRRA are acceptable to Proposer;
- (f) If Proposer has failed to promptly notify CRRA of all conflicts, errors, ambiguities and discrepancies that Proposer has discovered in the Contract Documents, such failure shall be deemed by both Proposer and CRRA to be a waiver to assert these issues and claims in the future;
- (g) Proposer is aware of the general nature of services to be performed by CRRA and others that relates to the Services for which this Proposal is submitted; and
- (h) The Contract Documents are generally sufficient to indicate and convey understanding by Proposer of all terms and conditions for performing, furnishing and completing the Services for which this Proposal is submitted.

## **6. PROPOSER'S REPRESENTATIONS CONCERNING SITE CONDITIONS**

In submitting this Proposal, Proposer acknowledges and agrees that:

- (a) All information and data included in this RFP package relating to the surface, subsurface and other conditions of the Site are from presently available sources and are being provided only for the information and convenience of the Proposers;
- (b) CRRA does not assume any responsibility for the accuracy or completeness of such information and data, if any, shown or indicated in the Contract Documents with respect to any surface, subsurface or other conditions of the Site(s);
- (c) Proposer is solely responsible for investigating and satisfying itself as to all actual and existing Site conditions, including surface conditions, subsurface conditions and underground facilities; and
- (d) Proposer has visited the Site and has become familiar with and is satisfied as to the general, local, and site conditions that may affect cost, progress, performance, furnishing and completion of the Services.

**7. PROPOSER'S REPRESENTATIONS CONCERNING INFORMATION MADE AVAILABLE**

In submitting this Proposal, Proposer acknowledges and agrees that Proposer shall not use any information made available to it or obtained in any examination made by it in connection with this RFP 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. PROPOSER'S REPRESENTATIONS CONCERNING STATE OF CONNECTICUT TAXES**

In submitting this Proposal, Proposer acknowledges and agrees that CRRA is exempt from all State of Connecticut taxes and assessments, including sales and use taxes. Accordingly, Proposer shall not charge CRRA any State of Connecticut taxes or assessments at any time in connection with Proposer's performance of this Agreement, nor shall Proposer include any State of Connecticut taxes or assessments in any rates, costs, prices or other charges to CRRA hereunder. Proposer 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 Proposal or other submittal to CRRA in connection with this RFP.

**9. PROPOSER'S REPRESENTATIONS CONCERNING DISCLOSURE OF INFORMATION**

In submitting this Proposal, Proposer:

- (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 Proposer's Proposal is subject to disclosure if required by law or otherwise; and
- (b) Expressly waives any claim(s) that Proposer 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. PROPOSER'S REPRESENTATIONS CONCERNING NON-COLLUSION**

By submission of this Proposal, the Proposer, 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 Proposal 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 Proposal have not, directly or indirectly, been knowingly disclosed by the Proposer prior to “opening” to any other person or company;
- (c) No attempt has been made or will be made by the Proposer to induce any other person, partnership or corporation to submit, or not to submit, a Proposal for the purpose of restricting competition;
- (d) Proposer has not directly or indirectly induced or solicited any other Proposer to submit a false or sham Proposal; and
- (e) Proposer has not sought by collusion to obtain for itself any advantage for the Work over any other Proposer for the Work or over CRRA.

## **11. PROPOSER’S REPRESENTATIONS CONCERNING RFP FORMS**

By submission of this Proposal, the Proposer, 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 RFP that are submitted to CRRA as part of its Proposal are identical in form and content to the preprinted forms in the RFP 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. PROPOSAL SECURITY**

Proposer acknowledges and agrees that the amount of the Proposal Security submitted with this Proposal fairly and reasonably represents the amount of damages CRRA will suffer in the event that Proposer fails to fulfill any of its obligations set forth in the Contract Documents.

## **13. PROPOSER’S WAIVER OF DAMAGES**

Proposer and all its affiliates and subsidiaries understand that by submitting a Proposal, Proposer is acting at its and their own risk and Proposer 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 Proposals by CRRA or any of its directors, officers, employees or authorized agents;
- (b) Any agreement entered into for the Work (or any part thereof) described in the Contract Documents; and/or
- (c) Any award or non-award of a contract for the Work (or any part thereof) pursuant to the Contract Documents.

**14. PROPOSER’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 agreement 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 6 [SEEC Form 11] of the RFP Package Documents.

**15. ATTACHMENTS**

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

- (a) The Proposal Security;
- (b) The completed Proposal Price And Payment Rate Schedule Form;
- (c) The completed References Form;
- (d) The completed Background And Experience Form;
- (e) The completed Subcontractor Identification Form;
- (f) Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety that has been completely filled out by the Proposer;
- (g) Affidavit Concerning Nondiscrimination that has been completely filled out and subscribed and sworn before a Notary Public or Commissioner of the Superior Court;
- (h) Background Questionnaire that has been completely filled out by the Proposer and subscribed and sworn before a Notary Public or Commissioner of the Superior Court;
- (i) Answers to the Issues And Questions To Be Addressed, with a written answer provided to each question and each answer beginning on a new page; and
- (j) A copy of the Proposer’s up-to-date certificate of insurance showing all insurance coverages required by Article 6 of the Agreement.

**16. NOTICES**

Communications concerning this Proposal should be addressed to Proposer at the address set forth below.

Proposer Name:	
Proposer Contact:	
Title:	
Address:	
Telephone Number:	
Fax Number:	
E-Mail Address:	

**17. ADDITIONAL REPRESENTATION**

Proposer hereby represents that the undersigned is duly authorized to submit this Proposal on behalf of Proposer.

**AGREED TO AND SUBMITTED ON** \_\_\_\_\_, 2014

Name of Proposer (Firm):	
Signature of Proposer Representative:	
Name (Typed/Printed):	
Title (Typed/Printed):	



**PROPOSAL PRICE AND PAYMENT RATE SCHEDULE FORM**

Proposer will provide the Services as specified in the Contract Documents for the inspection and maintenance of the Hartford Landfill ash leachate collection and treatment system as specified below.

**1. I&M PROPOSAL PRICE – ROUTINE INSPECTION AND MAINTENANCE**

In the following table, provide your lump sum Proposal price for routine inspection and maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System as detailed in the “Scope of Services” and Attachment thereto for each of the years specified.

Period	Dollars	Cents
<b>Year 1 (July 1, 2014 – June 30, 2015)</b>		
Quarterly Inspection & Maintenance Services		
Semi Annual Inspection & Maintenance Services		
Annual Inspection & Maintenance Services		
<b>Year 2 (July 1, 2015 – June 30, 2016)</b>		
Quarterly Inspection & Maintenance Services		
Semi Annual Inspection & Maintenance Services		
Annual Inspection & Maintenance Services		
<b>Year 3 (July 1, 2016 – June 30, 2017)</b>		
Quarterly Inspection & Maintenance Services		
Semi Annual Inspection & Maintenance Services		
Annual Inspection & Maintenance Services		



**2. TIME AND MATERIALS COMPENSATION SCHEDULE – NON-ROUTINE MAINTENANCE AND REPAIR SERVICES**

In the tables below, provide your rates (unit price) for non-routine maintenance and repair services for the Ash Leachate Collection and Treatment System. (Use additional pages if necessary)

**2.1 Personnel Charges**

In the table below, provide the hourly rate for each of the staff levels listed. For each staff level, indicate whether or not the staff level is eligible for overtime pay by placing a check mark in the box for those staff levels that are eligible for overtime pay.

Staff Level	OT	Hourly Rate		
		Year 1 (7/1/14 – 6/30/15)	Year 2 (7/1/15 – 6/30/16)	Year 3 (7/1/16 – 6/30/17)
Senior Supervisory/Senior Managers	<input type="checkbox"/>			
Professional Engineer/Senior Level	<input type="checkbox"/>			
Staff Engineering	<input type="checkbox"/>			
Project Manager	<input type="checkbox"/>			
Site Supervisor/Foreman	<input type="checkbox"/>			
Field Technicians	<input type="checkbox"/>			
Laborer	<input type="checkbox"/>			
Drafting/AutoCAD Operators	<input type="checkbox"/>			
Administrative Personnel	<input type="checkbox"/>			
Word Processing	<input type="checkbox"/>			
Other (Specify):	<input type="checkbox"/>			
Other (Specify):	<input type="checkbox"/>			

## 2.2 Equipment Charges

In the table below, specify each type of equipment/service that you would bill for separately and provide the hourly rate for each of the equipment/service.

Equipment	Hourly Rate		
	Year 1 (7/1/14 – 6/30/15)	Year 2 (7/1/15 – 6/30/16)	Year 3 (7/1/16 – 6/30/17)
<b>Service Trucks and Tools (List)</b>			
<b>Instrumentation and Monitoring Equipment (List)</b>			
<b>Standby, Replacement and Temporary/Backup Equipment (List)</b>			
<b>Subcontracted Services (List)</b>			

### 3. MARK-UP RATES

#### 3.1 Equipment and Materials

The proposed mark-up for overhead expenses associated with the purchase of equipment and materials is

% (fill in the percentage markup)

The successful Proposer will provide to CRRA copies of all applicable invoices in order to receive payment for equipment and materials purchased specifically for installation in association with the Project.

#### 3.2 Sub-Contractors

The proposed mark-up for overhead expenses associated with sub-consultant work on the Project is

% (fill in the percentage markup)

The successful Proposer will provide to CRRA copies of all applicable invoices in order to receive payment for sub-consultant work performed on the Project.

### 4. OVERTIME RATES

For employees who are eligible for and are paid a higher hourly rate for overtime than the hourly rate listed on Page 2, the successful Proposer will be entitled to reimbursement for such employee overtime when such overtime is a result of more than 8 hours in one day and/or more than 40 hours in one week worked on this project by such an employee.

Below, specify the proposed rate for overtime (i.e., the percentage by which the hourly rates specified on the preceding page would be multiplied to arrive at the overtime rate).

% (fill in the percentage rate for overtime )

**PROPOSER'S REPRESENTATION**

Proposer affirms that the Proposal price above represents the entire cost to complete the Inspection and Maintenance Services in accordance with the Contract Documents, and that no claim will be made on account of any increase in wage scales, material prices, delivery delays, taxes, insurance, cost indexes or any other rates affecting this Project, and that each and every such claim is hereby expressly waived by Proposer.

Name of Proposer (Firm):	
Signature of Proposer Representative:	
Name (Typed/Printed):	
Title (Typed/Printed):	
Date:	



**PROPOSAL PRICE AND  
PAYMENT RATE  
SCHEDULE FORM**

Proposer will provide the Services as specified in the Contract Documents for the inspection and maintenance of the Shelton Landfill ash leachate collection and treatment system as specified below.

**1. I&M PROPOSAL PRICE – ROUTINE INSPECTION AND MAINTENANCE**

In the following table, provide your lump sum Proposal price for routine inspection and maintenance of the Shelton Landfill Ash Leachate Collection and Treatment System as detailed in the “Scope of Services” and Attachment thereto for each of the years specified.

<b>Period</b>	<b>Dollars</b>	<b>Cents</b>
<b>Year 1 (July 1, 2014 – June 30, 2015)</b>		
Quarterly Inspection & Maintenance Services		
Semi Annual Inspection & Maintenance Services		
Annual Inspection & Maintenance Services		
<b>Year 2 (July 1, 2015 – June 30, 2016)</b>		
Quarterly Inspection & Maintenance Services		
Semi Annual Inspection & Maintenance Services		
Annual Inspection & Maintenance Services		
<b>Year 3 (July 1, 2016 – June 30, 2017)</b>		
Quarterly Inspection & Maintenance Services		
Semi Annual Inspection & Maintenance Services		
Annual Inspection & Maintenance Services		

**2. TIME AND MATERIALS COMPENSATION SCHEDULE – NON-ROUTINE MAINTENANCE AND REPAIR SERVICES**

In the tables below, provide your rates (unit price) for non-routine maintenance and repair services for the Ash Leachate Collection and Treatment System. (Use additional pages if necessary)

**2.1 Personnel Charges**

In the table below, provide the hourly rate for each of the staff levels listed. For each staff level, indicate whether or not the staff level is eligible for overtime pay by placing a check mark in the box for those staff levels that are eligible for overtime pay.

Staff Level	OT	Hourly Rate		
		Year 1 (7/1/14 – 6/30/15)	Year 2 (7/1/15 – 6/30/16)	Year 3 (7/1/16 – 6/30/17)
Senior Supervisory/Senior Managers	<input type="checkbox"/>			
Professional Engineer/Senior Level	<input type="checkbox"/>			
Staff Engineering	<input type="checkbox"/>			
Project Manager	<input type="checkbox"/>			
Site Supervisor/Foreman	<input type="checkbox"/>			
Field Technicians	<input type="checkbox"/>			
Laborer	<input type="checkbox"/>			
Drafting/AutoCAD Operators	<input type="checkbox"/>			
Administrative Personnel	<input type="checkbox"/>			
Word Processing	<input type="checkbox"/>			
Other (Specify):	<input type="checkbox"/>			
Other (Specify):	<input type="checkbox"/>			

## 2.2 Equipment Charges

In the table below, specify each type of equipment/service that you would bill for separately and provide the hourly rate for each of the equipment/service.

Equipment	Hourly Rate		
	Year 1 (7/1/14 – 6/30/15)	Year 2 (7/1/15 – 6/30/16)	Year 3 (7/1/16 – 6/30/17)
<b>Service Trucks and Tools (List)</b>			
<b>Instrumentation and Monitoring Equipment (List)</b>			
<b>Standby, Replacement and Temporary/Backup Equipment (List)</b>			
<b>Subcontracted Services (List)</b>			

### 3. MARK-UP RATES

#### 3.1 Equipment and Materials

The proposed mark-up for overhead expenses associated with the purchase of equipment and materials is

% (fill in the percentage markup)

The successful Proposer will provide to CRRA copies of all applicable invoices in order to receive payment for equipment and materials purchased specifically for installation in association with the Project.

#### 3.2 Sub-Contractors

The proposed mark-up for overhead expenses associated with sub-consultant work on the Project is

% (fill in the percentage markup)

The successful Proposer will provide to CRRA copies of all applicable invoices in order to receive payment for sub-consultant work performed on the Project.

### 4. OVERTIME RATES

For employees who are eligible for and are paid a higher hourly rate for overtime than the hourly rate listed on Page 2, the successful Proposer will be entitled to reimbursement for such employee overtime when such overtime is a result of more than 8 hours in one day and/or more than 40 hours in one week worked on this project by such an employee.

Below, specify the proposed rate for overtime (i.e., the percentage by which the hourly rates specified on the preceding page would be multiplied to arrive at the overtime rate).

% (fill in the percentage rate for overtime )



**PROPOSER'S REPRESENTATION**

Proposer affirms that the Proposal price above represents the entire cost to complete the Inspection and Maintenance Services in accordance with the Contract Documents, and that no claim will be made on account of any increase in wage scales, material prices, delivery delays, taxes, insurance, cost indexes or any other rates affecting this Project, and that each and every such claim is hereby expressly waived by Proposer.

Name of Proposer (Firm):	
Signature of Proposer Representative:	
Name (Typed/Printed):	
Title (Typed/Printed):	
Date:	



# BUSINESS INFORMATION FORM

Bidder/Proposer/Statement of Qualifications Submitter (hereinafter collectively referred to as "Contractor" must provide the information requested in the following sections.

## 1. CONTRACTOR INFORMATION

Name of Entity:					
Central Office/ Headquarters Address:	Address 1:				
	Address 2:				
	City, State, Zip Code:				
Servicing Office Address (if different than Central Office/ Headquarters Address):	Address 1:				
	Address 2:				
	City, State, Zip Code:				
Name of Parent Company (if any):					
Entity's Legal Structure:		<input type="checkbox"/> Corporation	<input type="checkbox"/> Joint Venture		
		<input type="checkbox"/> Partnership	<input type="checkbox"/> Public Entity		
		<input type="checkbox"/> Other			
State in Which Entity is Legally Organized:					
Year Entity Started:		Number of Employees:		Number of Offices:	
Location(s) of Offices (City and State):					
Brief History of the Entity and Overview of Entity's principal Lines of Work:					

**2. KNOWLEDGE, CAPABILITY AND EXPERIENCE**

Describe Contractor's knowledge, capability and experience in providing services similar to the services addressed in this RFP which will enable CRRA to evaluate the experience and professional capabilities of the Contractor.

**3. SUBCONTRACTOR INFORMATION**

	Yes	No
Will Contractor <b>subcontract</b> with entities for significant portions of the Work/ Services?	<input type="checkbox"/>	<input type="checkbox"/>

If Contractor answered "yes" to the above question, provide the following information concerning the subcontractors. If Contractor will subcontract with more than three entities, copy this page of the Form and provide the requested information on the additional subcontractors.

<b>Subcontractor 1</b>	
Name of Entity:	
Street Address:	
City, State, Zip Code:	
Telephone Number:	
Provide brief description of specific role Subcontractor 1 will have in providing the Work/Services.	

<b>Subcontractor 2</b>	
Name of Entity:	
Street Address:	
City, State, Zip Code:	
Telephone Number:	
Provide brief description of specific role Subcontractor 1 will have in providing the Work/Services.	

<b>Subcontractor 3</b>	
Name of Entity:	
Street Address:	
City, State, Zip Code:	
Telephone Number:	
Provide brief description of specific role Subcontractor 1 will have in providing the Work/Services.	

<b>Subcontractor 4</b>	
Name of Entity:	
Street Address:	
City, State, Zip Code:	
Telephone Number:	
Provide brief description of specific role Subcontractor 1 will have in providing the Work/Services.	



**PERSONNEL BACKGROUND AND EXPERIENCE FORM**

In the space below provide the requested information on the professionals (project managers, scientists, chemists and field supervisors) 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 portion of the Not-To-Exceed Proposal Price And Payment Rate Schedule Form (Section 5.2 of the RFQ Package Documents).
- In the “% of Time” item, indicate the percentage of the total person hours that the Proposer would spend on providing the Services that would be spent by the individual in providing the Services.

If more than 10 individuals would be assigned to work with CRRA, 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 Form as Appendix A to the bid.

Of the professionals listed in items 1 through 10 on the following pages, indicate below the names of the professional who would be the Proposer’s key contacts in the following areas:

Key Contact Area	Name of Professional
Field Services Associated with Monitoring:	
Laboratory Analysis:	
Report Preparation:	

**PROFESSIONAL 1**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 2**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 3**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 4**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			



**PROFESSIONAL 5**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 6**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 7**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 8**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 9**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			

**PROFESSIONAL 10**

Name:		Staff Level:	
Title:		% of Time:	
Probable areas of responsibility:			
Background:			



## REFERENCES FORM

In space below, provide the names of three (3) **non-CRRA** references who can attest to the quality of work performed/services provided by Bidder/Proposer. Include job title, affiliation, address, phone number and a brief description of the work performed/services provided for each reference.

### REFERENCE 1

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

### REFERENCE 2

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

**REFERENCE 3**

Name of Person:	
Title:	
Name of Firm:	
Address:	
Telephone Number:	
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.</i> <i>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.</i> <i>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? <sup>1</sup>	<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.</i> <i>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? <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the Contractor have an Affirmative Action Plan? <sup>2</sup> <i>If you answered "Yes" to Question 4, proceed to Question 4A and then to Question 5.</i> <i>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.</i> <i>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**

- <sup>1</sup> 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.
- <sup>2</sup> 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 (SBE)**

Contractor, including a non-profit corporation, must meet all of the following criteria to qualify as a Small Business Enterprise:

- 1. Maintains its principal place of business in Connecticut. ;
- 2. Has had gross revenues not exceeding fifteen million dollars (\$15,000,000) during its most recent fiscal year (Contractor shall not be considered a Small Business Enterprise if it is affiliated with another person if both persons considered together have a gross revenue exceeding fifteen million dollars); and
- 3. Is independent, such that the viability of the Contractor does not depend on another person or company, as determined by an analysis of the Contractor’s relationship with any other person or company in regards to the provision of personnel, facilities, equipment, other resources, and financial support, including bonding.

**SCHEDULE B  
CRITERIA FOR A MINORITY OWNED BUSINESS ENTERPRISE (MBE)**

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 capital stock, if any, or assets are owned by a person or persons who:
  - i. Exercise operational authority over the daily affairs of the enterprise;
  - ii. Have the power to direct the management and policies and receive the beneficial interest of the enterprise;
  - iii. Possess managerial and technical competence and experience directly related to the principal activities of the enterprise; and
  - iv. Are members of a minority as defined in section 32-9n of the Connecticut General Statutes, or are individuals 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 "Inspection And Maintenance Of The Ash Leachate Collection and Treatment System at the Hartford [And/OR] Shelton Landfill" (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 <b>criminal</b> 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 1B 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>1B. Has any conviction arisen out of any such indictment?</p> <p><i>If you answered "Yes" to Question 1B, proceed to Question 2 and, on a separate sheet of paper, state the following: the name of the person or entity convicted, the sentence imposed and whether or not an appeal of the conviction is pending.</i></p> <p><i>If you answered "No" to Question 1B, 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 <b>civil</b> investigation<sup>1</sup>?</p> <ul style="list-style-type: none"> <li>(a) A principal of the Contractor;</li> <li>(b) An owner of the Contractor;</li> <li>(c) An officer of the Contractor;</li> <li>(d) A partner in the Contractor;</li> <li>(e) A director of the Contractor; or</li> <li>(f) A stockholder of the Contractor holding 50% or more of the stock of the Contractor.</li> </ul> <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; the status of the investigation; and the outcome 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"/>
<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 <b>criminal</b> investigation?</p> <ul style="list-style-type: none"> <li>(a) A principal of the Contractor;</li> <li>(b) An owner of the Contractor;</li> <li>(c) An officer of the Contractor;</li> <li>(d) A partner in the Contractor;</li> <li>(e) A director of the Contractor; or</li> <li>(f) A stockholder of the Contractor.</li> </ul> <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 3B 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>3B. Has any conviction arisen out of any such indictment?</p> <p><i>If you answered "Yes" to Question 3B, proceed to Question 4 and, on a separate sheet of paper, state the following: the name of the person or entity convicted, the sentence imposed and whether or not an appeal of the conviction is pending.</i></p> <p><i>If you answered "No" to Question 3B, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>1</sup> The phrase "civil investigation" means an investigation undertaken by a governmental entity (e.g., federal, state or municipal) that has investigative and enforcement authority (e.g., the Office of the Connecticut Attorney General, the Connecticut Ethics Commission, the Connecticut Elections Enforcement Commission, the federal Securities and Exchange Commission).

<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 <b>civil</b> investigation<sup>1</sup>?</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; the status of the investigation; and the outcome 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

**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 6**

**SEEC FORM 11**

**Notice To Executive Branch State Contractors  
And Prospective State Contractors Of Campaign  
Contribution And Solicitation Ban**

## 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](http://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.

**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 7  
(Sample) NOTICE OF AWARD**





## NOTICE OF AWARD

**TO:** [NAME OF SUCCESSFUL PROPOSER]  
[ADDRESS OF SUCCESSFUL PROPOSER]

**RFP NO.:** 14-EN-001

**CONTRACT:** Inspection And Maintenance Of The Ash Leachate Collection And Treatment System At The [CRRA to insert Hartford and/or Shelton Landfill]

The Connecticut Resources Recovery Authority (“CRRA”) has considered the Proposal submitted by you dated [DATE] in response to CRRA’s Notice To Contractors – Request For Proposals for the above-referenced Services, which are more particularly described in the Inspection And Maintenance Of The Ash Leachate Collection And Treatment System Agreement At The [CRRA to insert Hartford and/or Shelton Landfill] (the “Services”), for the period July 1, 2014 through June 30, 2017. The amount of the award for the Services is as specified in **Exhibit B** of the Agreement.

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

- Execute the two the 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 23), printing the signer’s name under the signature line and printing the signer’s title following the word “Its” (Page 23);
- (a) Execute the attached “Contractor’s Certification Concerning Gifts” and deliver such executed Certification to CRRA;
  - (b) Execute the attached “Affidavit Concerning Consulting Fees” and deliver such executed Affidavit to CRRA;
  - (c) Deliver to CRRA the requisite certificates of insurance as specified in Article 6 of the Agreement;
  - (d) Complete and deliver to CRRA a completed Form W-9, “Request for Taxpayer Identification Number and Certification;” and
  - (e) 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 Proposal 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.

Dated this \_\_\_\_ day of \_\_\_\_\_, 2014.

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 \_\_\_\_\_, 2014.

By:

Signature: \_\_\_\_\_

Name (print/type): \_\_\_\_\_

Title: \_\_\_\_\_

**REQUEST FOR PROPOSALS  
FOR  
INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**SECTION 8  
(Form of) AGREEMENT  
FOR INSPECTION AND MAINTENANCE  
OF ASH LEACHATE AND TREATMENT SYSTEM  
AT THE HARTFORD AND SHELTON LANDFILLS**

**AGREEMENT FOR INSPECTION AND MAINTENANCE OF  
ASH LEACHATE COLLECTION AND TREATMENT SYSTEM  
AT THE [CRRA TO INSERT HARTFORD AND/OR SHELTON]  
LANDFILL**

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EXHIBIT E – CRRA Travel And Expense Policy

EXHIBIT F – SEEC Form 11, Notice To Executive Branch State Contractors And Prospective  
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EXHIBIT G – Affidavit Concerning Nondiscrimination

EXHIBIT H – Affidavit Concerning Consulting Fees

EXHIBIT I - Contractor’s Certification Concerning Gifts

EXHIBIT J – President’s Certification Concerning Gifts

This **AGREEMENT FOR INSPECTION AND MAINTENANCE OF THE ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT THE [CRRA TO INSERT HARTFORD AND/OR SHELTON] LANDFILL** (“Agreement”) is made and entered into as of this \_\_\_\_ day of \_\_\_\_\_, 2014 (“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, 6<sup>th</sup> Floor, Hartford, Connecticut 06103 (hereinafter “CRRA” or “Owner”) and [NAME OF CONTRACTOR] having its principal offices at [ADDRESS OF CONTRACTOR] (hereinafter “Contractor”).

## **PRELIMINARY STATEMENT**

**WHEREAS** CRRA [*CRRA to insert, as applicable: leases a certain parcel of real property known as the Hartford Landfill and which is located at 180 Leibert Road, in Hartford, Connecticut AND/OR owns a parcel of real property known as the the Shelton Landfill which is located at 866 River Road in Shelton, Connecticut*] (individually or collectively, as applicable, the “Property”), upon which property CRRA operates a landfill (the “Landfill”);

**WHEREAS** CRRA and/or its agents have constructed and installed an ash leachate collection and treatment system at and within the Landfill (collectively, the “System”);

**WHEREAS** CRRA now desires to enter into this Agreement with Contractor in order for Contractor to provide inspection and maintenance services for the System in accordance with 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 bid 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), RFB Package Documents, Addenda, Contractor’s bid (including all documentation accompanying such bid, all other documentation submitted in connection with such bid, and all post-bid documentation submitted prior to the Notice Of Award), Notice Of Award, the Bonds (as defined herein), any written

amendments to any of the Contract Documents and any change order issued pursuant to this Agreement.

- (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 bidder which states that CRRA has accepted such bidder’s bid and sets forth the remaining conditions that must be fulfilled by such bidder before CRRA executes the Agreement.
- (f) **“Site”** means those areas of the Property upon which the Services are to be performed, furnished and completed by Contractor in accordance with the Contract Documents.

## 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 Article, 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.

## **2. SCOPE OF SERVICES**

### **2.1 Contractor's Responsibilities**

Contractor shall be responsible for furnishing all labor, materials, supplies, tools, equipment, parts, facilities and any other property in order to perform inspection and maintenance services for the ash leachate collection and treatment system at the Landfill, including, but not limited to, the services set forth in **Exhibit A** attached hereto and made a part hereof (hereinafter collectively referred to as the "Services").

### **2.2 Performance of Services**

Contractor warrants that any equipment and materials provided for the inspection and maintenance of, and any improvements made to, the System will be free from defect, and the work performed by the Contractor shall be done in a workmanlike manner consistent and in accordance with:

- (a) Any and all instructions, guidance and directions provided by CRRA to Contractor;
- (b) The Contract Documents;
- (c) Sound practices for inspecting and maintaining an ash leachate collection and treatment system;
- (d) The highest industry standards applicable to Contractor and its performance of the Services hereunder; and
- (e) All Laws and Regulations.

Items (a) through (e) above are hereinafter collectively referred to as the "Standards."

Contractor shall obtain any locally required building or other permits required for the Services, and Contractor shall also assist and fully cooperate with CRRA in obtaining any other applicable permits necessary to begin and complete the Services.

### **2.3 CRRA's Responsibilities**

CRRA shall be responsible for administering this Agreement, accepting the Services that are performed and completed by Contractor in accordance with the Contract Documents, and receiving and paying invoices for such Services.



## **2.4 Direction Of Services**

CRRA may, where necessary or desirable by CRRA, provide Contractor with instructions, guidance and directions in connection with Contractor's performance of the Services hereunder, and Contractor shall strictly and promptly comply with such instructions, guidance and directions.

## **2.5 CRRA's Inspection Rights**

Contractor's performance of the Services hereunder, as well as Contractor's work products resulting from such performance, are subject to inspection by CRRA. Inspections may be conducted at any time by CRRA, with or without notice to Contractor. In the event of an inspection, Contractor 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 Contractor's performance of the Services hereunder or any of the work products resulting therefrom, Contractor shall, at the direction of CRRA, promptly render such performance or work products satisfactory to CRRA at no additional cost or expense to CRRA and without any extension of or addition to any time schedules for the remaining Services.

## **2.6 Access**

CRRA hereby grants to Contractor access to only those areas of the Property necessary for Contractor to perform the Services hereunder, provided that:

- (a) Contractor shall not interfere with any other operations or activities being conducted on the Property by either CRRA or any other person or entity;
- (b) Contractor directly coordinates with CRRA on such access and Contractor's storage of any equipment or materials on the Property; and
- (c) Contractor is in compliance with all of the terms and conditions of this Agreement.

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

## **2.7 Restoration**

Unless otherwise directed in writing by CRRA, Contractor shall restore any part of the Property disturbed or damaged by Contractor or any of its directors, officers, employees, agents, sub-contractors or materialmen to the same condition existing immediately prior to such disturbance or damage.

## **2.8 Change in Scope of Services**

CRRA reserves the right to determine during the term of this Agreement whether any revisions, modifications or changes to the Scope of Services (i.e. non-routine and emergency services), as set forth in Section 2.1 above, are necessary. In such event, and pursuant to CRRA's request, Contractor shall promptly commence and perform the work required to accommodate such revisions, modifications or changes, which work shall be performed by Contractor in accordance with the Standards unless otherwise agreed to in writing by CRRA and Contractor. If any adjustment(s) to the I&M Contract Price (as hereinafter defined in Section 3.1) is required, or if increased or decreased compensation to the Contractor is warranted as a result of such revisions, modifications or changes, CRRA and Contractor shall mutually agree in writing on the amount of such adjustment(s) or increased or decreased compensation provided that the values for the existing Services, to the extent applicable, shall be used to determine the appropriate increase or decrease for such adjustments or the amount of such modified compensation. Contractor shall promptly commence and perform any work required by such revisions, modifications or changes even if CRRA and Contractor cannot agree on the amount of such adjustment(s) or modified compensation.

## **2.9 Contractor Cooperation**

Contractor shall perform all Services in cooperation with all other contractors who may be responsible for the operation of the Landfill on the Property, and any other activity or function. Such cooperation shall include, at a minimum, routine reporting, communications with CRRA and other parties, attendance at coordination meetings, and similar activities. Such cooperation shall also involve scheduling of staff and Services hereunder, without limitation. Under no circumstances shall Contractor speak to or otherwise communicate with the press. Contractor shall direct all inquiries from the press to CRRA.

## **2.10 Landfill and Subsurface Conditions**

All information and data shown or indicated in the Contract Documents with respect to underground facilities, surface conditions, subsurface conditions or other conditions at or contiguous to the Landfill are furnished for information only and CRRA does not assume any responsibility for the accuracy or completeness of such information and data. Contractor acknowledges and agrees that CRRA does not assume any responsibility for such information and data and that Contractor is solely responsible for investigating and satisfying itself as to all actual and existing Landfill conditions, including but not limited to surface conditions, subsurface conditions and underground facilities. Contractor has carefully studied all such information and data and Contractor has obtained and carefully studied (or assumes responsibility for having done so) all such additional or supplementary examinations, investigations, explorations, tests, studies and data concerning conditions (including but not limited to surface conditions, subsurface conditions and underground facilities) at or contiguous to the Landfill and all other conditions or factors which may affect cost, progress, performance, furnishing or completion of the Services or which relate to any aspect of the means, methods, techniques, sequences, and procedures of construction or performance of the Services to be employed by Contractor and safety precautions and programs incident thereto. Contractor

does not consider that any additional examinations, investigations, explorations, tests, studies or data are necessary for Contractor to conclusively determine, and Contractor has so determined, that the Services can be performed, furnished and completed in accordance with the Scope Of Services, the I&M Contract Price and the other terms and conditions of the Contract Documents. In the event that the information or data shown or indicated in the Contract Documents with respect to underground facilities or surface, subsurface or other conditions at or contiguous to the Landfill differs from conditions encountered by Contractor during performance of the Services, there shall be no increase in the I&M Contract Price as a result of such differing conditions, unless CRRA, in its sole and absolute discretion, agrees in writing to such increase and/or extension.

### **2.11 Methane Gases**

Contractor acknowledges the presence of methane gases at the Property. Contractor covenants and agrees that it and its employees, agents, sub-Contractors and materialmen shall take all necessary precautions with respect to the presence of methane gases at all times at the Property, including, but not limited to, prohibiting the presence of any open flames, sparks, smoking or any other activity which might ignite any of the methane gases present at the Property.

### **2.12 Proprietary Information**

Contractor shall not use, publish, distribute, sell or divulge any information obtained from CRRA by virtue of this Agreement for Contractor'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 Contractor in connection with the performance of the Services hereunder shall be owned solely and exclusively by CRRA and cannot be used by Contractor for any purpose beyond the scope of this Agreement without the prior written consent of CRRA.

### **2.13 Books and Records**

Contractor shall maintain proper books and records containing complete and correct information on all Services performed by Contractor 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 Contractor's business hours.

### **2.14 Status of Contractor**

CRRA and Contractor acknowledge and agree that Contractor is acting as an independent contractor in performing any Services for CRRA hereunder and that Contractor 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 Contractor other than that of an owner and an independent contractor. Contractor is expressly forbidden from transacting any business in the name of or

on account of CRRA, and Contractor 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**

Contractor shall consult with CRRA before hiring any subcontractors to perform any Services hereunder. Contractor shall require all of its subcontractors to abide by the terms and conditions of this Agreement. Moreover, Contractor's subcontracts with such subcontractors shall specifically provide that, in the event of a default by Contractor thereunder or under this Agreement, CRRA may directly enforce such subcontracts and make payments thereunder. Contractor shall provide CRRA with all contracts, amendments, books, records, accounts, correspondence and other materials necessary to enforce such subcontracts. Also Contractor'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 Contractor other than through such subcontracts.

## **2.16 Contractor's Employees**

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

## **2.17 Mechanic's Liens**

Contractor shall claim no interest in the Property or any equipment, fixtures or improvements located or to be located thereon, including but not limited to the Site or any part thereof. Contractor shall not file any mechanic's liens or other liens or security interests against CRRA or any of its properties, including but not limited to the Property. Contractor shall defend, indemnify and hold harmless CRRA against all costs associated with the filing of such liens or interests by Contractor or any of its subcontractors or materialmen. Before any subcontractor or materialman of Contractor commences any Services hereunder, Contractor shall deliver to CRRA an original waiver of mechanic's liens properly executed by such subcontractor or materialman. If any mechanic's lien is filed against CRRA or any of its properties in connection with the Services hereunder, Contractor shall cause the same to be canceled and discharged of record within fifteen (15) days after the filing of such lien and, if Contractor fails to do so, CRRA may, at its option but without any obligation to do so, make any payment necessary to obtain such cancellation or discharge and the cost thereof, at CRRA's election, shall be either deducted from any payment due to Contractor hereunder or reimbursed to CRRA promptly upon demand by CRRA to Contractor.

### 3. COMPENSATION AND PAYMENT

#### 3.1 Compensation

Contractor shall be paid by CRRA for the services rendered and expenses incurred under this Agreement on the basis set forth on **Exhibit B** attached hereto and made a part hereof.

The total amount of compensation to be paid to Contractor by CRRA for all the Services to be provided pursuant to this Agreement shall be in accordance with **Exhibit B**.

The Inspection and Maintenance Price (“I&M Contract Price”) for routine operations and maintenance as set forth in Section 1 of **Exhibit B** shall be payable as set forth in Section 3.2 below. Contractor acknowledges and agrees that the I&M Contract Price constitutes the full compensation to Contractor for the routine operations and maintenance Services to be performed and completed by Contractor pursuant to this Agreement and includes all expenses and costs, including but not limited to any and all costs for labor, vehicles, equipment, materials and the operation and maintenance of all vehicles and equipment, to be incurred by Contractor in performing and completing such Services.

The Time and Materials (“T&M”) Compensation Schedule for non-routine maintenance and repair services as set forth in Section 2 of **Exhibit B** shall be payable as set forth in Section 3.2 below.

Except for the compensation set forth above in this Section 3.1, Contractor shall not be entitled to and CRRA shall not pay to Contractor any other compensation whatsoever for performing and completing the Services hereunder.

For Non-routine services, as detailed in **Exhibit A (Section 3, Task 2)**, employees who are eligible for and are paid a higher hourly rate for overtime than the hourly rate listed in the T&M Compensation Schedule in Section 2 of **Exhibit B**, Contractor will be entitled to reimbursement for such employee overtime when such overtime is a result of more than eight (8) hours in one day and/or more than forty (40) hours in one week worked by such an employee on this Project. Such overtime will be reimbursed as provided in Section 2 of **Exhibit B**.

Out-of-pocket expenses for Non-Routine Services shall be reimbursed at cost provided they are consistent with CRRA’s Travel and Expense Policy attached hereto and made a part hereof as **Exhibit E**, except that Contractor will be deemed to have met CRRA’s “Receipt” requirements of such document if Contractor provides to CRRA with each billing the following:

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

Invoices 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.

Contractor 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**

Contractor 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) For tasks billed on a Lump Sum Basis:

1. A description of the Tasks performed;
2. The annual fee for each Task, per the Agreement;
3. The percentage of the Task completed during the current billing period;
4. The total amount earned during the current billing period (equals the annual fee times the percentage of the task completed during the current billing period);
5. A year-to-date summary of the percentage of each task completed.

(b) For Tasks billed on a Time And Materials Basis:

1. Names of all persons performing Services for which payment is sought;
2. A description of the Services performed by each person;
3. The time spent by each person;
4. The hourly rate for each person;
5. The total amount charged for each person;
6. Separate listing of all expenses incurred including copies of receipts or sub-Contractor invoices;
7. The project name and number to be charged; and
8. The contract number for this Agreement (to be provided by CRRA).

Contractor shall not carry forward balances. If a previous bill is unpaid, Contractor shall re-submit 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.

The format for all monthly bills is attached hereto and made a part hereof as **Exhibit C** for Lump Sum Tasks and **Exhibit D** for Time And Materials Tasks.

### **3.3 Payment Procedure**

Contractor shall submit all requests for payment for Services in writing to CRRA at monthly intervals, in accordance with this Agreement.

If CRRA determines, in its sole discretion, that

- (a) The Services for which Contractor is requesting payment have been properly performed and completed in conformance with the Standards,
- (b) Contractor 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, CRRA determines that

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

then CRRA may, in its sole and absolute discretion, withhold all or a portion of the payment requested by Contractor and Contractor shall, if requested by CRRA, immediately take, at Contractor'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 Contractor any amount due Contractor under this Agreement if Contractor is in default hereunder. If CRRA disputes the amount in any written request for payment submitted by Contractor, CRRA shall have the right to withhold the disputed amount until the dispute is settled. CRRA shall notify Contractor of any disputed amount and the reason(s) for disputing such amount.

### **3.4 Accounting Obligations**

Contractor shall maintain books and accounts of the costs incurred by Contractor 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 Contractor, nor be withheld from payment to Contractor by CRRA. No workers' compensation insurance has been or will be obtained by CRRA on account of the Services to be performed hereunder by Contractor, or any of Contractor's employees or subcontractors. Contractor 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 3.5 and Contractor 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 Contractor's status hereunder is determined to be other than that of an independent contractor.

### **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, whenever purchased. Accordingly, Contractor shall not include in the Service 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 Services contemplated by this Bid.

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 Services contemplated by this Bid, 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 Services contemplated by this Bid.

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 Services, 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 therefor 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 Contractor. Upon reasonable notice from CRRA, Contractor agrees to allow CRRA to audit Contractor's files pertaining to this matter. Any such audit will be conducted on Contractor's premises and Contractor will be expected to produce any pertinent file information requested including Contractor's time and expense records.

## **4. TERM OF AGREEMENT**

### **4.1 Term**

The term of this Agreement shall commence upon the Effective Date and shall terminate, unless otherwise terminated or extended in accordance with the terms and provisions hereof, on June 30, 2017.

Contractor 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 for the Services hereunder and shall make them available for inspection and audit by CRRA. Contractor's obligations under this paragraph shall survive the termination or expiration of this Agreement.

### **4.2 Time is of the Essence**

CRRA and Contractor hereby acknowledge and agree that time is of the essence with respect to Contractor's performance of the Services hereunder. Accordingly, Contractor shall perform and complete any Services hereunder during the term of this Agreement in accordance with any time schedule set forth in this Agreement or mutually agreed upon by CRRA and Contractor for such Services.

### **4.3 Termination**

CRRA may terminate this Agreement at any time by providing Contractor with ten (10) days' prior written notice of such termination. Upon receipt of such written notice from CRRA,

Contractor shall immediately cease performance of all Services, unless otherwise directed in writing by CRRA. Prior to any termination of this Agreement, Contractor shall remove all of its personnel and equipment from the Property, restore any part of the Property, any of the improvements located or to be located thereon, including but not limited to any access roads, or any of the Services that requires restoration pursuant to the terms and conditions of Section 2.7 hereof. Upon termination of this Agreement pursuant to this Section 4.3,

- (a) CRRA shall pay Contractor for all Services performed and completed by Contractor prior to the termination date, provided:
  - (a) Such Services has been performed and completed by Contractor in conformance with the Standards;
  - (b) Payment for such Services has not been previously made or is not disputed by CRRA;
  - (c) Contractor is not in default hereunder; and,
  - (d) Contractor has performed and completed all its obligations under this Section 4.3 and Section 2.7 hereof 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 Contractor in any other manner whatsoever in the event CRRA exercises its right to terminate this Agreement.

## **5. INDEMNIFICATION**

### **5.1 Contractor's Indemnity**

Contractor shall at all times defend, indemnify and hold harmless CRRA and its board of directors, officers, agents and employees from and against any and all claims, damages, losses, judgments, liability, workers' compensation payments and expenses (including but not limited to attorneys' fees) arising out of injuries to the person (including death), damage to property or any other damages alleged to have been sustained by: (a) CRRA or any of its directors, officers, agents, employees or other contractors, or (b) Contractor or any of its directors, officers, agents, employees, subcontractors or materialmen, or (c) any other person, to the extent any such injuries, damage or damages are caused or alleged to have been caused in whole or in part by the acts, omissions or negligence of Contractor or any of its directors, officers, agents, employees, subcontractors or materialmen. Contractor further undertakes to reimburse CRRA for damage to property of CRRA caused by Contractor or any of its directors, officers, agents, employees, subcontractors or materialmen, or by faulty, defective or unsuitable material or equipment used by it or any of them. The existence of insurance shall in no way limit the scope of this indemnification. Contractor's obligations under this Section 5.1 shall survive the termination or expiration of this Agreement.

## 5.2 Material Warranty

Contractor warrants that any equipment and materials provided for the inspection and maintenance of, and any improvements made to, the System will be free from defect, and the work performed by the Contractor shall be done in a workmanlike manner consistent and in accordance with the Standards.

Contractor's warranty under this Section 5.2 shall remain in force for a period of one year following installation and use of such equipment or materials in the ordinary operation of the System (hereinafter referred to as "Warranty Period"). The Warranty Period shall not terminate upon the expiration or termination of this Agreement. If at any time during the Warranty Period CRRA determines that any equipment or material provided by Contractor is defective, or any work performed by the contractor was not done in a workmanlike manner, Contractor shall promptly at its own cost and expense repair such defect or perform such work in a workmanlike manner. Any repairs to, or replacement of, such equipment or materials, and any work performed to satisfy the Contractor's warranties under this Section 5.2 shall be subject to prior approval by CRRA, and shall be performed according to Standards. Contractor shall obtain any guarantees or warranties for equipment or materials provided pursuant to this Section 5.2, and have the same assigned to CRRA, if assignable. Rendering the equipment, material or any work performed compliant with the warranties herein provided is not CRRA's exclusive remedy for the breach of the warranties by Contractor, and does not limit CRRA's rights to seek other legal or equitable remedies including but not limited to direct and consequential damages to the CRRA resulting from the provision of defective equipment, material or work.

## 6. INSURANCE

### 6.1 Insurance

At all times during the term of this Agreement, Contractor 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 performed by the Contractor and those for whom they are legally responsible.

#### (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 Contractor 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. Contractor's Pollution liability insurance.
5. Professional Liability insurance if the Contractor or any subcontractor to them is providing engineering, construction management, 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**

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

1. Commercial General Liability:
  - a. \$5,000,000 Each Occurrence for Bodily Injury & Property Damage.
  - b. \$5,000,000 General Aggregate
  - c. \$5,000,000 Products & Completed Operations Aggregate
  - d. \$5,000,000 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.

Employer's Liability:

- a. \$1,000,000 Each Accident
  - b. \$1,000,000 Disease – Policy Limit
  - c. \$1,000,000 Disease – Each Employee
4. Contractor's Pollution Liability with a limit of \$2,000,000.00
  5. Professional liability insurance with a limit of \$1,000,000.00
  6. Contractor's Property Insurance covering 100% the actual cash value of Contractor's equipment (does not apply if CRRA equipment is used).

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

The Contractor shall be responsible for payment of all deductibles and self-insured retentions on any of the insurance policies required under this Agreement. The Contractor 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 Contractor:
  - a. Commercial General Liability
  - b. Automobile Liability
  - c. Contractor's Pollution Liability
2. The Contractor 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 riskmanager@crra.org, or by correspondence to CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722.
3. The Contractor 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 Contractor'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

Contractor 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. Contractor shall provide new Certificates of Insurance upon renewal, replacement or addition of any insurance required under this Agreement.

(e) Subcontractors

Contractor 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.

**6.3 No Limitation on Liability**

No provision of this Article 6 shall be construed or deemed to limit Contractor's obligations under this Agreement to pay damages or other costs and expenses.

**6.4 Other Conditions**

CRRA shall not, because of accepting, rejecting, approving, or receiving any certificate of insurance required hereunder, incur any liability for:

- (a) The existence, non-existence, form or legal sufficiency of the insurance described on such certificate,
- (b) The solvency of any insurer, or
- (c) The payment of losses.

**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 sta-

tus, 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 Contractor 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, 6<sup>th</sup> Floor  
Hartford, Connecticut 06103  
Attention: David Bodendorf, Senior Environmental Engineer

With a copy to:

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

(a) If to Contractor:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Attention: \_\_\_\_\_



## **7.8 Benefit and Burden**

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 Contractor 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 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.

## **7.11 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].

## **7.12 Affidavit Concerning Nondiscrimination**

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

## **7.13 Affidavit Concerning Consulting Fees**

At the time of Contractor's execution of this Agreement, Contractor 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**.

## **7.14 Contractor's Certification Concerning Gifts**

At the time of Contractor's execution of this Agreement, Contractor 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**.

**7.15 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**.

**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

CONTRACTOR

By: \_\_\_\_\_  
Its  
Duly Authorized

# **SCOPE OF SERVICES**

## **INSPECTION AND MAINTENANCE OF THE HARTFORD LANDFILL ASH LEACHATE COLLECTION AND TREATMENT SYSTEM**

### **1. INTRODUCTION**

The CRRA Hartford Landfill is located at 180 Leibert Road, Hartford, Connecticut (the “Landfill”). The Landfill formerly accepted ash residue and non-processible items from the CRRA Mid Connecticut Waste-To-Energy Facility (the “Facility”). The ash residue was deposited in a double-lined, 18 acre (approx.) monocell. CRRA operates an ash leachate collection and treatment system (“System”) to collect and treat leachate generated in the monocell. The System is designed to continually pump leachate off of the double liner, treat it for pH and discharge it to the sanitary sewer at a prescribed daily rate. In order to ensure the System is in working order, Contractor shall inspect and perform maintenance on the System as outlined herein.

### **2. CONTRACTOR'S GENERAL RESPONSIBILITIES**

- (a) Contractor shall be familiar with all applicable regulations, statutes, orders, permits and any other requirements to which the Facility is subject. Contractor shall be familiar with all pertinent documents including, but not limited to the Pretreatment Permit #SP0001412, Vehicle Maintenance Wastewater registration #GVM000522, Leachate Pumping Storage and Treatment System Operations And Maintenance Manual, Volumes 1 and 2 by CRRA (1998) and Golder Associates (1997) respectively, Operation and Maintenance Manuals Leachate Pre-Treatment Control Panel & Field Instruments by Knapp Engineering, PC (1997), and the Confined Space Program – CRRA Hartford Landfill (2010). Each of these documents is available for review at the Hartford Landfill, 180 Leibert Road, Hartford, CT.
- (b) Contractor shall assign and keep for the System at all times during the term of this Agreement a competent on-call Project Manager, who shall not be replaced without prior written notice to CRRA. The Project Manager shall be Contractor's representative at the Landfill and shall have authority to act on behalf of Contractor. All communications given to the Project Manager by CRRA or its agents shall be binding as if given to Contractor.
- (c) Contractor shall provide suitably qualified personnel to perform the Services as required by this Agreement. Contractor shall at all times maintain good discipline and order at the Landfill site.
- (d) Except in connection with the safety or protection of persons, the System or Landfill site or adjacent thereto, all Services performed at the Landfill shall be performed

during the Landfill's regular business hours, and Contractor shall not permit overtime work or the performance of Services on Saturday, Sunday or any legal holiday without CRRA's prior written consent.

- (e) During the term of this Agreement, Contractor shall keep the Property free from accumulations of waste materials, rubbish and other debris resulting from Contractor's performance of the Services. Such materials shall be properly disposed of by Contractor off-site.
- (f) Contractor shall comply with the Confined Space Entry Program for the site.
- (g) Contractor shall update as necessary all forms used for the collection and compilation of data.
- (h) Contractor shall maintain up-to-date records in CRRA's Ash Leachate System Equipment Maintenance and Confined Space Program Binders, as appropriate, kept on site at the landfill.
- (i) Contractor shall provide CRRA with reports on a quarterly basis. Included in the reports shall be documentation of all inspection, maintenance, and repair activities that were completed since the previous inspection report. Reports shall be submitted to CRRA no later than 20 days after each inspection.

### **3. CONTRACTOR'S SPECIFIC RESPONSIBILITIES**

Tasks 1 and 2 below describe the Contractor's responsibilities under this Agreement. The exclusion of any applicable environmental or operational requirements from these Tasks does not relieve the Contractor of its responsibility to comply with such requirements.

#### **Task 1 Leachate Collection and Treatment System Inspection and Maintenance – Routine Services**

Contractor shall provide CRRA with certain equipment inspection and maintenance services for the Landfill's Leachate Collection And Treatment System. Contractor shall be responsible for the Quarterly, Semi-Annual, and Annual inspections as outlined in **Attachment 1**. Contractor will not be responsible for the cleaning of traps, vaults, wet wells, chambers, or other locations designed to accumulate sediment. When cleaning is necessary for the foregoing, Contractor will notify CRRA that cleaning of the foregoing is necessary.

Contractor shall perform the following routine inspection and maintenance activities at the frequency prescribed herein.

#### ***Quarterly***

##### **Leachate Transfer Pumps**

- (1) Change oil, remove oil from site and properly dispose.

**Leachate Lift Station (LLS)**

- (1) Operate pumps in hand, drain and check interior of LLS, guider rails, floats, etc.
- (2) Confirm pumps alternate on successive starts
- (3) Check that float switches start and stop pumps
- (4) Check operation of high level float and confirm it shuts down pumps

**LCS/LDCS Sump Pumps and Controls**

- (1) Remove pumps (8) and inspect.
- (2) Clean Transducers.

***Semi-Annually***

**LCS/LDCS Sump Pumps and Controls**

- (1) Inspect interior of the four cell vaults.
- (2) Check piping, fittings, valve positions within each vault.
- (3) Check flow meter wiring within each vault.
- (4) Remove and clean flow meters in each vault, check calibration of flow meters.
- (5) Remove and clean check valves in each vault.

***Annually***

**LCS/LDCS Sump Pumps and Controls**

- (1) Confirm levels at which pumps start and stop, make note of set points.
- (2) Check operation of panel heaters (4).
- (3) Inspect fittings and piping between pumps and vault (8).

**Leachate Lift Station (LLS)**

- (1) Empty LLS.
- (2) Remove and inspect pumps (2).
- (3) Check insulation resistance.
- (4) Inspect electrical cables.
- (5) Inspect temperature switch and resistor sensor.
- (6) Inspect lifting chain/cable
- (7) Change oil in pumps , remove oil and properly dispose off-site.

### **Leachate pH Adjustment Equipment**

- (1) Check chemical metering pump feed and suction lines, replace as needed.
- (2) Remove mixer, inspect shaft and propeller.
- (3) Empty pH adjustment tank, clean and inspect.

### **Leachate Pre Treatment and System Controls**

- (1) Confirm Hi/Low pH shuts down transfer pumps, note set points.
- (2) Confirm daily flow total reached stops transfer pumps, note set point.
- (3) Confirm storage tank hi level stops leachate lift station pumps, note set point.
- (4) Confirm storage tank hi level stops wheel wash lift station.
- (5) Confirm lift station hi level stops cell pumps.
- (6) Confirm transfer pumps alternate on successive starts.
- (7) Confirm transfer pumps start at a storage tank level of 110 feet and stop at 5 feet.
- (8) Confirm transfer pumps stop at the safety disable storage tank level of 2 feet.
- (9) Confirm acid and caustic feed pump set points maintain pH between 6.0 and 10.0, note set points.
- (10) Calibrate pH circular chart recorder.
- (11) Calibrate flow circular chart recorder.
- (12) Calibrate both effluent flow totalizers.
- (13) Check accuracy of level controller within leachate storage tank.
- (14) Test autodialer by running through each alarm callout condition.
- (15) Test autodialer backup battery by disconnecting from 120V AC power. If “Low Battery” indicator light stays on for more than 8 hours, replace batteries.

### **Task 2 Leachate Collection & Treatment System Inspection and Maintenance – Non-Routine Services**

Contractor shall perform non-routine maintenance and repair work on the System as directed by CRRA. This work may include, but not be limited to, the repair or replacement of pumps, valves, piping, fittings, etc., and the reprogramming of the PLC.

Contractor shall log all non routine work in the maintenance log kept on site at the Landfill. Non-routine maintenance and repair work will be performed on a time and materials basis using the billing rates contained herein.

Non-routine maintenance and repair work that is currently anticipated to occur during the term of the contract includes but is not limited to:

- (1) Change oil in KSB pumps in LLS in 2014
- (2) Overhaul KSB pumps as per manufacturer's recommendation every 5 years. – CRRA will direct contractor if pump overhauls are needed.

CRRA shall pre-approve in writing any non-routine services.

**HARTFORD LANDFILL  
ROUTINE INSPECTION AND MAINTENANCE CHECKLIST  
ASH LEACHATE COLLECTION AND TREATMENT SYSTEM**

Technician: \_\_\_\_\_

Date of Service: \_\_\_\_\_

Type of Service (circle all that apply): Quarterly, Semi Annual, Annual



Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>LCS/LDCS Sump Pumps and Controls</b>				
<b>Cell 1</b>				
1 Remove pumps and inspect				
2 Clean transducers				
3 Confirm levels at which pumps start and stop, make note of setpoints				
4 Check operation of panel heater				
5 Inspect fittings and piping				
6 Inspect interior of vault				
7 Check piping, fittings, valve position within vault				
8 Check flow meter wiring				
9 Remove and clean flow meters in each vault, check calibration of flow meters				
10 Remove and clean check valves in each vault				

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>LCS/LDCS Sump Pumps and Controls</b>				
<b>Cell 2</b>				
1 Remove pumps and inspect				
2 Clean transducers				
3 Confirm levels at which pumps start and stop, make note of setpoints				
4 Check operation of panel heater				
5 Inspect fittings and piping				
6 Inspect interior of vault				
7 Check piping, fittings, valve position within vault				
8 Check flow meter wiring				
9 Remove and clean flow meters in each vault, check calibration of flow meters				
10 Remove and clean check valves in each vault				

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>LCS/LDCS Sump Pumps and Controls</b>				
<b>Cell 3</b>				
1 Remove pumps and inspect				
2 Clean transducers				
3 Confirm levels at which pumps start and stop, make note of setpoints				
4 Check operation of panel heater				
5 Inspect fittings and piping				
6 Inspect interior of vault				
7 Check piping, fittings, valve position within vault				
8 Check flow meter wiring				
9 Remove and clean flow meters in each vault, check calibration of flow meters				
10 Remove and clean check valves in each vault				

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>LCS/LDCS Sump Pumps and Controls</b>				
<b>Cell 4</b>				
1 Remove pumps and inspect				
2 Clean transducers				
3 Confirm levels at which pumps start and stop, make note of setpoints				
4 Check operation of panel heater				
5 Inspect fittings and piping				
6 Inspect interior of vault				
7 Check piping, fittings, valve position within vault				
8 Check flow meter wiring				
9 Remove and clean flow meters in each vault, check calibration of flow meters				
10 Remove and clean check valves in each vault				

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Leachate Lift Station (LLS)</b>				
1 Operate pumps in hand, drain and check interior of LLS, guide rails, floats, etc.				
2 Confirm pumps alternate on successive starts				
3 Check that float switches start and stop pumps				
4 Check operation of High level float and confirm it stops pumps.				
5 Empty LLS				
6 Remove and inspect pumps				
7 Check insulation resistance				
8 Inspect electrical cables				
9 Inspect temperature switch and resistor sensor				
10 Inspect lifting chain/cable				
11 Change oil in pumps in year 2014				

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Leachate Transfer Pumps/Piping</b>				
1 Change oil in transfer pumps				
<b>Leachate pH Adjustment Equipment</b>				
1 Check chemical metering pump feed and suction lines, replace as needed				
2 Remove mixer, inspect shaft and propeller				
3 Empty pH adjustment tank, clean and inspect				

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Leachate Pre Treatment &amp; System Controls</b>				
1 Confirm Hi/Low pH stops transfer pumps, note set points			<input type="checkbox"/>	
2 Confirm daily flow total reached stops transfer pumps, note set point			<input type="checkbox"/>	
3 Confirm storage tank hi level stops leachate lift station, note set point			<input type="checkbox"/>	
4 Confirm storage tank hi level stops wheel wash lift station			<input type="checkbox"/>	
5 Confirm lift station hi level stops cell pumps			<input type="checkbox"/>	
6 Confirm transfer pumps cycle (alternate)			<input type="checkbox"/>	
7 Confirm transfer pumps start at storage tank level of 10 feet and stop at 5 feet			<input type="checkbox"/>	
8 Confirm transfer pumps stop at the safety disable storage tank level of 2 feet			<input type="checkbox"/>	
9 Confirm acid and caustic feed pump set points maintain pH between 6.0 and 10.0, note set points			<input type="checkbox"/>	
10 Calibrate pH circular chart recorder			<input type="checkbox"/>	
11 Calibrate flow circular chart recorder			<input type="checkbox"/>	
12 Calibrate both effluent flow totalizers			<input type="checkbox"/>	

Component	Frequency of Service (highlighted boxes indicate required frequency of service; check box to confirm service)			Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
13 Check accuracy of level controller within leachate storage tank				
14 Test autodialer by running through each alarm callout condition				
15 Test autodialer backup battery by disconnecting from 120V power. If Low Battery indicator stays on for more than 8 hours, replace battery.				



**SCOPE OF SERVICES**  
**INSPECTION AND MAINTENANCE**  
**OF THE SHELTON LANDFILL**  
**ASH LEACHATE COLLECTION AND TREATMENT**  
**SYSTEM**

**1. INTRODUCTION**

The CRRA Shelton Landfill is located at 866 River Road Shelton, Connecticut (the “Landfill”). Ash residue was deposited on-site in two double-lined, ash monocells during the 1990’s. CRRA operates an ash leachate collection and treatment system (“System”) to collect and treat leachate generated in the monocells. The System is designed to continually pump leachate off of the double liner, treat it for pH and discharge it to the sanitary sewer at a prescribed daily rate. In order to ensure the System is in working order, Contractor shall inspect and perform maintenance on the System as outlined herein.

**2. CONTRACTOR'S GENERAL RESPONSIBILITIES**

- a) Contractor shall be familiar with all applicable regulations, statutes, orders, permits and any other requirements to which the Facility is subject. Contractor shall be familiar with all pertinent documents including, but not limited to the Shelton Landfill Stewardship Permit No. DEP/HWM/CS-126-005, Shelton Landfill Pretreatment Permit No. SP0001459, the Technical Manual/Operating and Maintenance Manual for CRRA Bridgeport Project Shelton Landfill Horizontal Expansion Northeast Area (1996), System & Vault Control Panel Drawings & Component Operation Manuals Shelton Landfill Horizontal Expansion (1994), Shelton Landfill Horizontal Expansion Southeast Area Operation and Maintenance Manuals (1994), Shelton SE Expansion Area O&M Manual for pH Neutralization System (1994), and Confined Space Program CRRA Shelton Landfill (2010). Each of these documents is available for inspection at the Shelton Landfill.
- b) Contractor shall assign and keep for the System at all times during the term of this Agreement a competent on-call Project Manager, who shall not be replaced without prior written notice to CRRA. The Project Manager shall be Contractor's representative at the Landfill and shall have authority to act on behalf of

Contractor. All communications given to the Project Manager by CRRA or its agents shall be binding as if given to Contractor.

- c) Contractor shall provide suitably qualified personnel to perform the Services as required by this Agreement. Contractor shall at all times maintain good discipline and order at the Landfill site.
- d) Except in connection with the safety or protection of persons, the System or Landfill site or adjacent thereto, all Services performed at the Landfill shall be performed during the Landfill's regular business hours, and Contractor shall not permit overtime work or the performance of Services on Saturday, Sunday or any legal holiday without CRRA's prior written consent.
- e) During the term of this Agreement, Contractor shall keep the Property free from accumulations of waste materials, rubbish and other debris resulting from Contractor's performance of the Services. Such materials shall be properly disposed of by Contractor off-site.
- f) Contractor shall comply with the Confined Space Entry Program for the site.
- g) Contractor shall update as necessary all forms used for the collection and compilation of data.
- h) Contractor shall maintain the Shelton Landfill Ash Leachate System Equipment Maintenance Binder, kept on site, with up-to-date records of all maintenance and repair work done on the System.
- i) Contractor shall provide CRRA with reports on a quarterly basis. Included in the reports shall be documentation of all inspection, maintenance, and repair activities that were completed since the previous inspection report. Reports shall be submitted to CRRA no later than 20 days after each inspection.

### **3. CONTRACTOR'S SPECIFIC RESPONSIBILITIES**

Tasks 1 and 2 below describe the Contractor's responsibilities under this Agreement. The exclusion of any applicable environmental or operational requirements from these Tasks does not relieve the Contractor of its responsibility to comply with such requirements.

#### **Task 1 Leachate Collection and Treatment System Inspection and Maintenance – Routine Services**

Contractor shall provide CRRA with certain equipment inspection and maintenance services for the Landfill's Leachate Collection And Treatment System. Contractor shall be responsible for the Quarterly, Semi-Annual, and Annual inspections as outlined in

**Attachment 1.** Contractor will not be responsible for the cleaning of traps, vaults, wet wells, chambers, or other locations designed to accumulate sediment as part of routine maintenance. When cleaning is necessary for the foregoing, Contractor will notify CRRA that cleaning of the foregoing is necessary. CRRA may direct the contractor to perform such cleaning under Task 2 – Non Routine Services.

**Task 2 Leachate Collection & Treatment System Inspection and Maintenance – Non-Routine Services**

Contractor shall perform non-routine maintenance and repair work on the System as directed by CRRA. This work may include, but not be limited to, the repair or replacement of pumps, valves, piping, fittings, etc., and the reprogramming of the PLC.

As outlined in the Stewardship Permit, Contractor shall repair or replace any malfunctioning primary or secondary leachate collection sump pump within 72 hours of discovering the malfunction and record this repair/replacement in the maintenance log described below. If the repair/replacement cannot be completed within 72 hours, Contractor shall immediately report the situation to CRRA.

Contractor shall log all non-routine work in the maintenance log kept on site at the Landfill. Non-routine maintenance and repair work will be performed on a time and materials basis using the billing rates contained in Contractor’s Bid.

CRRA shall pre-approve in writing any non-routine services.

**ATTACHMENT 1  
SHELTON LANDFILL  
ROUTINE INSPECTION & MAINTENANCE CHECKLIST  
ASH LEACHATE COLLECTION & TREATMENT SYSTEM**

Technician: \_\_\_\_\_

Date of Service: \_\_\_\_\_

Type of Service (circle all that apply): Quarterly, Semi Annual, Annual

Component	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	Comments
	<b>SOUTHEAST AREA PUMPS</b>			
<b>Cell 1</b>				
1 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
2 Run pumps on hand, confirm operation.				
3 Note depth of water in sump by measuring and recording length of submerged pump/piping				
4 Confirm pumps operate at prescribed time				
5 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Cell 2 North Sump</b>				
1 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
2 Run pumps on hand, confirm operation.				
3 Note depth of water in sump by measuring and recording length of submerged pump/piping				
4 Confirm pumps operate at prescribed time				
5 Inspect fittings and piping				
<b>Cell 2 South Sump</b>				
1 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
2 Run pumps on hand, confirm operation.				
3 Note depth of water in sump by measuring and recording length of submerged pump/piping				
4 Confirm pumps operate at prescribed time				
5 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Cell 3 North Sump</b>				
1 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
2 Run pumps on hand, confirm operation.				
3 Note depth of water in sump by measuring and recording length of submerged pump/piping				
4 Confirm pumps operate at prescribed time				
5 Inspect fittings and piping				
<b>Cell 3 South Sump</b>				
1 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
2 Run pumps on hand, confirm operation.				
3 Note depth of water in sump by measuring and recording length of submerged pump/piping				
4 Confirm pumps operate at prescribed time				
5 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Cell 4</b>				
1 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
2 Run pumps on hand, confirm operation.				
3 Note depth of water in sump by measuring and recording length of submerged pump/piping				
4 Confirm pumps operate at prescribed time				
5 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>SOUTHEAST AREA VAULT</b>				
1 Check operation of vent fan				
2 Inspect interior of vault				
3 Check piping, fittings, within vault				
4 Remove and clean flow meters in each vault, check performance of flow meters using ohm meter				
5 Remove and clean check valves				
6 Lift float and check operation of sump pump				
7 Confirm operation of Paragon Time Controller				
8 Confirm operation of Time Mark Pump Controller				
9 Confirm operation of Warrick Controller				
10 Confirm Operation of all indicator lights, change bulbs if required				



Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>NORTHEAST AREA PUMPS</b>				
<b>Cell 1</b>				
1 Check condition of vent tube.				
2 Check desicant dryer				
3 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
4 Run pumps on hand, confirm operation.				
5 Note depth of water in sump by measuring and recording length of submerged pump/piping				
6 Clean transducers				
7 Confirm levels at which pumps come on/shut off, make note of setpoints				
8 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Cell 2</b>				
1 Check condition of vent tube.				
2 Check desicant dryer				
3 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
4 Run pumps on hand, confirm operation.				
5 Note depth of water in sump by measuring and recording length of submerged pump/piping				
6 Clean transducers				
7 Confirm levels at which pumps come on/shut off, make note of setpoints				
8 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>Cell 3</b>				
1 Check condition of vent tube.				
2 Check desiccant dryer				
3 Remove primary and secondary pumps and inspect. Repair or replace within 72 hours if malfunctioning.				
4 Run pumps on hand, confirm operation.				
5 Note depth of water in sump by measuring and recording length of submerged pump/piping				
6 Clean transducers				
7 Confirm levels at which pumps come on/shut off, make note of setpoints				
8 Inspect fittings and piping				

Component				Comments
	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	
<b>NORTHEAST AREA VAULT</b>				
1 Check operation of vent fan				
2 Inspect interior of vault				
3 Check piping, fittings, valve position within vault				
4 Check flow meter wiring				
5 Remove and clean flow meters in each vault, check performance of flow meters using ohm meter				
6 Remove and clean check valves				
7 Lift float and check operation of sump pump				
8 Confirm operation of dehumidifier				
9 Confirm operation of all indicator lights / change bulbs if required				

Component	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	Comments
	<b>SOUTHEAST LEACHATE LIFT STATION</b>			
1 Operate pumps in hand, drain and check interior of LLS, guide rails, floats, etc.				
2 Confirm pumps alternate on successive starts				
3 Check that float switches start and stop pumps				
4 Check operation of "lag pump on" float and confirm it runs both pumps at same time.				
5 Inspect electrical cables				
<b>NORTHEAST LEACHATE LIFT STATION</b>				
1 Operate pumps in hand, drain and check interior of LLS, guide rails, floats, etc.				
2 Confirm pumps alternate on successive starts				
3 Check that float switches start and stop pumps				
4 Check operation of "lag pump on" float and confirm it runs both pumps at same time.				
5 Inspect electrical cables				
<b>MAIN LIFT STATION</b>				
1 Operate pumps in hand, drain and check interior of LLS, guide rails, floats, etc.				
2 Confirm pumps alternate on successive starts				
3 Check that float switches start and stop pumps				
4 Check operation of "lag pump on" float and confirm it runs both pumps at same time.				
5 Inspect electrical cables				

Component	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	Comments
	<b>Leachate Storage Tank</b>			
1 Inspect interstitial space, confirm alarm is working properly				
2 Perform annual Cathodic Protection System Inspection and Maintenance				
3 Verify proper operation of liquid level indicator				
<b>Leachate pH Adjustment Equipment</b>				
1 Check chemical metering pump feed and suction lines, replace as needed				
2 Remove mixer, inspect shaft and propeller				
3 Remove tank pH probe, clean & calibrate				
4 Remove effluent pH probe, clean & calibrate				
5 Remove effluent cond. probe, clean & calibrate				
6 Empty pH adjustment tank, clean and inspect				

Component	Quarterly (every three months)	Semi-Annually (every six months)	Annually (Each Year)	Comments
	<b>Leachate Pre Treatment System &amp; Controls</b>			
1 Confirm Hi/Low pH shuts down transfer pumps, note setpoints				
2 Confirm storage tank hi level shuts down Southeast leachate lift station, note setpoint				
3 Confirm storage tank hi level shuts down Northeast leachate lift station, note setpoint				
4 Confirm Southeast lift station hi level shuts down Southeast cell pumps				
5 Confirm Northeast lift station hi level shuts down Northeast cell pumps				
6 Confirm transfer pumps cycle (alternate)				
7 Confirm transfer pumps come on and shut down at proper levels, note levels				
8 Confirm transfer pumps shut down at the safety disable level, note level				
9 Confirm acid and caustic feed pump setpoints maintain pH between 6.0 and 10.0, note setpoints				
10 Calibrate pH circular chart recorder				
11 Calibrate flow circular chart recorder				
12 Check accuracy of level controller within leachate storage tank				
13 Clean flow trough and calibrate effluent flow totalizer				
14 Confirm operation of all indicator lights/change bulbs if required				

## **CONTRACT PRICE AND PAYMENT RATE SCHEDULE**

[The Contract Price And Payment Rate Schedule will be added by CRRA based on the successful Proposer('s) Proposal Price for each site awarded to the successful Bidder(s).]



## BILL FORMAT – LUMP SUM TASKS

Name of Contractor:	
Contract Number:	
Billing Period:	
Project Name:	<b>Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>
Purchase Order Number:	

Task	Cost Type	Proposed Costs for Current Fiscal Year	% Completed Current Billing Period	Dollars Earned Current Billing Period	% Completed Year-To-Date
<b>1. Quarterly Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>					
1.1 Inspection, Maintenance, and Documentation of Field Activities	LS	\$	%	\$	%
<b>2. Semi-Annual Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>					
2.1 Inspection, Maintenance, and Documentation of Field Activities	LS	\$	%	\$	%
<b>3. Annual Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>					
3.1 Inspection, Maintenance, and Documentation of Field Activities	LS	\$	%	\$	%
<b>Total Earned During Current Billing Period</b>				\$	%

## BILL FORMAT – LUMP SUM TASKS

Name of Contractor:	
Contract Number:	
Billing Period:	
Project Name:	<b>Inspection and Maintenance of the Shelton Landfill Ash Leachate Collection and Treatment System</b>
Purchase Order Number:	

Task	Cost Type	Proposed Costs for Current Fiscal Year	% Completed Current Billing Period	Dollars Earned Current Billing Period	% Completed Year-To-Date
<b>1. Quarterly Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>					
1.1 Inspection, Maintenance, and Documentation of Field Activities	LS	\$	%	\$	%
<b>2. Semi-Annual Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>					
2.1 Inspection, Maintenance, and Documentation of Field Activities	LS	\$	%	\$	%
<b>3. Annual Inspection and Maintenance of the Hartford Landfill Ash Leachate Collection and Treatment System</b>					
3.1 Inspection, Maintenance, and Documentation of Field Activities	LS	\$	%	\$	%
<b>Total Earned During Current Billing Period</b>				\$	%

## BILL FORMAT - TIME AND MATERIALS TASKS

Name of Contractor:	
Contract Number:	
Billing Period:	
Project Name:	<b>Inspection and Maintenance of the Ash Leachate Collection and Treatment System at the [CRRRA to insert Hartford and/or Shelton Landfill]</b>
Purchase Order 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)					
<b>Subtotal Personnel</b>					
<b>Ancillary Services/Equipment</b>			<b>Units</b>	<b>Rate</b>	<b>Amount</b>
(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)					
<b>Subtotal Ancillary Services/Equipment</b>					
<b>Subcontractors</b>			<b>Invoice Amount*</b>	<b>Mark-up</b>	<b>Amount</b>
(Insert name of subcontractor who worked on Task)					
(Insert name of subcontractor who worked on Task)					
(Insert name of subcontractor who worked on Task)					
Subtotal Subcontractors					
<b>Subtotal for Task (Insert Task Number)</b>					
<b>TOTAL (Insert billing period for which bill is being submitted)</b>					

\* Attach a copy of the subcontractor's invoice.



# **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.

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### **ORIGINAL**

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

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### **REVISION 1**

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

**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](http://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**

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 “Inspection And Maintenance Of Ash Leachate Collection And Treatment System At The [CRRA to insert Hartford and/or Shelton Landfill]” (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;



**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 bidder/proposer/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 “AGREEMENT FOR INSPECTION AND MAINTENANCE OF THE ASH LEACHATE COLLECTION SYSTEM AT THE [CRRA TO INSERT HARTFORD AND/OR SHELTON] LANDFILL” (the “Agreement”) with the Connecticut Resources Recovery Authority (“CRRA”);
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 Statutes<sup>1</sup> as of the date this Affidavit is submitted, Contractor has not entered into any consulting agreement<sup>2</sup> in connection with the Agreement whereby any duties of the consultant pursuant to said consulting agreement<sup>2</sup> require that consultant pursue communications concerning business of CRRA, whether or not direct contact with CRRA, a CRRA official, a CRRA 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 agreement<sup>2</sup> 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.

<sup>1</sup> 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.

<sup>2</sup> 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 agreements<sup>2</sup> 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
<b>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.</b>	
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**

**AGREEMENT FOR INSPECTION AND MAINTENANCE OF THE ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT [CRRA TO INSERT HARTFORD AND/OR SHELTON] LANDFILL**

(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 INSPECTION AND MAINTENANCE OF THE ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT [CRRA TO INSERT HARTFORD AND/OR SHELTON] LANDFILL" (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, 2013 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**

David Bodendorf, Senior Environmental Engineer
Roger Guzowski, Contract and Procurement Manager
Tom Kirk, President

**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 \_\_\_\_\_ 20 \_\_\_\_

\_\_\_\_\_  
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 9-601a 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 a state agency or quasi-public agency (i) for use on state or quasi-public agency property, or (ii) that support an event, and (B) which facilitate state or quasi-public agency action or functions. As used in this Affidavit Concerning Gifts, "state property" means (i) property owned by the state or a quasi-public agency, or (ii) property leased to a state agency or quasi-public agency;
- (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.
- (16) Training that is provided by a vendor for a product purchased by a state or quasi-public agency which is offered to all customers of such vendor; or
- (17) Travel expenses, lodging, food, beverage and other benefits customarily provided by a prospective employer, when provided to a student at a public institution of higher education whose employment is derived from such student's status as a student at such institution, in connection with bona fide employment discussions.

"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 INSPECTION AND MAINTENANCE OF THE ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT [CRRRA TO INSERT HARTFORD AND/OR SHELTON] LANDFILL**

**Awarded To**

**[NAME OF CONTRACTOR/CONSULTANT]**

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

By submission of this Certification, the President of the Connecticut Resources Recovery Authority (“CRRRA”) hereby certifies that the selection of the most qualified or highest ranked person, firm or corporation for the “AGREEMENT FOR INSPECTION AND MAINTENANCE OF THE ASH LEACHATE COLLECTION AND TREATMENT SYSTEM AT [CRRRA TO INSERT HARTFORD AND/OR SHELTON] LANDFILL” 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