

**CONNECTICUT  
RESOURCES  
RECOVERY  
AUTHORITY**

**REQUEST FOR QUALIFICATIONS (“RFQ”)**

**FOR**

**CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES**

**(RFQ Number 2007OE001)**

**PROPOSAL DUE DATE**

**MARCH 21, 2007**

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

**February 5, 2007**

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

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

February 5, 2007

**TABLE OF CONTENTS**

1.	Notice To Firms – Request For Qualifications .....	1-1
2.	Instructions To Firms .....	2-1
3.	Proposal Form .....	3-1
4.	Payment Rate Schedule Form .....	4-1
5.	Issues and Questions To Be Addressed.....	5-1
6.	Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety.....	6-1
7.	Affidavit Of Third Party Fees .....	7-1
8.	Campaign Contribution Restriction Affidavit (SEEC Form SC 3) and List Of Principals (SEEC Form SC 3A).....	8-1
9.	Background Questionnaire .....	9-1
10.	Notice Of Award .....	10-1
11.	Consulting, Engineering And Land Surveying Services Agreement .....	11-1
	Exhibit A – Scope Of Work.....	A-1
	Exhibit B – Request For Services Standard Format .....	B-1
	Exhibit C – Compensation Schedule .....	C-1
	Exhibit D – CRRA Travel And Expense Policy.....	D-1
	Exhibit E – Monthly Bill Format.....	E-1

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

**SECTION 1**

**NOTICE TO FIRMS – REQUEST FOR  
QUALIFICATIONS**

# CONNECTICUT RESOURCES RECOVERY AUTHORITY

## NOTICE TO FIRMS – REQUEST FOR QUALIFICATIONS

The Connecticut Resources Recovery Authority (“CRRA”) is a quasi-public agency of the State of Connecticut that is responsible for providing solid waste disposal and recycling services to more than 100 municipalities in the state. To that end, CRRA has developed, constructed and now operates an integrated system of four resource recovery facilities, two regional recycling centers, five landfills (two of which are still in operation) and twelve transfer stations. At present, CRRA accepts more than 75% of the municipal solid waste (“MSW”) generated in Connecticut. These facilities are operated by entities that are under contract to CRRA.

CRRA is requesting qualifications from qualified firms (including individuals) interested in providing certain consulting, engineering and land surveying services for CRRA from July 1, 2007 through June 30, 2010. Qualified proposals will be accepted by CRRA for the following categories of consulting, engineering and land surveying services:

- General Engineering
- Resource Recovery and Recycling Consulting and Engineering
- Environmental Consulting and Engineering
- Landfill Consulting and Engineering
- Solid Waste Consulting
- Land Surveying

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

Request for Qualifications (“RFQ”) package documents may be obtained Monday through Friday, from 8:30 a.m. to 5:00 p.m., at the offices of CRRA, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722, beginning **Monday, February 5, 2007**. The documents will also be available beginning on the same date on the world wide web at <http://www.crra.org> under the “Business Opportunities” page.

**Sealed proposals in response to this RFQ 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., Eastern Time, on Wednesday, March 21, 2007.**

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

All questions regarding this RFQ must be submitted in writing to Ronald Gingerich, Environmental Compliance Manager, by e-mail ([rgingerich@crra.org](mailto:rgingerich@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. on Wednesday, February 28, 2007**. 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. Gingerich.

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

**SECTION 2**

**INSTRUCTIONS TO FIRMS**

**INSTRUCTIONS TO FIRMS**  
**CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES**

**CONTENTS**

1.	Introduction .....	1
2.	Definitions .....	2
3.	Communications With CRRA Staff And Board Members .....	3
4.	Scope Of Services .....	3
5.	RFQ Package Documents.....	3
6.	Addenda And Interpretations .....	4
7.	Proposal Submission Procedures .....	5
8.	Proposal Contents.....	6
9.	Proposal Opening .....	7
10.	Proposal Evaluation.....	7
11.	Interviews .....	9
12.	Contract Award .....	9
13.	RFQ Projected Timeline.....	9
14.	Requests For Services .....	10
15.	Proposer's Qualifications .....	10
16.	Proposal Preparation And Other Costs.....	10

**1. Introduction**

The Connecticut Resources Recovery Authority (“CRRA”) is a quasi-public agency of the State of Connecticut that is responsible for providing solid waste disposal and recycling services to more than 100 municipalities in the state. To that end, CRRA has developed, constructed and now operates an integrated system of four (4) resources recovery facilities, two (2) regional recycling centers (one of which is the largest in the United States), five (5) landfills (two of which are still in operation) and twelve (12) transfer stations. These facilities are operated by entities that are under contract with CRRA.

From time to time, CRRA requires the services of consulting, engineering and land surveying firms. The purpose of this RFQ is to identify consulting, engineering and land surveying firms/individuals that would be qualified to work for CRRA. CRRA intends, but does not guarantee, to enter into contracts with one of more firms/individuals. When CRRA has work that needs to be done, CRRA will select from among those firms/individuals with which it has agreements one for more firms/individuals to enter into a Request For Services for the work.

## 2. Definitions

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

- (a) **Addenda:** Written or graphic documents issued prior to the proposal due date that clarify, correct or change any or all of the Contract Documents.
- (b) **Contract Documents:**
  - (1) Consulting, Engineering And Land Surveying Services Agreement (the "Agreement");
  - (2) Notice To Firms – Request For Qualifications;
  - (3) Instructions To Firms;
  - (4) Proposal Form;
  - (5) Payment Rate Schedule Form;
  - (6) Issues And Questions To Be Addressed;
  - (7) Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
  - (8) Affidavit Of Third Party Fees;
  - (9) Campaign Contribution Restriction Affidavit (SEEC Form SC 3) and List of Principals (SEEC Form SC 3A)
  - (10) Background Questionnaire
  - (11) Addenda;
  - (12) The proposer's Proposal (including all documentation attached to or accompanying such Proposal, all other documentation submitted in connection with such Proposal, and all post-submission documentation submitted prior to the Notice Of Award);
  - (13) Notice Of Award; and,
  - (14) Any written amendments to the Agreement issued pursuant to Section 2.7 and/or 7.7 of 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(s) 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.

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



### **3. Communications With CRRA Staff And Board Members**

Except as otherwise authorized by this Instructions To Firms, during the pendency of the RFQ process, firms contemplating or preparing proposals are prohibited from contacting CRRA staff or CRRA Board of Directors members in an ex parte manner to discuss the RFQ process. A proposer's proposal shall be rejected if any of the foregoing ex parte communications take place.

### **4. Scope Of Services**

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

The Services are in four Categories as follows:

- (a) General Engineering Services;
- (b) Resource Recovery and Recycling Consulting and Engineering Services;
- (c) Environmental Consulting and Engineering Services;
- (d) Landfill Consulting and Engineering Services;
- (e) Solid Waste Consulting Services; and
- (f) Land Surveying.

CRRA will assume that a firm/individual responding to this RFQ is willing to perform only the Categories of Services that are selected by the firm/individual on the Proposal Form in the firm's/individual's proposal.

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

The term of the Agreement shall be from July 1, 2007 to June 30, 2010.

### **5. RFQ Package Documents**

This RFQ package consists of the following documents:

- 1. Notice To Firms – Request For Qualifications;
- 2. Instructions To Firms;
- 3. Proposal Form;
- 4. Payment Rate Schedule Form;
- 5. Issues And Questions To Be Addressed;

6. Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety;
7. Affidavit Of Third Party Fees;
8. Campaign Contribution Restriction Affidavit (SEEC Form SC 3) and List of Principals (SEEC Form SC 3A);
9. Background Questionnaire;
10. Notice Of Award;
11. Consulting, Engineering And Land Surveying Services Agreement, including:
  - A. Scope Of Services
  - B. Request For Services Standard Format
  - C. Compensation Schedule
  - D. CRRA Travel And Expense Policy
  - E. Monthly Bill Format

Complete sets of the above documents may be obtained Monday through Friday, from 8:30 a.m. to 5:00 p.m., at CRRA's Offices, 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103-1722, beginning Monday, February 5, 2007.

All of the Proposal Package Documents are also available in PDF format beginning on the same date on the World Wide Web at:

<http://www.crra.org> under the "Business Opportunities" page.

All of the forms included in the documents are also available for downloading in Microsoft Word format at CRRA's web site. CRRA encourages proposers to make use of the downloaded Word forms.

## 6. Addenda And Interpretations

CRRA may issue Addenda to this RFQ 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 RFQ package or any other question must be **submitted in writing to Ronald Gingerich, Environmental Compliance Manager by e-mail (rgingerich@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., on Wednesday, February 28, 2007.**

Addenda will be mailed and/or e-mailed to all persons who picked up or requested from CRRA a printed copy of the RFQ package documents or who otherwise notified CRRA of their interest in the RFQ. Such addenda will also be posted on CRRA's web site (<http://www.crra.org>) on the "Business Opportunities" page. Such addenda will be mailed/e-mailed and posted on the 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 responses, statements, interpretations or clarifications shall be without legal effect and shall not be binding upon CRRA.**

**7. Proposal Submission Procedures**

**Sealed proposals in response to this RFQ must be submitted no later than 3:00 p.m., Eastern Time, Wednesday, March 21, 2007** at the offices of CRRA, 100 Constitution Plaza, 6th Floor, Hartford, Connecticut 06103-1722, Attn: Ronald Gingerich. CRRA reserves the right to reject proposals received after the time and date set forth above.

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

<b>Number of Categories of Services for which the Proposal is Submitted</b>	<b>Number of Originals</b>	<b>Number of Copies</b>
1	1	2
2	1	3
3	1	4
4	1	5
5	1	5
6	1	5

The original of the proposal shall be stamped or otherwise marked as such. The following table indicates the number of copies of a proposal that must be submitted.

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

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

No joint proposals shall be accepted.

**The terms and conditions of the Agreement (Section 11 of this RFQ), as attached, are non-negotiable. Any proposer that will be unable to execute the Agreement, as attached, should not submit 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 offices at any time prior to the proposal due date.

## **8. Proposal Contents**

Proposals shall be submitted on forms provided by CRRA as part of this RFQ package. All of the 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 be in the following order:

- (a) Cover letter, which includes the name of the proposer and the proposer's promise, if any, to set aside a portion of the contract for legitimate minority business enterprises (see Section 10.3(e) of this Instructions To Firms). The cover letter must be signed by an individual authorized to enter into the Agreement with CRRA;
- (b) The completed Proposal Form, with the Category(ies) of Services for which the proposer wishes to be considered checked (Page 3-1), Addenda, if any, listed in the appropriate place (Page 3-3), the name and address of the contact for Notices listed in the appropriate place (Page 3-6) and the completed agreement page (Page 3-6);
- (c) The completed Payment Rate Schedule Form (Pages 4-1 through 4-3) in printed format;
- (d) Answers to the Issues And Questions To Be Addressed (the answer to each question must begin on a new page) (Page 5-1);
- (e) The completed Questions Concerning Affirmative Action, Small Business Contractors And Occupational Health And Safety form, with the proposer's most recent EEO-1 data attached (if applicable);
- (f) The completed Affidavit Of Third Party Fees (subscribed and sworn before a Notary Public or Commissioner of the Superior Court);
- (g) The completed Campaign Contribution Restriction Affidavit (SEEC Form SC 3) (subscribed and sworn by the chief executive officer of the Proposer before a Notary Public or Commissioner of the Superior Court) and a completed List Of Principals (SEEC Form SC 3A). (While the instructions to SEEC For SC 3A indicate that the completed form is to be returned to the State Elections Enforcement Commission (SEEC), the SEEC has informed CRRA that the form

should be returned by the Proposer to CRRA as part of its proposal. CRRA is responsible for providing a copy of the submitted SEEC Form 3A to the SEEC);

- (h) The completed Background Questionnaire; and
- (i) An electronic version of the completed Payment Rate Schedule Form (Pages 4-1 through 4-3) on compact disc ("CD"), preferably in Microsoft Word or Excel format. Proposers may simply save to a CD the completed Microsoft Word version of the Payment Rate Schedule Form that is available for downloading on CRRA's web site (<http://www.crra.org>) under the "Business Opportunities" page and submit the CD with the saved, completed Form to CRRA. Proposers must include the electronic version of the Payment Rate Schedule Form in the original of the proposal. The electronic version need not be included in any of the copies of the proposal.

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

The entire proposal shall not exceed forty (40) pages. Brief and concise answers are encouraged. Page limits are intended to set limits, not targets. Proposals should be prepared on 8 ½ x 11 inch paper using at least 10 point type with standard margins.

## 9. Proposal Opening

All proposals will be opened privately at CRRA's convenience on or after the proposal due date. **CRRA reserves the right to reject any or all of the proposals, or any part(s) thereof, and/or to waive any informality or informalities in any proposal or the RFQ process.**

## 10. 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(s), while anticipated, are not guaranteed.**

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

### 10.1 Evaluation Criteria

CRRA will base its evaluation of proposals on the following criteria:

- (a) Price;
- (b) Qualifications;
- (c) Demonstrated skill, ability and integrity to perform the Services required by the Contract Documents;
- (d) Reputation;
- (e) Any other factor or criterion that CRRA, in its sole discretion, deems or may deem relevant or pertinent for such evaluation.

## 10.2 Additional Evaluation Criteria

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

- (a) In each Category of Services for which the proposer wishes to be considered, the experience of the proposer in serving as a consulting/engineering/land surveying firm for clients, including governmental entities and resource recovery entities;
- (b) In each Category of Services for which the proposer wishes to be considered, the qualification of the personnel who would perform the Services for CRRA, including the experience and availability of the day-to-day staff and the breadth and depth of qualifications of other professionals available to provide services to CRRA;
- (c) The organizations and approach of the proposer, including the ability of the proposer to adequately staff and complete time-sensitive projects and transactions and to interact effectively with CRRA and other professionals involved in CRRA's projects and transactions; and
- (d) The references for the proposer.

## 10.3 Affirmative Action Evaluation Criteria

All 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 6 of the RFQ 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 6 of the RFQ 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 6 of RFQ 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 9(e) of this Instructions To Firms); and
- (e) The proposer's promise to set aside a portion of the contract for legitimate minority business enterprises (see Section 9(a) of this Instructions To Firms).

## **11. Interviews**

To assist in the selection process, CRRA may decide to interview proposers. Such interviews, if they are conducted, will be held during the month of April, 2007.

## **12. Contract Award**

If CRRA decides to award a contract(s) for the Services, CRRA will issue to the successful proposer(s) a Notice Of Award within one hundred twenty (120) 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 RFQ 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.

## **13. RFQ Projected Timeline**

The following is the projected timeline for the RFQ process:

ITEM	DATE
RFQ Formally Announced	Monday, February 5, 2007
Deadline for Written Questions	Wednesday, February 28, 2007
Response to Written Questions	Friday, March 9, 2007
Proposals Due at CRRA	Wednesday, March 21, 2007
Interviews	April, 2007
Selection and Notice of Award Issued	Thursday, May 24, 2007
Effective Date of Agreement	July 1, 2007

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

#### 14. Requests For Services

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

#### 15. Proposer's Qualifications

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

#### 16. 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 QUALIFICATIONS  
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CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES**

**SECTION 3**

**PROPOSAL FORM**

# PROPOSAL FORM

**PROJECT:** General

**CONTRACT NUMBER:** \_\_\_\_\_ (To be filled in later by CRRA)

**CONTRACT FOR:** Consulting, Engineering And Land Surveying Services Agreement

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

## 1. TYPE OF SERVICES FOR WHICH PROPOSAL SUBMITTED

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

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

## 2. 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.

## 3. TERMS AND CONDITIONS

The undersigned (the "Proposer") accepts and agrees to all terms and conditions of the Request For Qualifications, Instructions To Proposers, the Agreement and any Addenda to any such documents. This Proposal shall remain open and subject to acceptance for one hundred twenty (120) 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 the required number of counterparts of the non-negotiable Agreement;
- (b) Deliver to CRRA such executed counterparts and all other Contract Documents attached to the Notice Of Award along with any other documents required by the Contract Documents; and
- (c) Satisfy all other conditions of the Notice Of Award.

#### **4. 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 applicable prices, rates and/or costs 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 of Economic and Community Development, 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 32-9e of the *Connecticut General Statutes*.

#### **5. 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 RFQ, 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 with Proposer over Proposer's price and rates for the Services submitted on its Proposal Payment Rate Schedule Form.

#### **6. PROPOSER'S REPRESENTATIONS CONCERNING EXAMINATION OF CONTRACT DOCUMENTS**

In submitting this Proposal, Proposer represents that:

- (a) Proposer has thoroughly examined and carefully studied the RFQ package documents and the following Addenda, receipt of which is hereby acknowledged (list Addenda by Addendum number and date):

Addendum Number	Date Issued

- (b) Without exception the 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 work to be performed by CRRA and others that relates to the Services for which this Proposal is submitted;
- (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.

**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 RFQ in any manner as a basis or grounds for a claim or demand of any nature against CRRA arising from or by reason of any variance which may exist between

information offered or so obtained and the actual materials, conditions, or structures encountered during performance of any of the Services.

#### **8. 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 bid, proposal or other submittal to CRRA in connection with this RFQ.

#### **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 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 Services over any other Proposer for the Services or over CRRA.

## **11. PROPOSER'S REPRESENTATIONS CONCERNING RFQ FORMS**

By submission of this Proposal, the Proposer, together with any affiliates or related business entities or persons, the guarantor and any joint ventures, hereby represents that, under risk of termination of the Agreement, if awarded, all of the forms included in the RFQ that are submitted to CRRA as part of its Proposal are identical in form and content to the preprinted forms in the RFQ 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. 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 Services (or any part thereof) described in the Contract Documents; and/or
- (c) Any award or non-award of a contract for the Services (or any part thereof) pursuant to the Contract Documents.

## **13. ATTACHMENTS**

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

- (a) The completed Proposal Payment Rate Schedule Form;
- (b) 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;
- (c) Questionnaire Concerning Affirmative Action, Small Business Contractors And Occupational Health and Safety, which has been completely filled out by the Proposer;
- (d) Affidavit of Third Party Fees, which has been completely filled out by Proposer and signed before a Notary Public or Commissioner of the Superior Court;

- (e) Campaign Contribution restriction Affidavit (SEEC Form SC 3), which has been completely filled out by the Proposer and signed by the chief executive officer of the Proposer before a Notary Public or Commissioner of the Superior Court, and the List of Principals (SEEC Form SC 3A), which has been completely filled out by the Proposer; and
- (f) Background Questionnaire, which has been completely filled out by the Proposer and signed before a Notary Public or Commissioner of the Superior Court.

**14. 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:	

**15. ADDITIONAL REPRESENTATION**

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

[REST OF THE PAGE INTENTIONALLY LEFT BLANK]

[SIGNATURE PAGE FOLLOWS]



**AGREED TO AND SUBMITTED ON** \_\_\_\_\_, 200\_\_

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

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

**SECTION 4**

**PAYMENT RATE SCHEDULE FORM**

## PAYMENT RATE SCHEDULE

Name of Proposer:	
-------------------	--

Each Proposer must submit the information requested on the forms on the following pages.

On Page 4-2, Proposer must list the hourly billing rates for each staff level of personnel in its firm who will be assigned to work with CRRA.

Proposer must provide on Page 4-3 the rate at which applicable ancillary services are billed, including, but not limited to:

- Drafting;
- Word processing;
- Copying (per page);
- Computer time; and
- Any other services (excluding telephones) for which Proposer routinely bills.





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

**SECTION 5**

**ISSUES AND QUESTIONS TO BE ADDRESSED**

## ISSUES AND QUESTIONS TO BE ADDRESSED

**INSTRUCTIONS:** Complete, written answers must be provided to each of these questions and each answer must begin on a new page.

1. Provide a summary of the key strengths and qualifications of the proposer to serve as a Consulting/Engineering/Land Surveying Firm to CRRA.
2. For each Category of Services for which the proposer wishes to be considered, describe the proposer's experience.
3. For each Category of Services for which the proposer wishes to be considered, provide the names, titles and salary grade of the individuals who would be assigned to work with CRRA. Provide brief descriptions of the background of each such individual (including, but not limited to a brief (i.e., no more than two pages) resume), his/her probable areas of responsibility and the percentage of his/her time that would be available to assist CRRA. Any particular individual may be identified to be assigned to work with CRRA for more than one Category of Services. When such is the case, indicate all of the Categories of Services for which the individual might be involved. Please provide only one brief resume for each individual identified, regardless of how many Categories of Services he/she might be assigned.
4. Provide a copy of your firm's up-to-date certificate of insurance showing all current insurance coverage.
5. For each Category of Services for which the proposer wishes to be considered, provide three references not affiliated with CRRA that CRRA may call and for whom you have performed similar and substantial services. Provide the name of the reference, his/her telephone number and a brief description of the services performed for the reference. Any particular reference may serve as a reference for more than one Category of Services. When such is the case, indicate all of the Categories of Services for which the reference will serve as a reference.

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

**SECTION 6  
QUESTIONNAIRE CONCERNING AFFIRMATIVE  
ACTION, SMALL BUSINESS CONTRACTORS  
AND OCCUPATIONAL HEALTH AND SAFETY**





**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 or Proposer, as appropriate.

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

## LIST OF ACRONYMS

RCSA	-	Regulations of Connecticut State Agencies
CHRO	-	State of Connecticut Commission on Human Rights and Opportunities
DECD	-	State of Connecticut Department of Economic and Community Development
MWDP	-	Minority/Women/Disabled Person

## FOOTNOTE

- <sup>1</sup> If the Contract is a "public works contract" (as defined in Section 46a-68b of the Connecticut General Statutes), the dollar amount exceeds \$50,000.00 in any fiscal year, and the Contractor has 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 CONTRACTOR

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

1. Has been doing business and has maintained its principal place of business in the State for a period of at least one year immediately preceding the issuance of the Request For Bids/Proposals/Qualifications;
2. Has had gross revenues not exceeding ten million dollars in the most recently completed fiscal year;
3. Is headquartered in Connecticut; and,
4. At least 51% of the ownership of the Contractor is held by a person or persons who are active in the daily affairs of the business and have the power to direct the management and policies of the business.

## SCHEDULE B CRITERIA FOR A MINORITY/WOMAN/DISABLED PERSON BUSINESS ENTERPRISE

Contractor must meet all of the following criteria to qualify as a Minority/Woman/Disabled Person Business Enterprise:

1. Satisfies all of the criteria in Schedule A for a Small Contractor;
2. 51% or more of the business and/or its assets must be owned by a person or persons who are minorities as defined in Connecticut General Statutes Section 32-9n (please see below) or is an individual with a disability;
3. The Minority/Woman/Disabled Person must have the power to change policy and management of the business; and,
4. The Minority/Woman/Disabled Person must be active in the day-to-day affairs of the business.

## CONNECTICUT GENERAL STATUTES SECTION 32-9n

Sec. 32-9n. Office of Small Business Affairs. (a) There is established within the Department of Economic and Community Development an Office of Small Business Affairs. Such office shall aid and encourage small business enterprises, particularly those owned and operated by minorities and other socially or economically disadvantaged individuals in Connecticut. As used in this section, minority means: (1) Black Americans, including all persons having origins in any of the Black African racial groups not of Hispanic origin; (2) Hispanic Americans, including all persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race; (3) all persons having origins in the Iberian Peninsula, including Portugal, regardless of race; (4) women; (5) Asian Pacific Americans and Pacific islanders; or (6) American Indians and persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification.

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

**SECTION 7  
AFFIDAVIT OF THIRD PARTY FEES**



# AFFIDAVIT OF THIRD PARTY FEES (Form A2)

All Bidders/Proposers must complete and properly execute this Affidavit of Third Party Fees. The purpose of this Affidavit is to ascertain if the Bidder/Proposer has made or promised any payment to a third party attributable to this Agreement. If no such payment has been made or promised, Bidder/Proposer should write "None" in the first box in the table and execute this Affidavit. For purposes of the Affidavit, Bidder's/Proposer's subcontractors, if any, are not considered third parties.

I, \_\_\_\_\_, a duly authorized officer and/or representative of \_\_\_\_\_ (firm name), 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;
2. \_\_\_\_\_ (firm name) seeks to enter into the "Agreement" which is the subject of this Request For Bids/Proposals/Qualifications with the Connecticut Resources Recovery Authority; and
3. All third party fees and agreements to pay third party fees attributable to the "Agreement" are as follows:

Name Of Payee	Dollar Amount Paid Or Value Of Non-Cash Compensation AND Date	Fee Arrangement	Specific Services Performed Or To Be Performed By Payee <sup>1</sup>

(Attach additional copies of this page as necessary.)

**NOTE:** For each third party fee arrangement described above (if any), complete the attached Form A2a.

4. The information set forth herein is true, complete and accurate to the best of my knowledge and belief under penalty of perjury.

Signed: \_\_\_\_\_  
 Name (Print): \_\_\_\_\_  
 Title: \_\_\_\_\_

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 200 \_\_\_\_\_

\_\_\_\_\_  
Notary Public/Commissioner of the Superior Court

<sup>1</sup> Please attach documents evidencing the terms of the fee arrangement and services.



**ADDENDUM TO  
AFFIDAVIT OF THIRD PARTY FEES  
(Form A2a)**

For each third party fee arrangement disclosed in the attached Affidavit, please explain whether and how each such payment falls within one or more of the following categories of compensation:

- (1) Compensation earned for the rendering of legal services when provided by an attorney while engaged in the ongoing practice of law;
- (2) Compensation earned for the rendering of investment services, other than legal services, when provided by an investment professional while engaged in the ongoing business of providing investment services;
- (3) Compensation for placement agent, due diligence or comparable tangible marketing services when paid to a person who is an investment professional (i) engaged in the ongoing business of representing providers of investment services, or (ii) in connection with the issuance of bonds, notes or other evidence of indebtedness by a public agency;
- (4) Compensation earned by a licensed real estate broker or real estate salesperson while engaging in the real estate business on an ongoing basis; or
- (5) Payments for client solicitation activities meeting the requirements of Rule 206(4)-3 under the Investment Advisers Act of 1940.

***Attach additional pages as necessary.***

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

**SECTION 8  
CAMPAIGN CONTRIBUTION RESTRICTION  
AFFIDAVIT  
(SEEC Form SC 3)**

**And  
LIST OF PRINCIPALS  
(SEEC Form SC 3A)**



BID or PROPOSAL #: <b>2007OE001</b>
CONTRACT #: _____

**STATE CONTRACTOR OR PROSPECTIVE STATE CONTRACTOR AFFIDAVIT**

I am over 18 years of age and believe in and understand the obligation of an oath.

My name is \_\_\_\_\_ and I am the chief executive officer of \_\_\_\_\_  
Print Name

Print Name of State Contractor or Prospective State Contractor

which is a  business entity,  nonprofit organization or  person, *(select one)*

A: which

currently holds a state contract as defined in Conn. Gen. Stat. §9-333n(g)(1)(C), with the following agency:

**or** \_\_\_\_\_  
Print Name of Agency

currently holds a prequalification certificate issued by the Commissioner of the Department of Administrative Services

**OR**

B: which is

seeking a state contract by submitting a bid in response to a bid solicitation to the following state agency or quasi-public agency: \_\_\_\_\_  
Print Name of Agency

**or** \_\_\_\_\_  
Print Name of Agency

seeking a state contract by submitting a proposal in response to a request for proposal to the following state agency or quasi-public agency: \_\_\_\_\_  
Print Name of Agency

**or** \_\_\_\_\_  
Print Name of Agency

seeking a state contract by submitting a proposal in response to a request for qualifications to the following state agency or quasi-public agency: **Connecticut Resources Recovery Authority**

**or** \_\_\_\_\_  
Print Name of Agency

applying to the Commissioner of Administrative Services for a prequalification certificate.

**(SELECT A or B)**

I hereby certify that:

- (1) I have informed all of the individuals within my company, entity or organization listed above who are defined as a "principal of a state contractor or prospective state contractor" in Conn. Gen. Stat. §9-333n(g)(1)(F), of the contribution and solicitation ban described in Conn. Gen. Stat. §9-333n(g)(2)(A) and/or (B), as applicable; and have listed each such principal in the attached pages(s) and submitted to the State Elections Enforcement Commission,
- (2) No individual who is a principal of a state contractor or prospective state contractor, as described in Conn. Gen. Stat. §9-333n(g)(1)(F), of my company, entity or organization will make or solicit a contribution in violation of Conn. Gen. State. §9-333n(g)(2)(A) and/or (B), as applicable, and (D), and
- (3) If any such contribution is made or solicited, my company, entity or organization listed above, shall be disqualified from being awarded the contract described in the bid solicitation or request for proposals or being awarded any other state contract for one year after the election for which such contribution is made or solicited or if a contract has been awarded, the contracting agency may void the existing contract with such contractor and shall not extend or amend the contract for one year after the election for which the contribution is made or solicited.

SWORN AS TRUE AND COMPLETE SUBJECT TO THE PENALTIES OF FALSE STATEMENT.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 200 \_\_\_\_\_

\_\_\_\_\_  
Commissioner of the Superior Court/Notary Public

**Notice: Making a false statement on this form may subject you to criminal penalties, including, but not limited to, imprisonment, a fine, or both.**

**SEEC FORM SC 3A** (Rev. 11/06)  
**CAMPAIGN CONTRIBUTION RESTRICTION AFFIDAVIT**  
STATE OF CONNECTICUT State Elections Enforcement Commission  
**FOR CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS**

**Statutory Definitions**

CGS §9-333n(g)(1)(C) provides:

- (C) "State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, 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 fiscal year, for (i) the rendition of personal services, (ii) the furnishing of any material, supplies or equipment, (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.

CGS §9-333n(g)(1)(F) provides:

- (F) "Principal of a state contractor or prospective state contractor" means (i) an individual who is a member of the board of director of, or has an ownership interest in, a state contractor or prospective state contractor, which is a business entity, except for an individual who (I) owns less than five percent of the shares of any such state contractor or prospective state contractor this is a publicly traded corporation, or (II) is a member of the board of directors of a nonprofit organization qualified under Section 501(c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive or senior 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, (iv) 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 of an individual described in this subparagraph, or (vi) a political committee established by or on behalf of an individual described in this subparagraph.

CGS §9-333n(g)(2)(A) provides, in relevant part:

- (A) No principal of a state contractor or prospective state contractor, with regard to a state contract, bid solicitation or request for proposals with or from a state

agency in the executive branch or a quasi-public agency or 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.

- (B) No principal of a state contractor or prospective state contractor, with regard to a state contract, bid solicitation or request for proposals with or from the General Assembly or 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; . . .

CGS §9-333n(g)(2)(D) provides, in relevant part:

. . . The chief executive officer of each prospective state contractor shall: (i) Inform each individual described in subparagraph (F) of subdivision (1) of this subsection with regard to said prospective state contractor concerning the provisions of subparagraph (A) or (B) of this subdivision, whichever is applicable and this subparagraph, (ii) certify in a sworn statement that no such individual will make or solicit a contribution in violation of the provisions of subparagraph (A) or (B) of this subdivision, whichever is applicable and this subparagraph, and (iii) acknowledge in writing that if any such contribution is made or solicited, the prospective state contractor shall be disqualified from being awarded the contract described in the bid solicitation or request for proposals or being awarded any other state contract for one year after the election for which such contribution is made or solicited.

**Instructions**

1. Complete affidavit and return to State Contracting Agency
2. Complete List of Principals (SEEC Form SC 3A) and return to the

State Elections Enforcement Commission  
20 Trinity Street  
Campaign Finance Disclosure Unit  
Third Floor  
Hartford, CT 06106





**LIST OF PRINCIPALS**

*(This page may be reproduced if more than one is required)*

Contracting Agency	Contractor Name		Bid or Proposal # Contract Award #	Contractor Contact E-Mail Address
<b>Connecticut Resources Recovery Authority</b>			<b>2007OE001</b>	
Designation of Principal	First Name	MI	Last Name	Political Action Committees (PACs)
Principal's Spouse/Child	First Name	MI	Last Name	
Designation of Principal	First Name	MI	Last Name	Political Action Committees (PACs)
Principal's Spouse/Child	First Name	MI	Last Name	
Designation of Principal	First Name	MI	Last Name	Political Action Committees (PACs)
Principal's Spouse/Child	First Name	MI	Last Name	

Principal Key*	Designation
Owner/Shareholder/LLC member	O
Director	B**
President	P
Chief Executive Officer	CEP
Treasurer	T
Exec./Senior Vice President	V
Employee	E
Spouse	S
Dependent Child	C

\* See statutory definition of "Principal" and Instructions on reverse side.

\*\* Applies primarily to a business entity and not to a non-profit entity. Please review FAQs on SEEC website: <http://www.ct.gov/seec>

# SEEC FORM SC 3A (Rev. 11/06)

## LIST OF PRINCIPALS

STATE OF CONNECTICUT State Elections Enforcement Commission

### FOR CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS

#### Instructions

##### General Instructions:

1. Enter the name of the Contracting Agency, the name of the Contractor, Bid, Proposal or Contract Award Numbers, as applicable, and the e-mail address of the person responsible for completion of the list of principals.
2. Enter the name (First Name, Middle Initial, Last Name) of each "principal" other than a child or spouse and indicate from the Designation Key the relationship of that principal to your organization.
3. Immediately below the name of any principal, indicate the information for any spouse or child (if any) associated with that principal.
4. Enter the name of any Political Action Committee which is established by or on behalf of any "principal", including the entity that is the state contractor or prospective state contractor.
5. **Note: SEEC Form SC 3A, List of Principals, must be submitted to State Elections Enforcement Commission, 20 Trinity St., Campaign Finance Disclosure Unit, Third Floor, Hartford, CT 06106.** For additional information go to the SEEC website at [www.ct.gov/seec](http://www.ct.gov/seec) and click on State Contractor Ban, and FAQ.

#### Definitions of Applicable Terms

##### Principals of a State Contractor that is a Business Entity

The following are subject to the prohibition on making and soliciting certain campaign contributions:

1. Members of the Board of Directors
2. Individuals owning 5% or more of the business
3. President, Treasurer, Executive and Senior Vice Presidents
4. Employees that have managerial or discretionary responsibilities to negotiate the state contract. See FAQ.
5. Spouses and dependent children of all of the above
6. Any political committee (PAC) registered in Connecticut to make contributions to candidates that has been established by or on behalf of any of the above individuals, or the state contractor or prospective state contractor.

A Business entity includes any corporation, partnership, cooperative, joint venture, trust, or any association of any kind that is engaged in the operation of a business or profit making activity. See Section 9-333a(7), General Statutes.

**Principals of a State Contractor that is not a Business Entity** (Note: This would include a Non Profit Organization or a sole proprietorship or professional service corporation owned by a single individual.)

The following are subject to the prohibition on making and soliciting certain campaign contributions:

1. The chief executive officer
2. Employees that have managerial or discretionary responsibilities to negotiate the state contract. See FAQ.
3. Spouses and dependent children of all of the above
4. Any political committee (PAC) registered in Connecticut to make contributions to candidates that has been established by or on behalf of any of the above individuals, or the state contractor or prospective state contractor.

Category of Principal	Designation
Owner/Shareholder/LLC member	O
Director	B**
President	P
Chief Executive Officer	CEP
Treasurer	T
Exec./Senior Vice President	V
*Employee	E
Spouse of Principal	S
**Dependent Children of Principal	C

\*"Employees that have managerial or discretionary responsibilities" generally refers to higher level personnel who have participate substantially (or would be responsible to do so) in the negotiation of the state contract.

\*\***Dependent Child** – Under the Internal Revenue Service (IRS) Code, a qualifying child fro whom a dependency exemption has been claimed by a principal on the last federal income tax form filed with the IRS

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

**SECTION 9  
BACKGROUND QUESTIONNAIRE**



**BIDDER'S/PROPOSER'S BACKGROUND  
QUESTIONNAIRE**

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

	Yes	No
<p>1. Has the Bidder/Proposer or any of its principals, owners, officers, partners, directors or stockholders holding more than 50% of the stock of the Bidder/Proposer ever been the subject of a <b>criminal</b> investigation?</p> <p><i>If you answered "Yes" to Question 1, proceed to Question 1A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.</i></p> <p><i>If you answered "No" to Question 1, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>1A. Has any indictment arisen out of any such investigation?</p> <p><i>If you answered "Yes" to Question 1A, proceed to Question 2 and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.</i></p> <p><i>If you answered "No" to Question 1A, proceed to Question 2.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>2. Has the Bidder/Proposer or any of its principals, owners, officers, partners, directors or stockholders holding more than 50% of the stock of the Bidder/Proposer ever been the subject of a <b>civil</b> investigation?</p> <p><i>If you answered "Yes" to Question 2, proceed to Question 3 and, on a separate sheet of paper, state the following: the court or other forum in which the investigation took or is taking place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; and the status of the investigation.</i></p> <p><i>If you answered "No" to Question 2, proceed to Question 3.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3. Has any entity (e.g., corporation, partnership, etc.) in which a principal, owner, officer, partner, director or stockholder of the Bidder/Proposer has an ownership interest in excess of 50% in such entity ever been the subject of a <b>criminal</b> investigation?</p> <p><i>If you answered "Yes" to Question 3, proceed to Question 3A and, on a separate sheet of paper, state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; and the identity of the person or entity involved.</i></p> <p><i>If you answered "No" to Question 3, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>3A. Has any indictment arisen out of any such investigation?</p> <p><i>If you answered "Yes" to Question 3A, proceed to Question 4 and, on a separate sheet of paper, state the following: the name of the person or entity indicted; and the status of any such indictment.</i></p> <p><i>If you answered "No" to question 3A, proceed to Question 4.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>4. Has any entity (e.g., corporation, partnership, etc.) in which a principal, owner, officer, partner, director or stockholder of the Bidder/Proposer has an ownership interest in excess of 50% in such entity ever been the subject of a <b>civil</b> investigation?</p> <p><i>If you answered "Yes" to Question 4, on a separate sheet of paper state the following: the court in which the investigation is taking or took place; the approximate date the investigation commenced and, if applicable, concluded; the subject matter of the investigation; the identity of the person or entity involved; and the status of the investigation.</i></p>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
5. Has the Bidder/Proposer or any of its principals, owners, officers, partners, directors or stockholders holding more than 50% of the stock of the Bidder/Proposer ever been debarred from bidding on, or otherwise applying for, any contract with the State of Connecticut or any other governmental authority? <i>If you answered "Yes" to Question 5, on a separate sheet of paper please explain.</i>	<input type="checkbox"/>	<input type="checkbox"/>

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 Bidder/Proposer herein, that he/she has provided answers to the foregoing questions on the Bidder's/ Proposer's background, and, under the penalty of perjury, certifies that each and every answer is true.

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 200\_\_\_\_\_

\_\_\_\_\_  
 Notary Public/Commissioner of the Superior Court

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

**SECTION 10  
NOTICE OF AWARD**

## NOTICE OF AWARD

TO:

PROJECT(S): General

CONTRACT NUMBER: \_\_\_\_\_

CONTRACT FOR: Consulting, Engineering And Land Surveying Services

The Connecticut Resources Recovery Authority ("CRRA") has considered the Proposal submitted by you dated [Date of the Proposal] in response to CRRA's Notice To Firms – Request For Qualifications for the above-referenced Services, which Services are more particularly described in the Consulting, Engineering And Land Surveying Services Agreement (the "Services").

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

- (a) [CRRA will list each Category of Services for which the proposer has been selected].

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

- (a) Execute the required number of the attached counterparts of the non-negotiable Agreement;
- (b) Deliver to CRRA such executed counterparts and all other attached Contract Documents; and
- (c) 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 (c) 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 \_\_\_\_\_, 2007.

Connecticut Resources Recovery Authority

By: \_\_\_\_\_

Title:  
Duly Authorized

**ACCEPTANCE OF NOTICE**

Receipt of this NOTICE OF AWARD is hereby acknowledged this \_\_\_\_\_ day of \_\_\_\_\_, 2007.

By: \_\_\_\_\_ (Signature)

\_\_\_\_\_ (Typed/Printed Name)

Title: \_\_\_\_\_  
Duly Authorized



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

**SECTION 11**

**CONSULTING, ENGINEERING AND LAND  
SURVEYING SERVICES AGREEMENT**

# CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES AGREEMENT

This **CONSULTING, ENGINEERING AND LAND SURVEYING SERVICES AGREEMENT** (the “Agreement”) is made and entered into as of this 1<sup>st</sup> day of July, 2007 (the “Effective Date”) by and between the **CONNECTICUT RESOURCES RECOVERY AUTHORITY**, a body politic and corporate, constituting a public instrumentality and political subdivision of the State of Connecticut, having its principal offices at 100 Constitution Plaza, 6<sup>th</sup> Floor, Hartford, Connecticut 06103 (“CRRA”) and [NAME OF FIRM], a [TYPE OF ENTITY], having a principal place of business at [ADDRESS OF FIRM] (“Consultant”).

## CONTENTS

PRELIMINARY STATEMENT .....	2
1. DEFINITIONS, CONSTRUCTION AND INTERPRETATION.....	3
1.1 Definitions .....	3
1.2 Construction And Interpretation .....	3
2. SCOPE OF WORK .....	4
2.1 Independent Consulting, Engineering And Land Surveying Services.....	4
2.2 Direction of Services .....	4
2.3 Performance And Completion Of Services .....	4
2.4 Lobbying And Paying Finder’s Fees.....	5
2.5 Access .....	5
2.6 Authorized Representative Of CRRA .....	5
2.7 Specific Services Request For Services.....	5
2.8 Progress Reports .....	6
2.9 Confidential Work Product.....	6
2.10 Restrictions On Parties .....	7
3. COMPENSATION AND PAYMENT .....	7
3.1 Compensation Schedule.....	7
3.2 Bill Format.....	7
3.3 Payment Procedure .....	8
3.4 Accounting Obligations .....	9
3.5 Withholding Taxes And Other Payments .....	9
3.6 Sales And Use Tax Exemption .....	10
3.7 Audit .....	10
4. TERM OF AGREEMENT .....	10
4.1 Term.....	10
4.2 Time Is Of The Essence.....	11
4.3 Termination.....	11

4.4	Records And Documents .....	11
5.	INDEMNIFICATION .....	12
5.1	Consultant's Indemnity.....	12
6.	INSURANCE.....	12
6.1	Required Insurance .....	12
6.2	Certificates.....	13
6.3	Specific Requirements .....	13
6.4	Issuing Companies.....	14
6.5	Consultant's Sub-consultants.....	14
6.6	Umbrella Insurance Liability Coverage.....	14
6.7	No Limitation On Damages.....	14
6.8	No Liability Incurred .....	14
7.	MISCELLANEOUS .....	14
7.1	Non-Discrimination .....	14
7.2	Campaign Contribution Restrictions .....	15
7.3	Entire Agreement.....	20
7.4	Governing Law .....	20
7.5	Assignment .....	20
7.6	No Waiver.....	20
7.7	Modification .....	21
7.8	Notices .....	21
7.9	Benefit and Burden .....	21
7.10	Severability.....	22
7.11	Small Contractor Application.....	22
7.12	Whistleblower Protection .....	22
7.13	State of Connecticut Audit Rights.....	22
7.14	Counterparts.....	23

**PRELIMINARY STATEMENT**

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

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

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

## 1. DEFINITIONS, CONSTRUCTION AND INTERPRETATION

### 1.1 Definitions

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

- (a) **“Addenda”** means written or graphic documents issued prior to the proposal due date, which clarify, correct or change any or all of the Contract Documents.
- (b) **“Contract Documents”** means this Agreement (including all exhibits attached hereto), Notice To Firms – Request For Qualifications, Instructions To Proposers, Addenda, Proposer’s Proposal (including all documentation accompanying such proposal, all other documentation submitted in connection with such proposal, and all post-proposal documentation submitted prior to the Notice Of Award), Notice Of Award, and any written amendments to any of the Contract Documents.
- (c) **“Effective Date”** means the date set forth above in this Agreement.
- (d) **“Laws And Regulations”** means any and all applicable current or future laws, rules, regulations, ordinances, codes, orders and permits of any and all federal, state and local governmental and quasi-governmental bodies, agencies, authorities and courts having jurisdiction.
- (e) **“Notice Of Award”** means written notification from CRRA to the apparent successful proposer(s) which 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.

### 1.2 Construction And Interpretation

For purposes of this Agreement:

- (a) Capitalized terms used herein shall have the meanings set forth herein;
- (b) Whenever nouns or pronouns are used in this Agreement, the singular shall mean the plural, the plural shall mean the singular, and any gender shall mean all genders or any other gender, as the context may require;
- (c) Words that have well-known technical or trade meanings are used herein in accordance with such recognized meanings unless otherwise specifically provided;
- (d) All accounting terms not otherwise defined herein have the meanings assigned to them in accordance with “generally accepted accounting principles,” and the term “generally accepted accounting principles” with respect to any computation

required or permitted hereunder shall mean such accounting principles that are generally accepted as of the Effective Date of this Agreement;

- (e) The words “herein,” “hereof” and “hereunder” and words of similar import refer to this Agreement as a whole and not to any particular Section or Subsection;
- (f) Reference to any particular party shall include that party’s employees and the authorized agents of that party;
- (g) All references to agreements are references to the agreements as the provisions thereof that may be amended, modified or waived from time to time; and,
- (h) The captions contained in this Agreement have been inserted for convenience only and shall not affect or be effective to interpret, change or restrict the terms of provisions of this Agreement.

## **2. SCOPE OF WORK**

### **2.1 Independent Consulting, Engineering And Land Surveying Services**

CRRA retains Consultant to render certain independent consulting, engineering and land surveying services to CRRA as detailed in **Exhibit A** attached hereto and made a part hereof (collectively, the “Services”) and as identified as the following categories:

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

### **2.2 Direction of Services**

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

### **2.3 Performance And Completion Of Services**

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

- (a) Any and all instructions, guidance and directions provided by CRRA to Consultant;
- (b) The Contract Documents;
- (c) Sound consulting, engineering and land surveying practices;
- (d) The highest prevailing applicable professional and industry standards;
- (e) All Laws And Regulations; and

- (f) Any Request (as hereinafter defined) pursuant to which such Services are rendered.

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

## **2.4 Lobbying And Paying Finder's Fees**

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

## **2.5 Access**

In the event that Consultant requires access to any Facility or Property in order to perform any of the Services hereunder, CRRA shall grant to Consultant such access, provided that:

- (a) Consultant shall not interfere with any other operations or activities being conducted at such Facility or on such Property by either CRRA or any other person or entity;
- (b) Consultant directly coordinates with an Authorized Representative of CRRA (as hereinafter defined) on such access; and
- (c) Consultant is in compliance with all of the terms and conditions of this Agreement.

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

## **2.6 Authorized Representative Of CRRA**

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

## **2.7 Specific Services Request For Services**

At its discretion, CRRA, through an Authorized Representative, may require that prior to undertaking work on a specific task, Consultant and an Authorized Representative mutually agree in writing upon a detailed Scope of Services required for such task, together with an estimate of the time, cost, and expenses for such Services. In such cases, CRRA will request performance of such Services by means of a written request in accordance with the format of

**Exhibit B** attached hereto and made a part hereof (a "Request"). Accordingly, upon receipt and acceptance of a written Request, Consultant will perform such Services described in such Request in accordance with the terms of this Agreement and such Request. If, during Consultant's performance of such Services, there is a change in Consultant's estimated time, cost or expenses for such Services, Consultant will promptly notify CRRA in writing of such change and shall not incur any costs or expenses exceeding those specified in the Request without prior written authorization from an Authorized Representative. CRRA shall not pay for any Services rendered or expenses incurred by Consultant in excess of those included in such Request unless specifically authorized in advance and in writing by an Authorized Representative.

## **2.8 Progress Reports**

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

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

## **2.9 Confidential Work Product**

Consultant shall not use, publish, distribute, sell or divulge any information obtained from CRRA by virtue of this Agreement for its own purposes or for the benefit of any person, firm, corporation or other entity without the prior written consent of CRRA. Any report or other work product prepared by Consultant while performing Services under this Agreement shall be owned solely and exclusively by CRRA and cannot be used by Consultant for any purpose beyond the scope of this Agreement without the prior written consent of CRRA. Any material designated by CRRA in accordance with applicable law as confidential shall not be disclosed to any third parties without the prior written consent of CRRA. However, Consultant

acknowledges that CRRA is subject to the Connecticut Freedom of Information Act and CRRA must disclose certain documents in accordance with said statutes.

## **2.10 Restrictions On Parties**

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

## **3. COMPENSATION AND PAYMENT**

### **3.1 Compensation Schedule**

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

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

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

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

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

### **3.2 Bill Format**

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



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

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

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

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

### **3.3 Payment Procedure**

If CRRA determines, in its sole discretion, that

- (a) The Services for which Consultant is requesting payment have been properly performed and completed in conformance with the Standards,
- (b) Consultant is not in default hereunder,
- (c) CRRA does not dispute the amount of the payment requested, and
- (d) The bill contains all of the information required hereunder,

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

If, however,

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

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

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

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

### **3.4 Accounting Obligations**

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

### **3.5 Withholding Taxes And Other Payments**

No FICA (social security) payroll tax, state or federal income tax, federal unemployment tax or insurance payments, state disability tax or insurance payments or state unemployment tax or insurance payments shall be paid or deposited by CRRA with respect to Consultant, nor be withheld from payment to Consultant by CRRA. No workers' compensation insurance has been or will be obtained by CRRA on account of the Services to be performed hereunder by Consultant, or any of Consultant's employees or sub-consultants. Consultant shall be responsible for paying or providing for all of the taxes, insurance and other payments described or similar to those described in this Section 3.5 and Consultant hereby agrees to indemnify CRRA and hold CRRA harmless against any and all such taxes, insurance or payments, or similar costs which CRRA may be required to pay in the event that Consultant's status hereunder is determined to be other than that of an independent Consultant.

### **3.6 Sales And Use Tax Exemption**

Consultant agrees that, pursuant to *Connecticut General Statutes* Section 22a-270 (as the same may be amended or superceded from time to time), CRRA is exempt from all State of Connecticut taxes and assessments. Without limiting the generality of the preceding sentence, Consultant also agrees that, pursuant to *Connecticut General Statutes* Section 12-412(92) (as the same may be amended or superceded from time to time), “[t]he sales and use of any services or tangible personal property to be incorporated into or used or otherwise consumed in the operation of any project of [CRRA] . . . whether such purchases are made directly by [CRRA] or are reimbursed by [CRRA] to the lessee or operator of such project” is not subject to Connecticut Sales and Use Taxes. Accordingly, Consultant shall not charge CRRA any State of Connecticut taxes or assessments at any time in connection with Consultant’s performance of this Agreement, nor shall Consultant include any State of Connecticut taxes or assessments in any rates, costs, prices or other charges to CRRA hereunder. The obligations of Consultant contained in the preceding sentence are absolute and shall apply notwithstanding any payment by Consultant of any State of Connecticut taxes or assessments in connection with its performance of this Agreement. Consultant 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 RFB or other submittal or proposal to CRRA in connection with this Agreement.

### **3.7 Audit**

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

For an audit, Consultant firm shall provide the following:

- (a) Access to files, records, bills in electronic forms, electronic daily billing reports and summaries;
- (b) Each engineer’s/employee’s original bills and time slips for the services; and
- (c) A list of hourly rates for each engineer/employee handling the matter.

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

## **4. TERM OF AGREEMENT**

### **4.1 Term**

The term of this Agreement shall commence upon the Effective Date and shall terminate, unless otherwise terminated in accordance with the terms hereof, on June 30, 2010.

## **4.2 Time Is Of The Essence**

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

## **4.3 Termination**

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

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

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

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

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

## **4.4 Records And Documents**

Consultant shall retain and maintain accurate records and documents relating to the performance of Services under this Agreement for a minimum of three (3) years after final

payment by CRRA and shall make them available for inspection and audit by CRRA. Consultant's obligations under this Section 4.4 shall survive the termination or expiration of this Agreement.

## **5. INDEMNIFICATION**

### **5.1 Consultant's Indemnity**

Consultant shall at all times protect, defend, indemnify and hold harmless CRRA and its board of directors, officers, agents and employees from and against any all liabilities, actions, claims, damages losses, judgments, workers' compensation payments, costs and expenses (including but not limited to attorneys' fees) arising out of injuries to the person (including death), damages to property or other damages alleged to have been sustained by: (a) CRRA or any of its directors, officers, agents or employees, or (b) Consultant or any of its directors, officers, employees, agents or sub-consultants, or (c) any other person, to the extent any such injuries, damages or damages are caused or alleged to have been caused in whole or in part by the acts, omissions or negligence of Consultant or any of its directors, officers, employees, agents or sub-consultants. Consultant further undertakes to reimburse CRRA for damages to property of CRRA caused by Consultant or any of its directors, officers, employees, agents or sub-consultants. The existence of insurance shall in no way limit the scope of this indemnification.

Consultant's obligations under this Section 5.1 shall survive the termination or expiration of this Agreement.

## **6. INSURANCE**

### **6.1 Required Insurance**

Prior to execution of this Agreement, Consultant shall procure and maintain, at its own cost and expense, throughout the term of this Agreement and any extension thereof, the following insurance, including any required endorsements thereto and amendments thereof:

- (a) Commercial General Liability insurance alone or in combination with Commercial Umbrella insurance with a limit of Five Hundred Thousand Dollars (\$500,000.00) each occurrence covering liability arising from premises, operations, independent consultants, products-completed operations, personal injury and advertising injury, and liability assumed under an insurance contract (including the tort liability of another assumed in a business contract);
- (b) Automobile Liability insurance alone or in combination with Commercial Umbrella insurance covering any automobile with a limit of not less than Five Hundred Thousand Dollars (\$500,000.00);
- (c) Workers' Compensation insurance with statutory limits and Employers' Liability insurance with the following limits:

One Hundred Thousand Dollars (\$100,000.00) each Accident;  
One Hundred Thousand Dollars (\$100,000.00) each Employee; and  
Five Hundred Thousand Dollars (\$500,000.00) Policy Limit;

- (d) Professional liability insurance with a limit of not less than Five Hundred Thousand Dollars (\$500,000.00).

Prior to execution of a Specific Request For Services pursuant to Section 2.7 of this Agreement, CRRA may elect to increase the dollar amounts of the minimum coverage limits of some or all of the insurance required based on the specific scope of services outlined in the Request For Services. In such event, Consultant shall comply with the Specific Request For Services requirements.

## **6.2 Certificates**

Consultant shall submit to CRRA a certificate or certificates for each required insurance referenced in Section 6.1 above and in any Specific Services Request For Services certifying that such insurance is in full force and effect and setting forth the information required by Section 6.3 below. Additionally, Consultant shall furnish to CRRA within thirty (30) days before the expiration date of the coverage of each required insurance set forth in Section 6.1 above and said Specific Services Request For Services, a certificate or certificates containing the information required by Section 6.3 below and certifying that such insurance has been renewed and remains in full force and effect.

## **6.3 Specific Requirements**

All policies for each insurance required hereunder shall:

- (a) Name CRRA as an additional insured (this requirement shall not apply to workers' compensation insurance, employers' liability insurance or professional liability insurance);
- (b) Include a standard severability of interest clause;
- (c) Provide for not less than thirty (30) days' prior written notice to CRRA by registered or certified mail of any cancellation, restrictive amendment, non-renewal or change in coverage;
- (d) Contain a waiver of subrogation holding CRRA free and harmless from all subrogation rights of the insurer; and
- (e) Provide that such required insurance hereunder is the primary insurance and that any other similar insurance that CRRA may have shall be deemed in excess of such primary insurance.

#### **6.4 Issuing Companies**

All policies for each insurance required hereunder shall be issued by insurance companies that are either licensed by the State of Connecticut and have a Best's Key Rating Guide of A- VII or better, or otherwise deemed acceptable by CRRA in its sole discretion.

#### **6.5 Consultant's Sub-consultants**

Consultant shall either have its sub-consultants covered under the insurance required hereunder, or require such sub-consultants to procure and maintain the insurance that Consultant is required to procure and maintain under this Agreement.

#### **6.6 Umbrella Insurance Liability Coverage**

Consultant may submit to CRRA documentation evidencing the existence of umbrella liability insurance coverage in order to satisfy the limits of coverage required hereunder for commercial general liability insurance, automobile liability insurance and employers' liability insurance.

#### **6.7 No Limitation On Damages**

No provision of this Article 6, or any Request For Services that may contain additional insurance requirements, shall be construed or deemed to limit Consultant's obligations under this Agreement to pay damages or other costs and expenses.

#### **6.8 No Liability Incurred**

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**

Consultant agrees to the following:

- (a) Consultant agrees and warrants that in the performance of the Work for CRRA Consultant will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, including civil union status, national origin, ancestry, sex, sexual orientation,

mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by Consultant 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. Consultant 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, including civil union status, national origin, ancestry, sex, sexual orientation, mental retardation, or physical disability, including, but not limited to, blindness, unless it is shown by Consultant that such disability prevents performance of the Work involved;

- (b) Consultant agrees, in all solicitations or advertisements for employees placed by or on behalf of Consultant, 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) Consultant agrees to provide each labor union or representative of workers with which Consultant has a collective bargaining agreement or other contract or understanding and each vendor with which Consultant has a contract or understanding, a notice to be provided by the Commission, advising the labor union, workers’ representative and vendor of Consultant’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) Consultant 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) Consultant 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 Consultant 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, Consultant agrees and warrants that it will make good faith efforts to employ minority business enterprises as sub-consultants and suppliers of materials in such public works project.

## **7.2 Campaign Contribution Restrictions**

This Section 7.2 is included here pursuant to *Connecticut General Statutes* §9-333n and, without limiting its applicability, is made applicable to State Contracts, bid solicitations, request for proposals and prequalification certificates as the context requires. This Section 7.2, without limiting its applicability, is also made applicable to State Agencies, Quasi-Public



Agencies, the General Assembly, State Contractors, Prospective State Contractors and the holders of valid prequalification certificates, as the context requires.

(a) For purposes of this Section 7.2 only:

- (1) “Quasi-Public Agency” means the Connecticut Development Authority, Connecticut Innovations, Incorporated, Connecticut Health and Educational Facilities Authority, Connecticut Higher Education Supplemental Loan Authority, Connecticut Housing Finance Authority, Connecticut Housing Authority, Connecticut Resources Recovery Authority, Capital City Economic Development Authority, Connecticut Lottery Corporation, or as this definition may otherwise be modified by Title 1, Chapter 12 of the *Connecticut General Statutes* concerning Quasi-Public agencies.
- (2) “State Agency” means any office, department, board, council, commission, institution or other agency in the executive, legislative or judicial branch of State government, or as this definition may otherwise be modified by Title 9, Chapter 150 of the *Connecticut General Statutes* concerning campaign financing.
- (3) “State Contract” means an agreement or contract with the State or any State Agency or any Quasi-Public Agency, 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 fiscal year, for (A) the rendition of personal services, (B) the furnishing of any material, supplies or equipment, (C) the construction, alteration or repair of any public building or public work, (D) the acquisition, sale or lease of any land or building, (E) a licensing arrangement, or (F) a grant, loan or loan guarantee, or as this definition may otherwise be modified by Title 9, Chapter 150 of the *Connecticut General Statutes* concerning campaign financing.
- (4) “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 the termination of said contract. “State contractor” does not include a municipality or any other political subdivision of the State or an employee in the executive, legislative or judicial 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, or as this definition may otherwise be modified by Title 9, Chapter 150 of the *Connecticut General Statutes* concerning campaign financing.
- (5) “Prospective State Contractor” means a person, business entity or nonprofit organization that (A) submits a bid in response to a bid 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 State Contract has been entered into, or (B) holds a valid prequalification certificate

issued by the Commissioner of Administrative Services under Section 4a-100 of the *Connecticut General Statutes*. "Prospective State Contractor" does not include a municipality or any other political subdivision of the State or an employee in the executive, legislative or judicial 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. Title 9, Chapter 150 of the *Connecticut General Statutes* concerning campaign financing may modify this definition, which modification shall control.

- (6) "Principal of a State Contractor or Prospective State Contractor" (collectively referred to in this Section 7.2 as "Principal") means (A) an individual who is a member of the board of directors of, or has an ownership interest in, a State Contractor or Prospective State Contractor, which is a business entity, except for an individual who (i) owns less than five per cent of the shares of any such State Contractor or Prospective State Contractor that is a publicly traded corporation, or (ii) is a member of the board of directors of a nonprofit organization qualified under Section 501 (c)(3) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, (B) an individual who is employed by a State Contractor or Prospective State Contractor, which is a business entity, as president, treasurer or executive or senior vice president, (C) an individual who is chief executive officer of a State Contractor or Prospective State Contractor, which is not a business entity, (D) an employee of any State Contractor, or Prospective State Contractor who has managerial or discretionary responsibilities with respect to a State Contract, (E) the spouse or a dependent child of an individual described in this subparagraph, or (F) a political committee established by or on behalf of an individual described in this subparagraph, or as this definition may otherwise be modified by Title 9, Chapter 105 of the *Connecticut General Statutes* concerning campaign financing.
- (b) No State Contractor, Prospective State Contractor or Principal, with regard to a State Contract, bid solicitation or request for proposals with or from a State Agency in the executive branch or a Quasi-Public Agency, and no Principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (1) 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, (2) a political committee authorized to make contributions or expenditure to or for the benefit of such candidates, or (3) a party committee.
- (c) No State Contractor, Prospective State Contractor or Principal, with regard to a State Contract, bid solicitation or request for proposals with or from the General Assembly, and no Principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (1) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (2) a political committee authorized to make

contributions or expenditures to or for the benefit of such candidates, or (3) a party committee.

- (d) If a State Contractor or a Principal of a State Contractor makes or solicits a contribution prohibited under this Section 7.2, the contracting State Agency or Quasi-Public Agency may void the existing contract with said contractor, and no State Agency or Quasi-Public Agency shall award the State Contractor a State Contract or an extension or an amendment to a State Contract for one year after the election for which such contribution is made or solicited.
- (e) If a Prospective State Contractor or a Principal of a Prospective State Contractor makes or solicits a contribution prohibited under this Section 7.2, no State Agency or Quasi-Public Agency shall award the Prospective State Contractor the contract described in the bid solicitation or request for proposals, or any other State Contract for one year after the election for which such contribution is made or solicited.
- (f) The chief executive officer of each State Contractor and Prospective State Contractor, or if a State Contractor or Prospective State Contractor has no such officer, then the officer who duly possesses and exercise comparable powers and duties, shall certify, in the form of an affidavit executed subject to the penalties of false statement, that:
  - (1) Such officer has informed each individual described in subsection (a)(6) of this Section 7.2 with regard to said State Contractor or Prospective State Contractor concerning the provisions of subsection (b) or (c) of this Section 7.2, whichever is applicable, and this subsection (f),
  - (2) No such individual will make or solicit a contribution in violation of the provisions of subsection (b) or (c) of this Section 7.2, whichever is applicable, and this subsection (f), and
  - (3) If any such contribution is made or solicited, the State Contractor or Prospective State Contractor, as the context requires, shall not be awarded the contract described in the bid solicitation or request for proposals and shall not be awarded any other State Contract for one year after the election for which such contribution is made or solicited.

Such officer shall submit the affidavit to the contracting State Agency or Quasi-Public Agency prior to, in the case of a request for proposals, executing a negotiated contract or prior to, in the case of an invitation to bid, the award and acceptance of a contract. In the case of an application for prequalification to the Connecticut Department of Administrative Services ("DAS"), the application shall not be deemed to be complete until DAS receives the affidavit. The State Contractor or Prospective Contractor shall submit the affidavit on a form which the State Elections Enforcement Commission ("SEEC") prescribes.

- (g) The person executing the affidavit referenced in subsection (f) shall submit to the SEEC a list of Principals in accordance with the requirements set forth on a form that the SEEC shall have prescribed for this purpose. The complete list of Principals shall be submitted to the SEEC at the same time that the affidavit is submitted to the State Agency, Quasi-Public Agency or, in the case of a prequalification application, DAS. Notwithstanding any other provision in any applicable document or instrument, no party to the Contract, or a contract awarded pursuant to a non-competitive procurement, may begin performing in any way until the contracting State Agency or Quasi-Public Agency has received the affidavit referenced in subsection (f) and the SEEC has received the Principals list.
- (h) Notwithstanding any other provision in the Contract, invitation to bid, request for proposals and prequalification application:
- (1) The State Contractor and Prospective State Contractor shall report to the SEEC, on a form which the SEEC prescribes, any changes in Principals occurring from and after the date of the previous Principals list by submitting and delivering such form to the SEEC no later than the fifteenth day of each month following the month when a change in Principals occurs, or the next succeeding business day, whichever is later. If the Contractor or Prospective State Contractor fails to submit and deliver the appropriately completed form by its due date, then the SEEC shall notify the State Agency or Quasi-Public Agency and the Contractor of the failure in writing. The State Agency or Quasi-Public Agency shall then review all relevant information and determine whether such failure constitutes a breach of this Contract. If the State Agency or Quasi-Public Agency determines that a breach of this Contract has occurred, then the State Agency or Quasi-Public Agency shall deliver a notice of breach to the Contractor, affording the Contractor an opportunity to cure the breach within ten (10) days from the date that the Contractor receives the notice. The State Agency or Quasi-Public Agency may extend the right to cure period if, and continuing so long as, the State Agency or Quasi-Public Agency is satisfied that the Contractor is making a good faith effort to cure the breach, but the nature of the breach is such that it cannot be cured within the right to cure period. The SEEC may, if it deems it to be appropriate, send to the Contractor electronic reminders of the Contractor's obligation to report changes in Principals. The undertaking of this reminder is permissive and shall not be construed to be a condition precedent to the Contractor's obligation to submit and deliver the form timely.
  - (2) If the State Agency or Quasi-Public Agency determines that the Contractor has breached the Contract by failing to comply with the requirements of this Section 7.2 provision, then the State Agency or Quasi-Public Agency may, after expiration of the right to cure period, direct all appropriate State entities using the Contract to withhold any payment, in whole or in part, that may be due and owing to the Contractor under this Contract until such time as the Contractor submits and delivers an appropriately completed form to the SEEC.

- (3) If the Contractor fails to submit and deliver the Principals list form timely three times in any 12-month period, then the SEEC may recommend to the State Agency or Quasi-Public Agency that it take these failures into account for purposes of evaluating the Contractor's responsibility in future procurements. The SEEC may recommend that the State Agency or Quasi-Public Agency make a determination that the Contractor is not responsible.
- (4) The Contractor's failure to submit and deliver the Principals list form timely for the third time in any 12-month period shall, upon the SEEC's recommendation, entitle the State Agency or Quasi-Public Agency to Cancel the Contract. Accordingly, the third notice of breach to the Contractor from the State Agency or Quasi-Public Agency in any 12-month period may include an effective Contract Cancellation date, in which case no further action shall be required of any party to effect the Cancellation of the Contract as of the stated date. If the notice does not set forth an effective Contract Cancellation date, then the State Agency or Quasi-Public Agency may Cancel the Contract by giving the Contractor no less than twenty four (24) hours' prior written notice.
- (5) Noting the absence of the SEEC's signature on the Contract, the State Agency or Quasi-Public Agency represents that the SEEC has previously agreed in writing to assume the rights and responsibilities attaching to the SEEC and set forth in this Section 7.2. The State Agency or Quasi-Public Agency shall provide a copy of that document to the Contractor upon request.

### **7.3 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.

### **7.4 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.

### **7.5 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.

### **7.6 No Waiver**

Failure to enforce any provision of this Agreement or to require at any time performance of any provision hereof shall not be construed to be a waiver of such provision, or to affect the validity of this Agreement or the right of any party to enforce each and every provision in accordance with the terms hereof. No waiver of any provision of this Agreement shall affect

the right of CRRA or Consultant thereafter to enforce such provision or to exercise any right or remedy available to it in the event of any other default involving such provision or any other provision. Making payment or performing pursuant to this Agreement during the existence of a dispute shall not be deemed to be and shall not constitute a waiver of any claims or defenses of the party so paying or performing.

### 7.7 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.

### 7.8 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: Director of Environmental Affairs and Development

With a copy to:

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

(b) If to Consultant:

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

### 7.9 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.

## **7.10 Severability**

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

## **7.11 Small Contractor Application**

At the request of CRRA and if Consultant qualifies, Consultant shall apply with the State of Connecticut Department of Economic and Community Development, 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 32-9e of the *Connecticut General Statutes*.

## **7.12 Whistleblower Protection**

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

## **7.13 State of Connecticut Audit Rights**

The State of Connecticut (the "State") or its representatives shall have the right at reasonable hours to examine any books, records and other documents of Consultant or its sub-consultants pertaining to work in connection with the Mid-Connecticut Project, or the performance of the obligations of Consultant to the State under the contract and shall allow such representatives free access to any and all such books and records. The State will give the Consultant at least twenty-four (24) hours notice of such intended examination. At the State's request, the Consultant shall provide the State with hard copies of or magnetic disk or tape containing any data or information in the possession or control of the Consultant which pertains to the Agreement or the performance of the obligations of Consultant to the State under the contract. The Consultant shall incorporate this paragraph verbatim into any agreement it enters into with any sub-consultant providing services in connection with the Mid-Connecticut Project or the performance of the obligations of Consultant to the State under the contract. The Consultant shall retain and maintain accurate records and documents

relating to its performance of Services in connection with the Mid-Connecticut Project or the performance of the obligations of Consultant to the State under this Agreement for a minimum of three (3) years after the final obligation payment by CRRA and shall make them available for inspection and audit by the State.

#### **7.14 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.

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

#### CONNECTICUT RESOURCES RECOVERY AUTHORITY

By: \_\_\_\_\_  
Thomas D. Kirk  
Its President  
Duly Authorized

#### CONSULTANT

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



**EXHIBIT A**

**To**

**CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES AGREEMENT**

**SCOPE OF SERVICES**

# SCOPE OF SERVICES

The following are the Categories of Services.

## 1. General Engineering Services

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

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

## 2. Resource Recovery and Recycling Consulting and Engineering Services

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

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

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

### **3. Environmental Consulting and Engineering Services**

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

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

- (o) Provide expert testimony.

#### **4. Landfill Consulting and Engineering Services**

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

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

#### **5. Solid Waste Consulting Services**

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

- (a) Solid waste operations and waste systems management;
- (b) Solid waste collection systems;
- (c) Economic flow control;
- (d) Solid waste transportation systems, including rail and barge;
- (e) Solid waste management plans and feasibility studies;
- (f) Electrical generation, including boiler and turbine analysis;

- (g) Energy marketing;
- (h) Occupational health and safety;
- (i) Recycling marketing;
- (j) Recycling planning and implementation; and
- (k) Strategic planning/future options identification.

## **6. Land Surveying**

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

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

- (a) Preparation of topographic surveying and mapping;
- (b) Preparation of boundary survey to A-2 accuracy, in accordance with the recommended standards adopted by the Connecticut Association of Land Surveyors;
- (c) Provide photogrammetry services and compute earthwork quantities to determine landfill capacities;
- (d) Provide construction stakeout and location surveys; and
- (e) Provide site plans and as-built surveys.

**EXHIBIT B**

**To**

**CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES AGREEMENT**

**REQUEST FOR SERVICES STANDARD FORMAT**

# REQUEST FOR SERVICES – STANDARD FORMAT

[Date]

[Name of Consultant]

[Address of Consultant]

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

Dear [Name of Consultant Contact]:

This Request will authorize you to provide the Services described below in accordance with the terms and conditions of the Consulting, Engineering And Land Surveying Services Agreement, dated July 1, 2007 between CRRA and you.

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

**1. Scope of Services**

[Provide Details]

**2. Estimated Time of Performance**

[Per Consultant]

**3. Estimated Costs**

[Per Consultant]

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

**4. [OPTIONAL] Required Insurance**

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

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

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

Sincerely,

CONNECTICUT RESOURCES RECOVERY AUTHORITY

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

Accepted and agreed to under the terms of the  
Consulting, Engineering And Land Surveying Services Agreement  
dated [Date of Agreement]

CONSULTANT [Firm Name]

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



**EXHIBIT C**

**To**

**CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES AGREEMENT**

**COMPENSATION SCHEDULE**

## **COMPENSATION SCHEDULE**

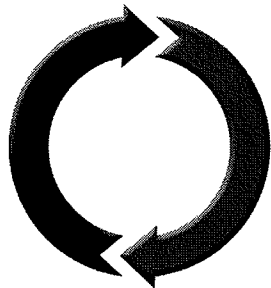
[The Compensation Schedule will be added by CRRA based on the successful Proposer's Payment Rate Schedule Form, as such Form may be modified as a result of negotiations between CRRA and the successful Proposer.]

**EXHIBIT D**

**To**

**CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES AGREEMENT**

**CRRA TRAVEL AND EXPENSE POLICY**



**CONNECTICUT  
RESOURCES  
RECOVERY  
AUTHORITY**

# **TRAVEL POLICY AND EXPENSE REPORTING**

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

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

# TABLE OF CONTENTS

1.	GENERAL STATEMENT.....	1
2.	APPROVALS.....	1
3.	TRANSPORTATION .....	1
	3.1 Rental Automobile.....	2
	3.2 Business Use Of Employee's Car.....	2
	3.3 Air Travel.....	3
	3.4 Taxis .....	3
	3.5 CRRA Owned Automobiles .....	4
4.	MEALS .....	4
5.	LODGING.....	4
6.	INCIDENTALS.....	4
7.	PERSONAL EXPENSES.....	4
8.	OTHER BUSINESS EXPENSES.....	4
9.	EXPENSE REPORTING .....	5
10.	RECEIPTS.....	5
11.	EXCEPTIONS .....	5

# 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

**EXHIBIT E**

**To**

**CONSULTING, ENGINEERING AND LAND SURVEYING  
SERVICES AGREEMENT**

**MONTHLY BILL FORMAT**

## MONTHLY BILL FORMAT

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

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

Personnel	Title	Work Performed	Hours	Rate	Amount
(Insert Name of Person who worked on Task)					
(Insert Name of Person who worked on Task)					
(Insert Name of Person who worked on Task)					
<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>Subtotal for Task (Insert Task Number)</b>	
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<b>TOTAL (Insert billing period for which bill is being submitted)</b>	
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