

## ATTACHMENT 10 - HISTORY OF COMPLIANCE

***Instructions for Attachment 10:** Complete the contents of this Attachment, appending any additional documentation as needed. For the hard copy, combine all supporting documents in order behind the checklist. For the electronic copy, append any additional documentation into one file labeled “Att 10\_History of Compliance\_[Proposer Name]\_Appended Documents” to be included in the Capacity & Operations folder.*

**Name of Proposer:** \_\_\_\_\_

### **Proposer’s Compliance History**

For each of the following questions, provide responses and append documentation where requested. For all questions, respond with information about the Proposer, its parent companies (if applicable), and about any of the Proposer’s current Subcontractors (including Designated Carters) **from February 19, 2018 to the present**. If the Proposer is a Joint Venture, then responses must be given for each of the parties that make up the Joint Venture. If the Proposer is a newly-formed company that shares all (or most) of its principals with a different entity, then it must provide responses for both the Proposer and for the different entity in question as well. For any records that the Proposer is unable to obtain and submit, the Department may consider a detailed written explanation of the missing records and further detailed explanation of why they were irretrievable. Where narratives are required, narratives should be a maximum of 5 typed pages and appended. Bulleted responses are acceptable.

The Proposer does **NOT** need to re-submit any information or documentation that was submitted in response to Part 1 of this RFP, if the information remains accurate. However, the Proposer must update any information submitted in its Part 1 response with any changes or updates since the date of the Part 1 submission.









PART 2 OF THE RFP - NYC COMMERCIAL WASTE ZONES

- 5) **Workers compensation:** List and provide all workers compensation cases involving the Proposer from February 19, 2018 to the present. For each item listed, provide the current status (e.g., dismissed, settlement, pending judgment, final judgment), if there was a final judgment, include remedies, if any, and explain whether the Proposer is currently under a compliance order. If you provided a response to this question, include a narrative detailing the steps taken to correct the violation, and any changes made on an individual or company-wide level to prevent future violations. If there were no violations, write “N/A.” If more space is needed than is provided, provide the response narrative and/or table as an appended document.

<b>Records of Workers' Compensation Cases:</b>









PART 2 OF THE RFP - NYC COMMERCIAL WASTE ZONES

- 11) **Environmental protection:** List and provide summons, tickets, court orders, complaints, notices of violations, judgements, and other record of findings or final dispositions regarding violations of environmental protection requirements, including but not limited to EPA, NYS DEC, NYS DOH, NYC DEP, DSNY, BIC, DOHMH, NYPD (or comparable local or state agencies), issued to the Proposer from February 19, 2018 to the present. For each item listed, provide the current status (e.g, dismissed, settlement, pending judgment, final judgment), if there was a final judgment, include remedies, if any, and explain whether the Proposer is currently under a compliance order. If you provided a response to this question, include a narrative detailing the steps taken to correct the violation, and any changes made on an individual or company-wide level to prevent future violations. If there were no violations, write “N/A.” If more space is needed than is provided, provide the response narrative and/or table as an appended document.

<b>Records of Environmental Protection Violations:</b>



## PART 2 OF THE RFP - NYC COMMERCIAL WASTE ZONES

### **Subcontractors/Designated Carters Compliance History**

For each of the questions listed in 1-12 above, respond with information and requested documentation about each of the proposed Subcontractors, including Designated Carters, that the Proposer intends to subcontract with to perform services under the Agreement. For each question, include information about all Subcontractors including Designated Carters **from February 19, 2018 to the present**. Where narratives are required, narratives should be a maximum of 5 typed pages and appended. Bulleted responses are acceptable.