



REQUEST FOR PROPOSALS

**PURCHASE AND/OR MARKETING
OF
PROCESSED PAPER RECYCLABLES**

**FOR
ONEIDA-HERKIMER SOLID WASTE
MANAGEMENT AUTHORITY**

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UTICA, NEW YORK 13502
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NOVEMBER 2024

ONEIDA-HERKIMER SOLID WASTE MANAGEMENT AUTHORITY

PURCHASE AND/OR MARKETING OF PROCESSED PAPER RECYCLABLES REQUEST FOR PROPOSALS (RFP)

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SECTION 1

RFP INFORMATION

1.1 General Information

1.1.1 Structure of Request for Proposal (RFP)

The Oneida-Herkimer Solid Waste Management Authority ("Authority") has developed the following RFP.

This RFP is a solicitation for proposals ("Proposals") from qualified entities ("Respondents") to enter into an agreement, as described below, to provide for the purchase and/or marketing of processed paper recyclables.

This document includes RFP Information, Specifications, Instructions to Respondents, RFP Response Requirements, Project Conditions and Requirements, and information regarding the Proposal Evaluation Process.

The general information provided in this section is for ease of understanding and shall in no way alter or supersede the specific detailed information provided in the body of this RFP.

1.1.2 Background

Herkimer County and Oneida County are located in central New York State between Syracuse and Albany, and occupy an area of approximately 2,650 square miles. The Counties are mostly rural in character with population clusters in the villages and cities. The population of the two-County region is approximately 288,650. The current population represents about 122,900 households.

The Authority was created in 1988 by the State Legislature at the request of the Counties and is a public benefit corporation organized and existing under New York Public Authorities Law, Article 8, Title 13-FF, known as the Oneida-Herkimer Solid Waste Management Authority Act (the "Act"). The Authority is authorized by statute to provide solid waste management services and to develop appropriate solid waste management facilities for the benefit of the citizens of the two Counties.

The Oneida-Herkimer Recycling Center opened in 1991. The Oneida-Herkimer system is regarded as one of the most aggressive and expansive recycling programs in the country. In addition to all the households in the region, over 400 businesses and industries use the facility directly.

Since opening, the Recycling Center has successfully served the two Counties and processed over 1 million tons of recyclables. The 42,750 square foot facility is located on the Leland Avenue Extension in Utica, N.Y. When the Recycling Center was built in 1991, the dual stream sorting and processing technology that was implemented was considered state-of-the-art. The Recycling Center effectively and consistently processed, without interruption, recyclable material for over 30 years.

In 2011, the Authority invested 9.5 million dollars to convert the dual stream processing system into a modern, single stream recycling processing system. The single stream system utilizes mechanical star screens, eddy currents, magnetic separators and optical sorting technology to sort recyclable material by size and type. This advanced technology is able to perform efficiently with high throughput.

Recyclable material is now delivered to the facility in a single stream. The Recycling Center separates these items and processes the material to a specification acceptable to the marketplace. The facility has the flexibility to produce market-specific products based on its extensive sorting capability. Quantities of processed material expected to be available for marketing are described in section 1.1.4. Table 1 illustrates quantities of paper commodities previously marketed by the Authority. This RFP only covers paper products generated by the Oneida-Herkimer Recycling Center.

The Authority does employ flow control over the residential curbside recyclables generated in the two-County region.

1.1.3 Procurement Process

The Authority desires to enter into an agreement for the provision of Processed Paper Recyclables Purchase and/or Marketing Service (Service) through a competitive selection process. A brief description of this procurement process is as follows:

- This RFP provides information on the scope of work the Respondent is to perform. It describes the procurement process and schedule, and the minimum business, financial, and technical criteria that the Authority will use to evaluate the Proposals submitted by Respondents. It sets forth the information the Respondents must provide, and forms which they must complete in order to submit a Proposal for the Service.
- There was a sixty (60) day comment period following the distribution of the Draft RFP. No written comments were received during this period.
- The Authority will schedule Recycling Center tours upon request. No pre-bid meeting is planned.
- Respondents are to submit their final Proposals to Joshua J. Olbrys, Executive Director, Oneida-Herkimer Solid Waste Management Authority, 1600 Genesee Street, Utica, New York 13502, no later than 1:00 P.M. on December 2, 2024.

- The Authority will review and evaluate the business, financial, and technical information in Proposals submitted in accordance with the criteria stated in this RFP. All required forms provided by the Respondents will also be evaluated. The Proposals, to the extent deemed pertinent by the Authority, may be evaluated in accordance with the additional factors specified in Section 120-w of the General Municipal Law.
- Based on the evaluations described above, the Authority will select qualified Respondents for negotiation. A recommendation of award will then be made to the Authority Board. Following the recommendation, the Authority Board will consider an award of an Agreement to the successful Respondent to the RFP (the "Contractor").
- The Authority must have an Agreement in place so that service can commence on January 1, 2025.
- The Authority reserves the right to require additional information and commitments as a result of the negotiations.
- In order to promote its established Affirmative Action Plan, the Authority invites proposals from minority and women's business enterprises (M/WBE). Firms that are not M/WBE's responding to this RFP are strongly encouraged to consider partnering or creating other similar joint venture arrangements with certified M/WBE's. The directory of New York State Certified M/WBE's can be viewed at <https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>. This Affirmative Action Policy regarding sealed bids and contracts applies to all persons without regard to race, color, creed, national origin, age, sex, or handicap. All qualified bidders will be afforded equal opportunities without discrimination. If you have any questions regarding the Authority's M/WBE policy, please contact Emily M. Albright at (315) 733-1224.

1.1.4 Quantities of Recyclable Materials

The quantities of material outlined below are based on Recycling Center Single Stream operational data for 2022-2024. The successful Respondent(s) will be required to market all the recyclable paper commodities generated during the contract period.

COMMODITY	2022	2023	January-June of 2024
Mixed Paper (MIX)	12,276	12,094	5,956
Old Corrugated Cardboard (OCC)	12,307	12,291	6,341
Sorted Office Paper (SOP)	21	22	19
Hardcover Books	21	No Market	No Market
Gable Top Cartons & Aseptic Packages	19	No Market	No Market
YEARLY TOTALS	24,644	24,407	12,316

Table 1.1 Paper Commodities Generated (tons).

From time to time the Authority enters into contracts with other municipalities outside the region for the processing of recyclables. Currently, the Authority processes about 11,000 tons per year of out-of-region single stream recyclables. Out-of-region paper recyclables are included in the data above. The Contractor will be expected to handle any out-of-region recyclable paper under the Agreement.

The Authority makes no guarantees as to volumes of paper recyclables.

1.1.5 General Scope of Work

The Oneida-Herkimer Solid Waste Management Authority (“Authority”) is soliciting proposals from qualified end users and brokerage firms for the purpose of entering into agreement(s) for the purchase and/or marketing of processed paper recyclables. The Oneida-Herkimer Recycling Center separates and processes mixed paper grades into marketable commodities.

In order to ensure that domestic and foreign mills, brokers, and qualified end users have ample opportunity to respond to the marketing needs of the Authority, the Authority has developed this RFP. This RFP solicits a **five (5)** year commitment for the purchase and/or marketing of recyclable paper products. More than one award by product may be made if in the best interest of the Authority. This RFP is based on Recycling Center operating experience and previous Authority marketing experience. Items of importance in the evaluation of proposals as reflected in this document are: ability to move material to market on schedule; warehouse storage contingency plans; price offered for recyclables; ability to deal with alternative market specifications; relationship to end users; flexibility to market new materials; financial surety; and floor prices.

Award of a contract is conditioned upon entering into a contract with and upon conditions acceptable to the Authority. Interested proposers are encouraged to visit the Recycling Center.

1.1.6 Term

The Contractor shall provide the Paper Recyclables Marketing Service for a term of **five (5)** years and commencing on January 1, 2025.

1.2 Procurement Criteria

The procurement process will follow New York State General Municipal Law, Section 120-w ("Section 120-w"). This process will also be consistent with the requirements of Section 2049-pp of the Public Authorities Law.

1.3 Selection Process

The Authority will evaluate Respondents' Proposals using business, financial and technical criteria. Those Respondents who meet the minimum business, financial and technical criteria will have their Proposals evaluated by the Authority. From the group of Respondents, the Authority will consider the selection of a Respondent(s) with whom to conduct negotiations. All Proposals will be evaluated based on completeness, conformance with Authority marketing strategy and on the information provided on the Proposal Forms. The Authority reserves the right to reject any or all submitted Proposals without liability to the Authority. The ability to move material to market on schedule, warehouse storage contingency plans, price offered for recyclables, ability to deal with alternative market specifications, relationship to end users, flexibility to market new materials, financial surety and floor prices will all be factors in evaluating and awarding a contract. A recommendation of award of an Agreement will be made to the Authority Board of Directors.

1.4 Project Schedule/Time for Performance

<u>Estimated Date</u>	<u>Event</u>
September 4, 2024	Released Draft RFP. Notice of issuance of Draft RFP published in applicable outlets. The Draft RFP was filed with the two County governments.
November 4, 2024	Deadline for comments on Draft RFP.
November 20, 2024	Issue Final RFP. Notice of issuance of Final RFP published in applicable outlets. The Final RFP, a set of the comments received and the responses shall be filed with the two Counties and in the municipal public library.
December 2, 2024	Responses (Proposals) to Final RFP due.
December 4, 2024	The Authority selects qualified Respondent(s) for negotiation.
December 5 - December 10, 2024	Separate meetings and interviews with each qualified Respondent on Agreement mark-up and modifications to the qualified Respondent(s) Proposal, if deemed necessary by the Authority.
December 11 - December 12, 2024	Negotiations with the qualified Respondent(s); Service Agreement revised.
December 16, 2024	Award by Authority Board.

The Authority reserves the right to modify the above schedule.

SECTION 2

COMMODITY DESCRIPTIONS

2.1 Paper Recyclables Descriptions

- a. ONP Newsprint – Includes newspaper, supplements, advertising/magazine selections, old telephone books, soft cover books, bulk business mail, mixed office paper, chipboard and boxboard.
- b. OCC Old Corrugated Cardboard – Includes clean standard corrugated boxes, pizza boxes and kraft paper.
- c. OCC/SRPN Hardpack – Includes a makeup of approximately (35-40%) OCC Old Corrugated Cardboard and (65-70%) Sorted Residential Papers & News.
- d. SOP Sorted Office Mix – Includes white and colored office paper, fax paper, computer paper, NCR paper, envelopes (with and without windows), index cards, blueprint paper, bulk business mail, manila file folders and shredded office paper.
- e. MP Mixed Paper – Includes all paper and paperboard of various qualities not limited to the type of fiber content.
- f. SRNP Sorted Residential Papers & News – Includes newspaper, supplements, advertising/magazine selections, magazines, old telephone books, soft cover books, bulk business mail and mixed office paper.
- g. Gable Top Cartons and Aseptic Packages – Includes paper milk and juice containers and aseptic packaged containers.
- h. Hardcover Books – (Packaged loose in 4 foot x 4 foot “Gaylord” boxes on pallets). Includes encyclopedias, law books and all other hardcover books.
- i. Miscellaneous Items – Examples: chipboard, boxboard and other recyclable paper products generated by industries and businesses. Although not a formal part of this RFP, the successful bidder will be expected to market miscellaneous paper items for the Authority. The successful bidder will also be required to market other merchantable paper recyclables if they become available.

- j. Packing – Unless otherwise agreed, material sold and purchased under this Agreement shall be produced in machine-compressed and wire bound bales weighing at a minimum between 1200 and 1800 pounds each. Bales will be bound with a minimum five (5) wires (11 gauge wire) per bale. Bale dimensions are approximately 2.5 feet x 3.5 feet x 5 feet. The Authority utilizes a Harris Centurion two ram baler to primarily bale corrugated cardboard and office paper. The Harris two ram baler uses five (5) high tensile galvanized 11 gauge wires to secure paper and cardboard. A Bollegraaf HBC-120 single ram baler is utilized to bale newsprint and paper. The Bollegraaf baler uses five (5) black annealed 11 gauge wires to secure the paper.
- k. Shipping Point – Loads shall be picked up Free on Board (FOB) at the Oneida-Herkimer Recycling Center, 80 Leland Ave. Extension, Utica, New York 13502.
- l. Method of Shipment – The Authority shall load highway trailers and export containers to legal capacity. The successful bidder shall provide the Authority shipment release numbers. One release number shall be assigned to each shipment. Billing weights will be based solely on Authority Scales.
- m. Storage/Warehousing – In the event of major scheduled outages at the bidders mill or during difficult marketing periods, the bidder shall provide storage or warehousing capability for baled material from the Recycling Center.

SECTION 3

INSTRUCTIONS TO RESPONDENTS

3.1 Submission Comments and Proposals

Written comments on the Draft RFP must have been received by Emily M. Albright, Director of Recycling, Oneida-Herkimer Solid Waste Management Authority, 1600 Genesee Street, Utica, NY 13502 no later than 1:00 P.M., November 4, 2024.

Final Proposals must be received by Joshua J. Olbrys, Executive Director, Oneida-Herkimer Solid Waste Management Authority, 1600 Genesee Street, Utica, NY 13502 no later than 1:00 P.M., December 2, 2024. All Proposals must be enclosed in a sealed envelope, plainly marked on the outside with the title of the project for which the Proposal is being submitted and the name of the Respondent. Respondents must forward five (5) complete proposal packages to the Authority.

All Proposals must be made upon the Proposal Forms included in this RFP and must be submitted complete, with all applicable, requested information, data and attachments, and are to be in accordance with the instructions herein. See Respondent Checklist, Appendix A. All blank spaces must be filled in, not applicable items must be marked N/A (not applicable). Proposals must be signed and acknowledged by the Respondent in accordance with the directions herein. The Authority reserves the right to accept or reject Proposals not in complete conformance with the requirements specified in this RFP.

3.2 Proposal Content

The elements identified in Appendix A, Respondent Checklist, must be submitted by all Respondents to this RFP.

The Respondent shall provide the appropriate information in accordance with the content and format requirements as stated herein.

All Proposals will be reviewed on a comparative basis. To the extent a Respondent withholds pertinent information which is provided by another Respondent, the non-disclosing Respondent accepts the risk of its non-disclosure during the review of its Proposal. Exceptions that are taken to the Agreement reflecting that the Respondent does not agree to the minimum technical requirements, minimum business requirements or the minimum financial requirements for this RFP will not be acceptable, unless the Authority determines, in its sole discretion, that adequate reasons exist for Respondent's exception to such requirements.

A discussion of the specific information to be provided in each of the sections follows.

3.2.1 Executive Summary

The Executive Summary shall provide an overview of the Proposal, summarizing the salient points presented in the business, financial and technical sections. Specifically, the following information shall be included in the Executive Summary:

- a. A brief description of the Respondent's Proposal.
- b. A summary of the Respondent's proposed plan to provide for purchase and/or marketing of processed paper recyclables.
- c. A discussion of the Respondent's project participants (organizational chart).
- d. Copies of all required forms (1.1 – 1.5).

3.2.2 Business and Financial Section

The business/financial section of the Proposal shall include the following information:

The Business Arrangement section of the Proposal including the completed Respondent Identification (Form 1.1) and Letter of Intent/Verification (Form 1.2).

On Form 1.1, the Respondent is to identify itself by name and type of organization, (ie., a corporation, a joint venture or other form of organization). Resumes of key personnel and Certificate of Good Standing must also be included.

The Letter of Intent/Verification (Form 1.2) must be completed, signed and acknowledged by the Respondent. If a signature is substituted for those requested, then written proof must be submitted that the signatory has corporate authority to make the representations in the Letter of Intent.

Respondents shall submit financial statements for the last two years of operation. In the event that the Respondent proposes a joint venture, then each organization comprising the joint venture must individually meet the above criteria. Such financial information will be kept confidential by the Authority. See Section 4.8 herein.

The Respondent will submit figures as outlined in the Materials Purchase Commitment (Form 1.3).

The Respondent will completely fill out the Credit Application (Form 1.5).

3.2.3 Technical Section

The technical section of the Proposal must include information on the Respondent's technical experience and qualifications specific to purchasing and/or marketing processed paper recyclables.

Respondent shall provide three (3) references for whom the Respondent has provided similar Services. See Form 1.4.

3.2.4 General

All Respondents shall indicate a time frame within which their Proposals shall remain valid, which shall be at least ninety (90) days after the submission of the response to this RFP.

Transportation costs are the responsibility of the bidder. Commodity pricing shall be based on FOB Oneida-Herkimer Recycling Center's dock in Utica, NY. All commodities, except for hard cover books and miscellaneous items, will be provided in baled form to the successful Respondent.

Proposals may be submitted on single items or any combination of items. If a combination is proposed, single item pricing must be provided for comparative purposes. Award of a contract may be for single items or any combination thereof. Awards may be made to more than one Respondent.

Payment for all recyclable material will be based on the Authority's scale tickets.

Respondents must be prepared to enter into a definitive **five (5)** year contract(s) with the Authority for items covered by their Proposal(s).

Respondents shall submit floor prices for all material submitted in their Proposals. These floor prices shall be guaranteed during the period of the contract. Any exception of any type shall be noted by the Respondent in his/her Proposal.

The Respondent may choose to employ escalators in relation to proposed price per commodity. If escalators are utilized include the basis for the price adjustment (index, trade journal, etc.). See Form 1.3.

SECTION 4

RFP RESPONSE REQUIREMENTS

4.1 Respondent Costs

The Authority accepts no liability for the costs and expenses incurred by Respondents during the preparation of Proposals and subsequent interviews. In addition, each Respondent who enters into negotiations shall participate in said negotiations and prepare the required materials and submittals at its own expense, and with the express understanding that the Respondent shall make no claims whatsoever for reimbursement from the Authority for the costs and expenses associated with the negotiation or response process.

4.2 Personal Investigation

Respondents shall satisfy themselves by personal investigation, and by such other means as they may deem necessary or desirable, as to the conditions affecting the proposed work and the costs thereof. No information derived from any part of this RFP, or from the Authority or its advisors shall relieve the contractor from any risk or from fulfilling all terms of the Agreement.

4.3 Authority Rights and Options

The Authority reserves and holds at its sole discretion the following rights and options:

- a. Reject any or all Proposals.
- b. Modify the terms herein.
- c. Issue subsequent RFP's.
- d. Prepare and issue such Amendments and/or Addenda to this RFP, prior to entering an Agreement with the Respondent, that may amend or cancel any portion or all work described herein. Amendments and/or Addenda will be sent to each prospective Respondent.
- e. Request clarification of Proposals including any additional technical and operating data.
- f. Permit only those Respondents who complete negotiations on terms acceptable to the Authority to submit final pricing and guarantees.

- g. Postpone the date for presentation and opening of Proposals.
- h. Enter into negotiations with one or more Respondent(s).
- i. Defer public announcement of bids and/or contractual terms until award of Agreement.

4.4 Addenda and Amendments

Any Addendum or Amendments issued by the Authority prior to the selection of a Contractor shall become a part of the RFP, and receipt of each Addendum or Amendment shall be acknowledged by the Respondent in the Executive Summary section of the Proposal.

4.5 Interpretations and Clarifications

No interpretation or clarification of the meaning of any part of this RFP or other contract document will be made orally to any Respondent. Prospective Respondents should submit their request for such interpretation in writing to Emily M. Albright, Director of Recycling, Oneida-Herkimer Solid Waste Management Authority, 1600 Genesee Street, Utica, New York 13502.

4.6 Correction of Errors

Any modification or corrections to the Proposals must be initialed by the person signing the Proposal. The Respondent further agrees that clerical errors may be corrected by the Authority.

4.7 Withdrawal of Response

In the event that a Respondent withdraws from the Authority's procurement process at any time prior to the projected date for completion of the process, the Authority reserves the right to select any of the remaining Respondents as a replacement to continue the selection process in accordance with this RFP.

4.8 Confidential Information

The New York State Freedom of Information Law, Public Officers Law, Article 6, Sections 84-90 mandates public access to government records. Proposals submitted in response to this RFP may contain technical, financial, or other data the public disclosure of which would cause substantial injury to the Respondent's competitive position or constitute a trade secret. Such data may be exempted from mandatory disclosure under the State Freedom of Information Law. To endeavor to protect such data from disclosure under the State Freedom of Information Law, the Respondent should specifically identify the pages of the Proposal that contain such information by properly marking the applicable pages and by inserting the following notice in the front of its Proposal:

NOTICE

The data on page(s) _____ of this proposal, identified by an asterisk (*) or marked along the margin with a vertical line, contain technical or financial information which are trade secrets and/or whose disclosure would cause substantial injury to the Respondent's competitive positions. The Respondent requests that such data be used only for the evaluation of the Proposal, but understands that such data may otherwise be disclosed to the extent that the Authority determines is necessary or proper for compliance with any law, order or decree of any court or agency of competent jurisdiction, or necessary or proper in the Authority's view to show compliance by the Authority with any law, including without limitation Section 120-w of the General Municipal Law of the State of New York, order or decree of any court or agency of competent jurisdiction.

The Authority assumes no responsibility for any disclosure or use of marked or unmarked data for any purpose. In the event properly marked data are requested pursuant to the State Freedom of Information Law, the Respondent will be advised of the request and may expeditiously submit to the Authority a detailed statement indicating the reasons it has for believing the information is exempt from disclosure under such Law. This statement will be used by the Authority in making its determination of whether or not disclosure is proper under such Law. The Respondent must bear all costs incurred in connection with any action or proceeding to compel disclosure of any properly marked data.

In the event (i) properly marked data are requested pursuant to any other law, order or decree of any court or agency having competent jurisdiction, or (ii) the Authority deems disclosure of properly marked data necessary to show compliance by the Authority with any law, order or decree of any court or agency having competent jurisdiction, then the Authority shall endeavor, where reasonably possible, to notify the Respondent of such disclosure. Under no circumstance shall such notification be a condition of any such disclosure or use. At no time and in no manner does the Authority assume any responsibility to the Respondent for any such disclosure or use of such data.

SECTION 5

PROJECT CONDITIONS AND REQUIREMENTS

5.1 Materials, Employees

The cost for services set forth in each Proposal shall be all inclusive including, but not limited to, all materials, and labor (including all insurance and payroll taxes) for the execution of all services specified in the RFP.

5.2 Employment Conditions

5.2.1 Non-Discrimination Clause

The Contractor will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, disability, ancestry, marital status or sex.

5.2.2 OSHA

The Service shall conform to all applicable portions of the Occupational Safety and Health Administration (OSHA) requirements including right to know provisions regarding the presence of dangerous or hazardous materials.

5.2.3 Safety

Contractor must comply with all Federal and State health and safety laws and regulations.

SECTION 6

PROPOSAL EVALUATION PROCESS

6.1 General

The evaluation and subsequent identification of the most qualified Respondents will be based upon business, financial and technical criteria as specified in this RFP. The Agreement will be awarded to the most responsive and responsible Respondent(s) demonstrating the requisite experience and providing acceptable levels of net revenue to the Authority. **Respondents to this RFP are required to complete Forms 1.1 through 1.5, as applicable, and include these forms, complete and unaltered in their Proposals. See Appendix A, Respondent Checklist, for all submittals.**

6.1.1 Evaluation of Minimum Qualifications

This evaluation will pertain to the identification of Proposals that meet the minimum qualifications acceptable to the Authority. Specifically, this evaluation will consider the following criteria:

- The requirements of New York General Municipal Law Section 120-w.
- The business, financial and technical viability of the Proposal given the specifications (See Section 2) and of guarantees offered.

Proposals which satisfy these qualifications will be considered as responsive Proposals that will be further evaluated in accordance with the criteria detailed herein.

6.1.2 Evaluation of Financial and Business Qualifications

For purposes of evaluation, the Authority will review Respondent's Financial Statements. (See Section 3.2.2) to determine in the Authority's sole opinion, if Respondent is financially able to meet the obligations of the Agreement.

6.1.3 Evaluation of Technical Qualifications

This evaluation will focus on Form 1.4.

6.1.4 Evaluation of Revenue Proposals

Evaluation of the Materials Purchase Commitment (Form 1.3).

6.2 Selection of Contractor

The Contractor will be selected based on comparative evaluations of the information submitted by the Respondents.

FORM 1.1
RESPONDENT IDENTIFICATION

1. Name of Organization: _____

2. Organization Address: _____
Street
City
Zip Code

3. Principal Place of Business: _____
Street City Zip Code

4. Telephone Number: _____

5. E-Mail Address:

6. Date and Location of Incorporation:

Date	Location
------	----------

7. For each of the Organization's Principal Officers and Directors:

	<u>Name</u>	<u>Title</u>	<u>Expiration of Term</u>
A.			
B.			
C.			
D.			

(use additional sheets as necessary)

8. If applicable, Stockholders who own 10% or more of its stock in any class:

<u>Name</u>	<u>Address</u>
A.	
B.	
C.	
D.	

(use additional sheets as necessary)

FORM 1.1 (Continued)
RESPONDENT IDENTIFICATION

9. Partners in a Partnership:

Name

Address

A. _____

B. _____

C. _____

D. _____

(use additional sheets as necessary)

10. If one or more of the stockholders in question #6, or partners set forth in question #7 is itself, a corporation or partnership, set forth those stockholders holding 10% or more of that corporation's stock or set forth the individual partners in that partnership.

Name

Address

A. _____

B. _____

C. _____

D. _____

(use additional sheets as necessary)

Note: Provide resumes of key personnel on separate sheets.
Provide Certificate of Good Standing.

FORM 1.1 (continued)
RESPONDENT IDENTIFICATION

To be completed if applicant is a Joint Venture:

1. Name of Firm: _____

2. Address of Firm: _____

3. Telephone Number: _____

4. E-Mail Address: _____

5. Principal Place of Business: _____

6. Date and Location Joint Venture Entered Into:

Date

Location

7. Limits of Liability of Joint Venture and Individual Partners:

8. For each of the members of the Joint Venture:

	<u>Member Firm Name</u>	<u>Address</u>	<u>Business Form</u>	<u>Name of Principals</u>	<u>% of J.V. Owned</u>
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____
4.	_____	_____	_____	_____	_____

(use additional sheets as necessary)

9. Individuals authorized to act for Joint Venture:

	<u>Name</u>	<u>Title</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____

(use additional sheets as necessary)

A copy of the Joint Venture Agreement is to be attached to this application.

Signature: _____

Title: _____

FORM 1.2 (Place on Letterhead of Respondent)
LETTER OF INTENT/VERIFICATION

To the Oneida-Herkimer Solid Waste Management Authority:

The undersigned, as Respondent, has submitted this Proposal responding to a Request for Proposals (RFP), distributed by the Oneida-Herkimer Solid Waste Management Authority, in accordance with the provisions contained in the RFP.

The Respondent affirms that the contents of this Proposal contain accurate, factual and complete information.

The Respondent attests that it presently has the overall ability and resources to meet or exceed all those requirements for the Purchase and/or Marketing of Processed Paper Recyclables set forth in the RFP.

No material changes in the financial condition of Respondent have occurred that would impair Respondent's ability to provide completion, performance and operating guarantees.

The Respondent agrees to participate in good faith in contract negotiations as described in the RFP.

FORM 1.2 (continued)
LETTER OF INTENT/VERIFICATION

The Respondent hereby declares that the only persons interested in this Proposal as principals are named herein and that no person other than herein mentioned has any interest in this Proposal or in the Agreement to be entered into; that this Proposal is made without connection with any other person, firm or parties making a Proposal; and the Proposal is made in good faith without collusion or fraud.

(Name of Respondent) possesses the requisite legal authority to enter into an Agreement and provide the Service outlined in the RFP.

The Respondent hereby declares that during performance of its obligations under the Agreement the Respondent will comply with all Federal, State, and local statutes laws, rules, regulations, ordinances and codes and all requirements of the Authority.

Acknowledgement is hereby made of the following addenda (identified by number) received since issuance of the Request for Proposals:

Respondent Company Name: _____

By: _____

Title: _____

FORM 1.3
MATERIALS PURCHASE COMMITMENT

Company Name: _____ Date: _____
 Address: _____ State: _____ Zip Code: _____
 Contact Person: _____ E-Mail Address: _____
 Telephone Number: _____ Company Website Address: _____

MATERIAL	QUALITY SPECIFICATIONS	PROPOSED PRICE PAID PER TON	MINIMUM FLOOR PRICE PAID PER TON OVER CONTRACT PERIOD (F.O.B. Oneida-Herkimer Recycling Center, Utica, NY; Baled Material)	PRICE ADJUSTMENT METHOD (Proposal for fixed prices or guaranteed base prices with an escalator should be described here along with the frequency of price adjustments)	BASIS OF PRICE AND ADJUSTMENT METHOD (Index, trade journal listing, revenue sharing net of operating costs for commingled materials, etc.)
ONP Newsprint (as packaged)					
OCC Old Corrugated Cardboard (as packaged)					
OCC/SRPN Hardpack (as packaged)					
MP Mixed Paper (as packaged)					
SOP Sorted Office Paper (as packaged)					
SRNP Sorted Residential Papers & News (as packaged)					
Gable Top Cartons & Aseptic Packages (as packaged)					
Hardcover Books (as packaged)					
Other Paper Material					

(use additional sheets as necessary)

FORM 1.4
TECHNICAL DATA

Experience

Describe below your work experience in the paper recyclables marketing business. Give specifics on years in business, plant(s) and status of major contract(s).

Source of Materials (i.e., municipal/private):

Amount of Material sold in 2022-2023, by type and tonnage:

Amount of Material received in 2022-2023, by type and tonnage:

Give three (3) references with names and contact phone numbers. Use additional sheets if necessary.

References:

	<u>Name</u>	<u>Company/Municipality</u>	<u>Telephone #</u>
1.	_____	_____	() _____
2.	_____	_____	() _____
3.	_____	_____	() _____

The Authority is always looking to reduce operating costs by minimizing sorting requirements at the Oneida-Herkimer Recycling Center. It is also working to increase recycling rates by adding new materials to the list of recyclables. Based on this information, please answer the following questions.

Describe your ability to market other paper recyclables that may be available through the Recycling Center. (Examples: bleach board, wet strength, rolled wrapping paper, etc.).

Describe your ability to market paper materials which do not conform to industry standards (ie. "as packaged" materials).

Describe your ability to warehouse processed material during periods of marketing and shipping problems.

Describe in your proposal any additional processing opportunities your firm may be able to offer to the Authority.

FORM 1.5
CREDIT APPLICATION

The following is the credit policy that will be in place for purchasing recyclables at Authority facilities.

1. The Authority will send the vendor a statement at the beginning of each month for the previous month's material.
2. The Authority must be in receipt of this money from the vendor by the 30th of the month following the month of purchasing recyclables.
3. If the Authority does not receive the money by the 30th (or next business day if it's a weekend or holiday), the vendor will be assessed an automatic penalty of 1%. This penalty will be added to the amount due from the vendor.
4. If the Authority does not receive all monies by the first week of the month following the month that a penalty is assessed, the vendor may be denied purchase of any Authority material.

Please complete all enclosed attachments.

1. Application for Credit Approval
2. Release of Credit Information Request
3. Guarantee of Payment of Vendor/Customers

OFFICE USE ON

A/C/Permit # _____

Approved _____

Credit Limit _____

Approved by: _____

**ONEIDA-HERKIMER SOLID WASTE MANAGEMENT AUTHORITY
1600 GENESEE STREET, UTICA, NY 13502 PHONE (315) 733-1224****APPLICATION FOR CREDIT APPROVAL**

Business Name	
Billing Address	
Principal Officer	
Date Business Started	Federal ID#
E-Mail Address	
Address	Telephone Number
	Fax Number
Contact Person	Requested Credit Limit \$
Financial Statement (please attach)	Current Hauler Application on File? <u> </u>yes <u> </u>no

ALL INFORMATION MUST BE COMPLETED

Bank Name		Reference (Credit/Other)
Street Address		Street Address
City/State/Zip		City/State/Zip
Fax Number		Fax Number
Telephone Number		Telephone Number
Contact Person		Contact Person
Checking #	Loan #	Account #

Reference (Credit/Other)	Reference (Credit/Other)
Street Address	Street Address
City/State/Zip	City/State/Zip
Fax Number	Fax Number
Telephone Number	Telephone Number
Contact Person	Contact Person
Account #	Account #

Terms and Conditions

All accounts billed are due 30 days from date of the bill. A 1% late fee will be due if current month payment is not received within 30 days of the date billed. Any continued failure to pay amounts billed may require payment be made on C.O.D. basis (i.e. revocation of credit) and possibly termination of access to Authority facilities.

Signature_____
Title_____
Date

The above applicant certifies the information provided herein to be correct and it is submitted for the purpose of obtaining credit. This application will be held in confidence.

RELEASE OF CREDIT INFORMATION

TO: _____

The undersigned hereby authorizes and directs you to release any and all financial information in your possession regarding my accounts, liens, transactions, lending history or any other information that may be useful in determining my credit worthiness to the Oneida-Herkimer Solid Waste Management Authority, 1600 Genesee Street, Utica, New York 13502.

I also consent, agree and authorize you to orally advise the Oneida-Herkimer Solid Waste Management Authority of any and all such information. I agree to pay any reasonable photocopying or other charges up to \$10.00.

Finally, I agree to hold you and the Oneida-Herkimer Solid Waste Management Authority harmless from any and all liability which may result from the transmission of any information provided hereunder. I am signing this release on behalf of the business entity for which, by my signature, I certify that I have the authority to sign.

I HAVE READ AND UNDERSTAND THE ABOVE.

Signature

Printed Name

Also signed on behalf of

Business Entity: _____

Date: _____

**GUARANTEE OF PAYMENT OF HAULERS/CUSTOMERS INDEBTEDNESS
TO THE ONEIDA-HERKIMER SOLID WASTE MANAGEMENT AUTHORITY**

In order to induce the Oneida-Herkimer Solid Waste Management Authority ("Authority") to extend credit to _____ ("Hauler/Customer"), the undersigned
Name of Hauler/Customer
corporation, company, business, partnership or individual ("Guarantor") unconditionally guarantees to the Authority that the Hauler/Customer will promptly and punctually pay or cause to be paid when due any indebtedness owed by Hauler/Customer to the Authority and, in default of such payment, the undersigned unconditionally promises and agrees to pay to the Authority, upon demand, all amounts which the Hauler/Customer shall owe the Authority whether such amounts now exist or shall hereafter arise, together with interest thereon and costs of collection, including reasonable attorneys fees ("obligations").

Guarantor further agrees (a) that this Guarantee shall not be affected or impaired by any extension, renewal, release or modification of the obligations secured thereby, or any one or more of them or of any term or provision thereof or of any instruments given in pursuance thereof or in exchange thereof or to supplement, extend, modify or take up the same or any security therefore, and (b) that without notice to or further consent of Guarantor, Authority and the Hauler/Customer may deal with each other as they may see fit without in any way releasing or affecting the liability of guarantor or impairing Authority's rights and remedies under this Guarantee, and (c) that the liability of the Guarantor hereunder shall be immediate, direct and unconditional and may be enforced without Authority pursuing any of its rights or remedies against the Hauler/Customer, its successors or assigns or against any security that Authority may have, hold or be entitled to or against Guarantor or any other guarantor of said indebtedness, and (d) that the liability of Guarantor shall not be affected by any lack of authority or any other defense which the Hauler/Customer or Guarantor might have against the enforcement against them of any of the agreements referred to above.

Notice of any default or non-payment by the Hauler/Customer of the obligation or obligations and demand for payment and presentment and protest of any note or of any other related instrument and notice thereof or of dishonor, non-payment or protest are hereby waived by Guarantor.

No delay by the Authority in exercising any right, power or privilege under the obligations or this Guarantee or otherwise, shall operate as a waiver of any such privilege or right.

This Guarantee and the liability of Guarantor hereunder shall be binding upon the distributes, legal representatives, and assigns of Guarantor. All of the rights of the Authority may be assigned by it and shall inure to the benefit of its successors and assigns; the Authority shall give notice to Guarantor of any assignment, but the failure to give notice shall not affect the validity or enforceability of this Guarantee.

If there is more than one person designated hereunder as Guarantor, their obligations under this Guarantee shall be joint and several and references to "Guarantor" in this agreement shall, where the context makes appropriate, refer to them and each of them.

IN WITNESS WHEREOF, Guarantor has signed this instrument on

Date

Individual Guarantor

Corporate or Partnership Guarantor

Individual Guarantor

By: _____
Name and Title

APPENDIX A

Respondent Checklist – Include the following in your proposal:

Executive Summary _____

Form 1.1 Respondent Identification _____

Form 1.2 Letter of Intent/Verification _____

Form 1.3 Materials Purchase Commitment _____

Form 1.4 Technical Data _____

Form 1.5 Credit Application _____

Financial Statements (last 2 years) _____

APPENDIX B – BALE BREAK AUDIT RESULTS

Bale Break Analyses

Bale breaks are done periodically by Authority recycling staff to ensure quality bale production. Upon request, bale breaks were conducted prior to the release of the RFP on two different, full sized fiber bales that the Authority produces, including: Old Corrugated Cardboard (OCC) and Mixed Paper (MIX). The OCC bale weighed 1,102 lbs. and the Mix bale weighed 1,528 lbs.

‘Prohibitives’ are defined as any material that lowers the grade of paper specified or that may harm equipment when present in an individual bale, specifically; any plastic/metal containers, residue, or wax treated papers (gable tops and wet-strength boxes). The wet-strength boxes discussed in this section refer to any box that would typically be stored in refrigerators or freezers. Some examples include frozen pizza boxes, boxes holding sticks of butter and soda or beer boxes. ‘Outthrows’ are defined as any fiber that is not suitable for the grade specified.

Please review the following section for an in-depth analysis of each bale break.

Bale Break #1: Old Corrugated Cardboard (OCC)

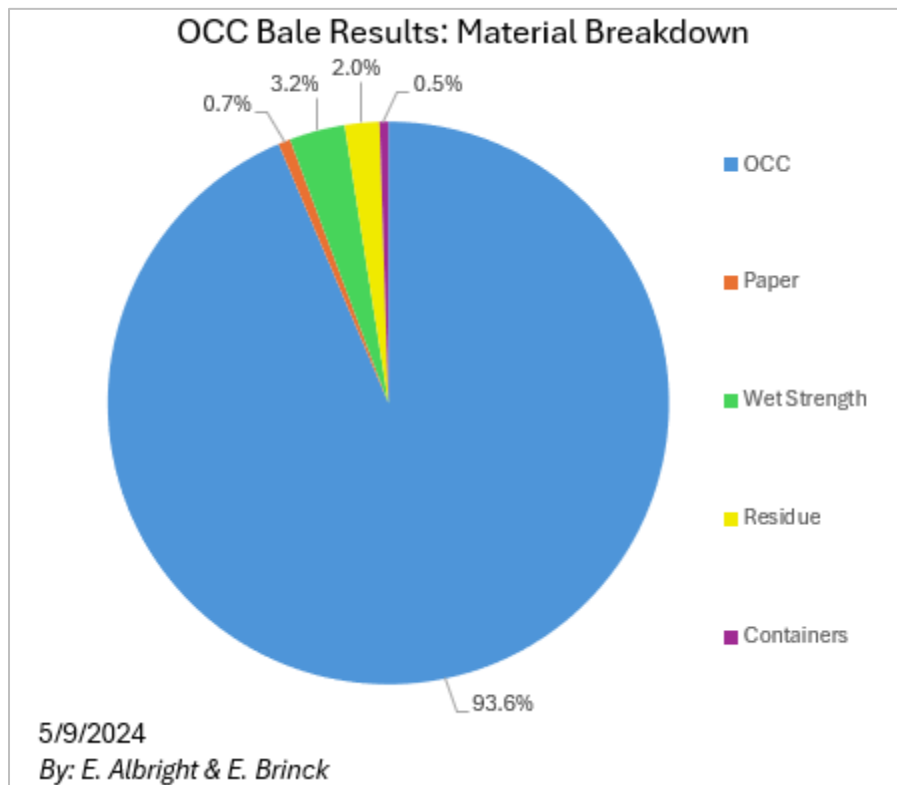
E. Albright and E. Brinck completed a waste characterization on one OCC bale on 5/9/2024 at 9:00 am. The weather was mild and mostly sunny. Chart 1 summarizes the findings of this bale break.

This bale was found to contain 93.6% OCC by weight, leaving 0.7% of outthrow material (mixed paper) and 5.7% of prohibitive material, including wet-strength boxes, containers (plastic, metal) and residue (garbage). Fibrous prohibitives (wet-strength boxes) accounted for 3.2% of the total bale by weight and accounted for 56% of all prohibitive material in this bale (see Graph 1A and 1B). The remaining prohibitives (residue and plastic/metal containers) accounted for 2.5% of the total bale by weight, and 44% of all prohibitive material in this bale.

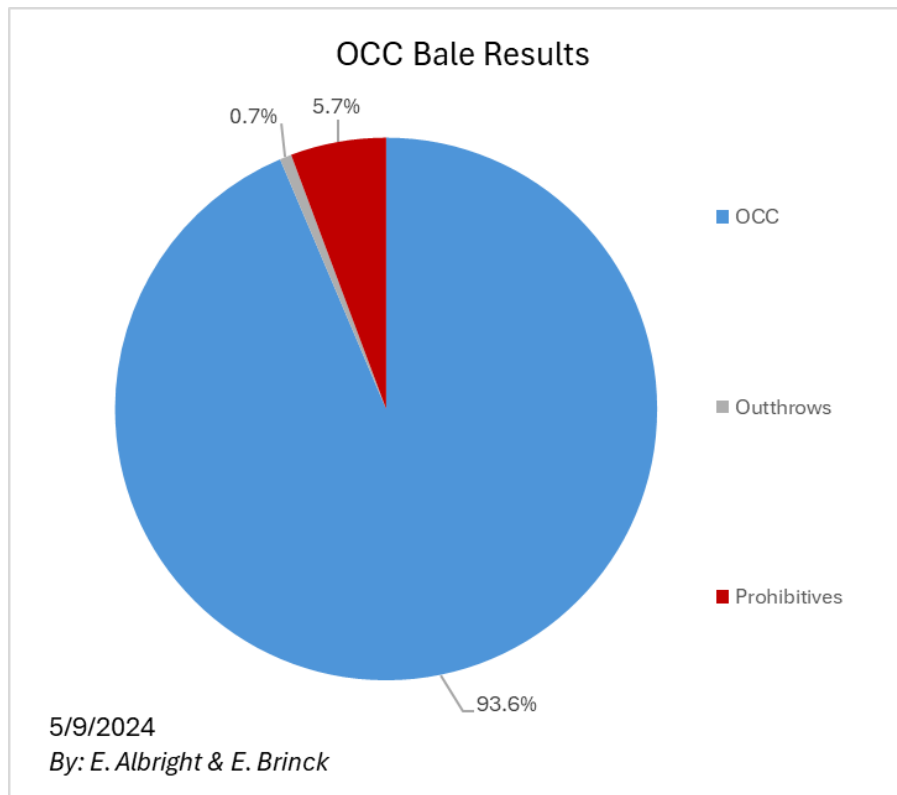
OCC Bale Characterization		
Material	lbs.	%
OCC	947	93.6%
Paper	7.5	0.7%
Wet Strength	32.5	3.2%
Residue	20	2.0%
Containers	5	0.5%
Total	1,012	100%

Chart 1

Please note that “Prohibitives” are highlighted in orange, and “Outthrows” are highlighted in green.



Graph 1A



Graph 1B

Photos from OCC Bale Break on 5/9/2024:



Photo 1: OCC Bale | Full Bale (weight = 1,012 lbs.)

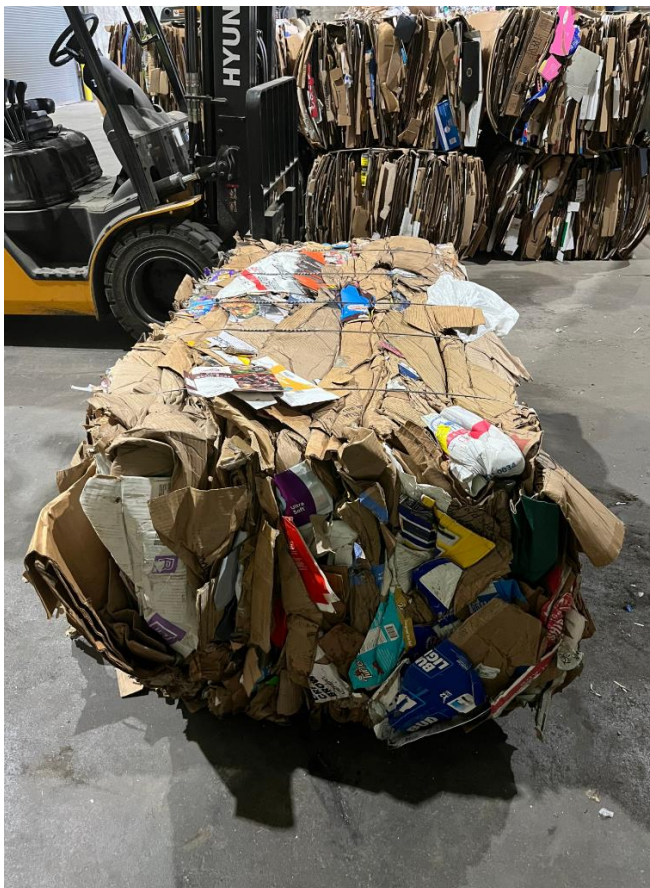


Photo 2: OCC Bale | Full Bale (weight = 1,012 lbs.), Side View



Photo 3: OCC Bale | OCC Pile (total OCC weight = 947 lbs.)



Photo 4: OCC Bale | Paper Pile (total Paper weight = 7.5 lbs.)

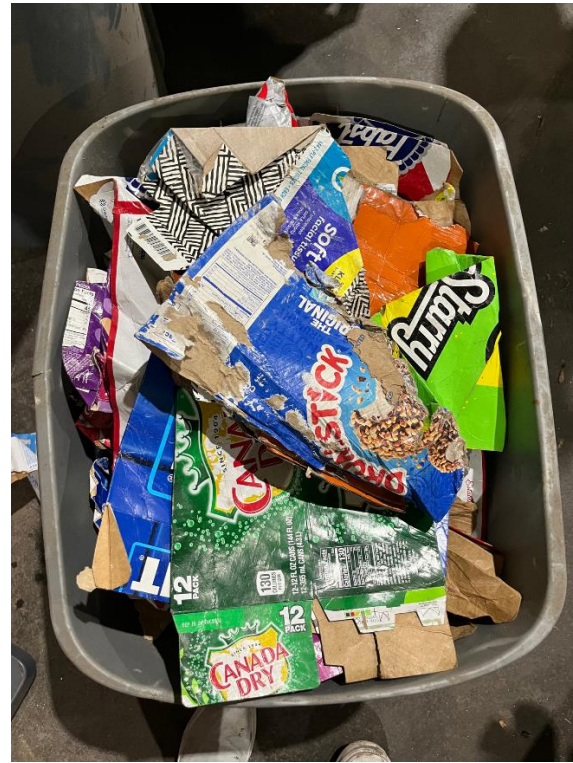


Photo 5 & 6: OCC Bale | Wet Strength Bins (total Wet Strength weight = 32.5 lbs.)

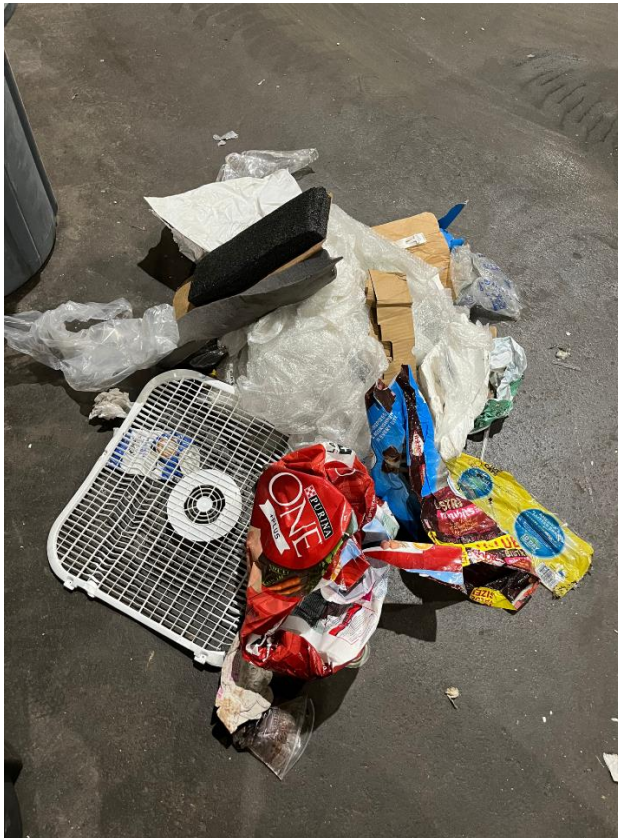


Photo 7: OCC Bale | Residue Pile (total Residue weight = 20 lbs.)



Photo 8: OCC Bale | Container Pile (total Container weight = 5 lbs.)

Bale Break #2: Mixed Paper (MIX)

E. Albright and E. Brinck completed a waste characterization on one Mixed Paper bale on 8/14/2024 at 9:00 am. The weather was warm, dry and sunny. Chart 2 summarizes the findings of this bale break.

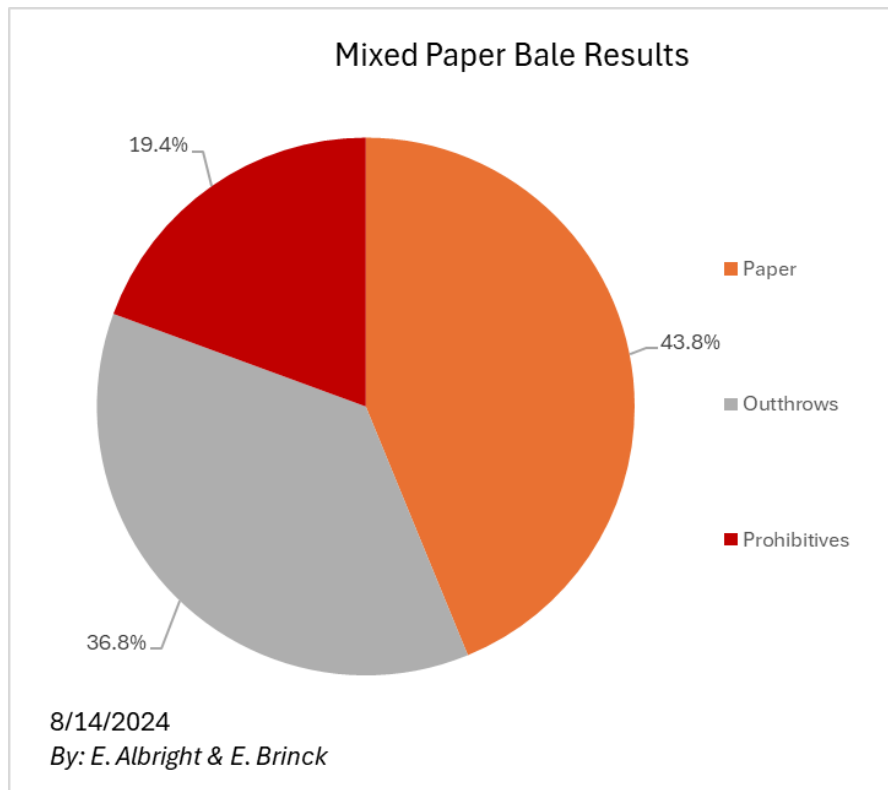
The bale was found to contain 43.8% paper by weight (see Graph 2B). In this mixed paper bale, OCC material was determined to be the only 'outthrow' accounting for 36.8% of the total bale weight. 'Prohibitives' for this bale include wet-strength boxes, containers (plastic and metal) and residue. Prohibitives accounted for 19.4% of the bale by weight (see Graph 2A). Wet Strength boxes accounted for 9.4% of the total bale by weight and made up 48.5% of all prohibitive material in the bale. Most of the residue (see Photo 14) was plastic film.

**Mixed Paper Bale
Characterization**

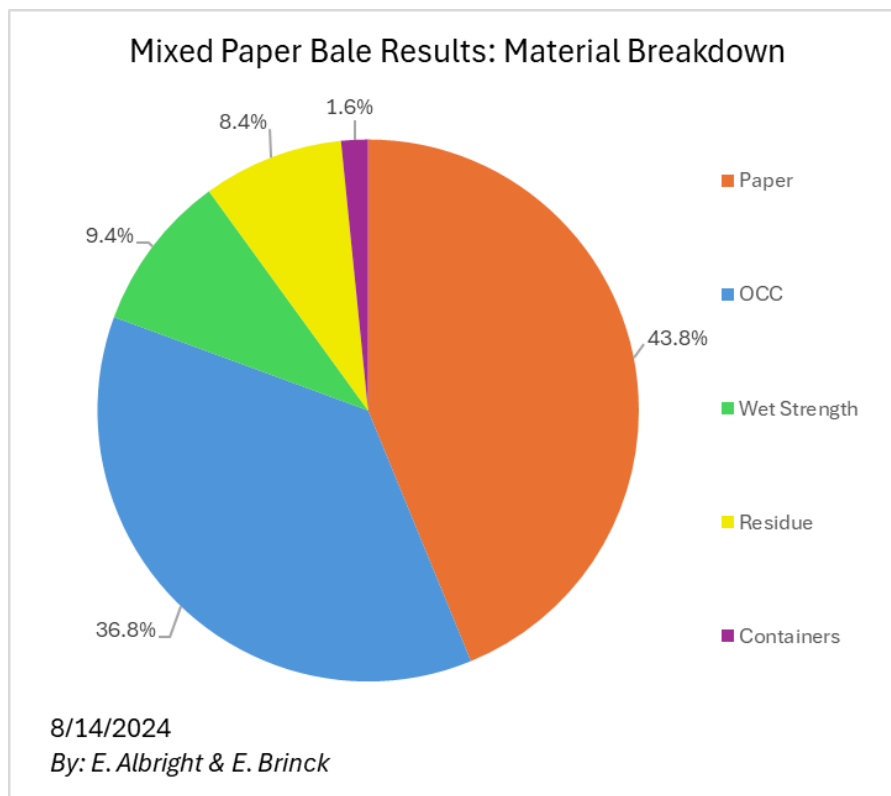
Material	lbs.	%
Paper	670	43.8%
OCC	562	36.8%
Wet Strength	144	9.4%
Residue	128	8.4%
Containers	24	1.6%
Total	1,528	100%

Chart 2

Please note that 'Prohibitives' are highlighted in orange, and 'Outthrows' are highlighted in green.



Graph 2A



Graph 2B

Photos from Mixed Paper Bale Break on 8/14/2024:



Photo 9: Mixed Paper Bale | Full Bale (weight = 1,528 lbs.)



Photo 10: Mixed Paper Bale | Full Bale (weight = 1,528 lbs.)



Photo 11: Mixed Paper Bale | Paper Pile (weight = 670 lbs.)

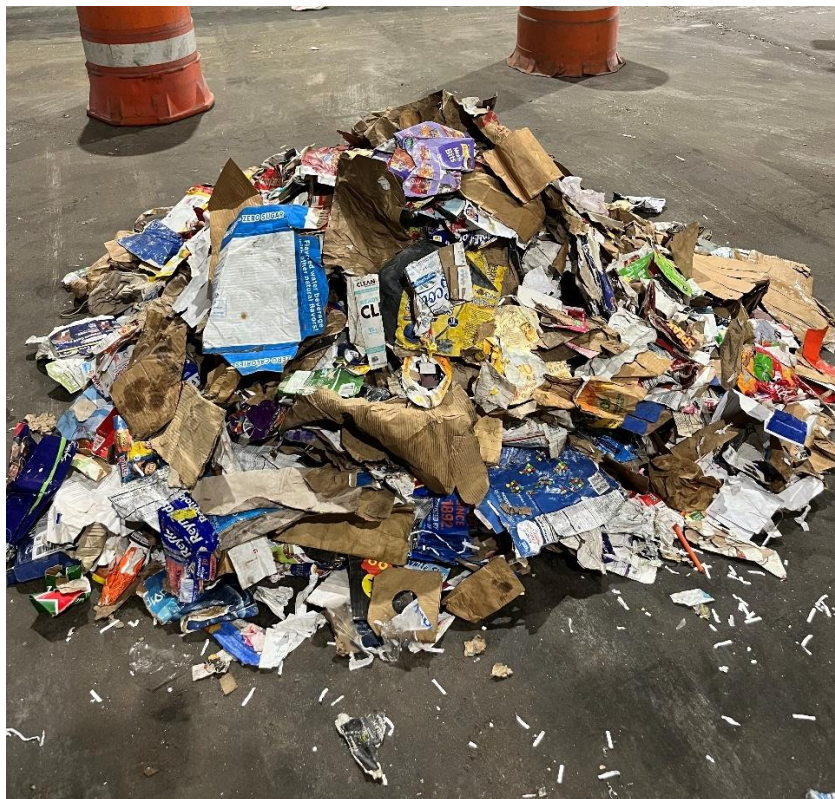


Photo 12: Mixed Paper Bale | OCC Pile (weight = 562 lbs.)



Photo 13: Mixed Paper Bale | Wet Strength Pile (weight = 144 lbs.)



Photo 14: Mixed Paper Bale | Residue Pile (weight = 128 lbs.)



Photo 15: Mixed Paper Pile | Containers Pile (weight = 24 lbs.)

APPENDIX C – SAMPLE BILL OF LADING (BOL)

RE-ORDER FROM PJ GREEN (515) 724-7877 395080

This is to certify that the herein named materials are properly classified, described, packaged, marked and labeled, and are in proper condition for transportation according to the applicable regulations of the Department of Transportation.

ONEIDA-HERKIMER RECYCLING CENTER
80 Leland Ave. Ext.
Utica, New York 13503

STRAIGHT BILL OF LADING
ORIGINAL - NOT NEGOTIABLE

13103

Shipper No. _____
Carrier No. _____
Date _____

TO:
Consignee

On Collect on Delivery shipments the letters "COD" must appear before consignee's name - - or as otherwise provided in item 430, Sec. 1

Street _____

Destination _____ Zip Code _____

Vehicle Number _____

Route _____

FROM:
Shipper

Street _____

Origin _____ Zip Code _____

U.S. DOT Hazmat Reg. Number _____

No. Shipping Units	* HM	Kind of Packaging, Description of Articles, Special Marks and Exceptions	Weight (Subject to Correction)	RATE	CHARGES
		GROSS			
		TARE			
		NET			

REMIT C.O.D. TO: ADDRESS _____

Note - Where the rate is dependent on value, shippers are required to state specifically in writing the agreed or declared value of the property.

The agreed or declared value of the property is hereby specifically stated by the shipper to be not exceeding \$ _____ per _____

COD Amt: \$ _____

Subject to Section 7 of the conditions, if this shipment is to be delivered to the consignee without recourse on the consignor the consignor shall sign the following statement:
The carrier shall not make delivery of this shipment without payment of freight and all other lawful charges.

(Signature of Consignor)

C.O.D. FEE: PREPAID ☐ COLLECT ☐ \$ _____

TOTAL CHARGES: \$ _____

FREIGHT CHARGES: Freight prepaid except when box is right to collect. Check box if charges are to be collect.

RECEIVED, subject to the classifications and liability filed tariffs in effect on the date of the issue of this Bill of Lading, the property described above in apparent good order, except as noted (contents and condition of contents of packages unknown), marked, consigned, and destined as indicated above which said carrier (the word carrier being understood throughout this contract as meaning any person or corporation in possession of the property under the contract) agrees to carry to its usual place of delivery at said destination, if on its route, otherwise to deliver to another carrier on the route to said destination. It is mutually agreed as to each carrier of all or any of said property over all or any portion of said route to destination and as to each party at any time interested in all or any of said property, that every service to be performed hereunder shall be subject to all the bill of lading terms and conditions in the governing classification and the said terms and conditions are hereby agreed to by the shipper and accepted for himself and his assigns.

Shipper hereby certifies that he is familiar with all the bill of lading terms and conditions in the governing classification and the said terms and conditions are hereby agreed to by the shipper and accepted for himself and his assigns.

SHIPPER **ONEIDA-HERKIMER RECYCLING CENTER, UTICA, NY 13503**

PER _____

EMERGENCY RESPONSE TELEPHONE NUMBER: _____

CARRIER _____

PER _____

DATE _____

Monitored at all times the Hazardous Material is in transportation including storage incidental to transportation (§172.604)

Mark with a "X" to designate Hazardous Material as defined in the Department of Transportation Regulations governing the transportation of hazardous materials. The use of this column is an extended method for identifying hazardous materials on bills of lading per Section 172.201(a)(10) of Title 49, Code of Federal Regulations. Also, when shipping hazardous materials, the shipper's destination statement prescribed in Section 172.204(a) of the Federal Regulations must be indicated on the bill of lading, unless a specific exemption from the requirement is provided in the Regulations for a particular material.

PRINTED IN U.S.A.

APPENDIX D – PRODUCT STOCK PHOTOS



Photo 1: Old Corrugated Cardboard (OCC), Side View



Photo 2: Old Corrugated Cardboard (OCC), Front View



Photo 3: Mixed Paper (MIX), Side View



Photo 4: Mixed Paper (MIX), Front View



Photo 5: Sorted Office Paper (SOP), Side View



Photo 6: Sorted Office Paper (SOP), Front View