



SACRAMENTO REGIONAL SOLID WASTE AUTHORITY (SWA)

NON-EXCLUSIVE COMMERCIAL SOLID WASTE COLLECTION FRANCHISE APPLICATION

*[Pursuant to Sacramento Regional
Solid Waste Authority (SWA) Ordinance No. 18]*

IMPORTANT NOTE

**COMPLETE FRANCHISE APPLICATION MUST
BE RECEIVED AT LEAST
45 DAYS BEFORE A SWA BOARD MEETING**
(SCHEDULE ENCLOSED)

To be eligible for a SWA Non-Exclusive Commercial Solid Waste Collection Franchise (herein referenced as "Franchise") for the "SWA Region" (the City of Sacramento and/or the Unincorporated Area of the County of Sacramento), you must obtain and complete the following:

1. SHERIFF'S CLEARANCE - REQUIRED FOR ALL APPLICANTS.

*Complete, detach, and mail Section 4 of this application, including the Sheriff's Clearance Form, as well as a copy of the Supplemental Information Packet, to the Sheriff's Department address **as soon as possible** to receive Sheriff's clearance for a Franchise. Also submit the same material to the County Department of Waste Management & Recycling ("DWMR"). The Sheriff's Department will communicate directly with the DWMR to clear your business for a Franchise. There is no additional fee for this clearance; your franchise fee will cover costs. Please note that Sheriff's clearance can take 30 to 60 days.*

2. SOLID WASTE VEHICLE INSPECTION – *Prior to performing any services provided under the award of a franchise, applicant must submit a vehicle inspection report for all the trucks to be used in the Franchise operations. This requirement must be met by obtaining a vehicle inspection from the County Environmental Management Department (EMD). Please submit an inspection report for each truck that you plan to use for collection pursuant to the Franchise. Contact Victoria Krohn of EMD (916-876-8870) to schedule an appointment for vehicle inspection. There is no additional fee for a vehicle inspection by EMD; your franchise fee will cover costs. You will be issued a vehicle franchise decal for each truck listed on **Vehicle Inventory Form 1** that has passed an inspection completed by the EMD. Decals will be mailed to the Franchisee with specific instructions. It is illegal for any truck not clearly displaying this decal to collect*

commercial solid waste in the City of Sacramento and/or the Unincorporated Area of the County of Sacramento (hereinafter referred to as the “SWA Region”).

Note: In the event a new truck is to be added during the calendar year, or a Franchisee takes a truck off the road, and would like to transfer the Franchise to a new truck, the Franchisee must contact DWMR staff, Doug Eubanks at (916) 875-7165 or Dave Ghirardelli at (916) 875-4557 prior to the vehicle change. All collection vehicles must be inspected before they can be used for the Franchise operations within the SWA region.

- 3. FINANCIAL DOCUMENTATION, COMPLETED QUARTERLY FEDERAL TAX ESTIMATE FORMS AND PRIOR YEAR FEDERAL TAX RETURN** - *If available, applicant must submit the most recently completed quarterly federal tax estimates for prior four quarters and prior year Federal Tax Return. (Example: Application Date is November 20, 2007 – Quarterly Estimates required for 4th Quarter 2006, 1st, 2nd, & 3rd Quarter 2007 and 2006 Federal Tax Return). If no tax returns have been completed, please provide estimated revenue to be earned in the SWA region for the current calendar year. Each applicant must also submit a current credit report and, if available, each of the following items: audited financial statements, business bank statements and business references.*

Please Note: *All financial documentation remains confidential and not for public disclosure.*

- 4. APPROPRIATE INSURANCE** - *To receive a franchise, you must have the minimum coverage stated in Section 5 (pages 9 - 11 of the Application). Proof of insurance must be submitted prior to performing any services provided under the award of a franchise.*
- 5. DIVERSION PLAN** – *Any new applicants for a Franchise must provide a Diversion Plan as part of the application. The Diversion Plan documents each Franchisee's methods to divert thirty percent (30%) of the waste collected that would normally be landfilled. New applicant Franchisees may choose to use the attached Diversion Plan Form or to submit their plan using another format. However, at a minimum, all plans must provide the information requested in the plan form to be approved. The Diversion Plan must be submitted with this application.*
- 6. APPLICATION/APPLICATION FEE/FINANCIAL GUARANTEE** - *Complete the attached application. Read, sign, and date the last page (Note: Certification page, Sheriff's Clearance Form, and Supplemental Information Certification page must be notarized). You must designate a local office in the application. A non-refundable application fee of \$500 plus a financial guarantee deposit of \$500 per truck (excluding backup trucks) must be submitted with your application. Checks should be made payable to the Sacramento Regional Solid Waste Authority. Send your completed application package and application fee/financial guarantee deposit to:*

*Doug Eubanks
Sacramento County Department of Waste Management & Recycling
9850 Goethe Road
Sacramento, CA 95827-3561*

For assistance in completing this application, please contact Doug Eubanks at (916) 875-7165 or Dave Ghirardelli at (916)875-4557.

APPLICANT CHECKLIST

CRITERIA FOR SWA COMMERCIAL SOLID WASTE FRANCHISE

- _____ Attached Quarterly Federal Tax Estimates (Most recent four (4) quarters)
- _____ Attached Prior Year Federal Tax Return
- _____ Attached estimated revenue to be earned in the SWA Region (if the above two items are not available)
- _____ Attached Financial Documentation or written permission to obtain a credit report
- _____ Attached Diversion Plan
- _____ Attached **SWA Ordinance No. 16 Title II Multi-Family Implementation Status Update** form (if applicable)
- _____ Attached **Insurance Carrier Information** Form. Please note that all required certificates of insurance would need to be submitted upon approval of a franchise.
- _____ Section 6 – Certification page(s) signed and notarized
- _____ Attached **Completed Vehicle Inventory Form 1**. Solid Waste Vehicle Inspection [EMD inspection form(s)] (Will need to be submitted upon approval of franchise.
- _____ Attached completed **Application for Sheriff's Clearance** forms, signed and notarized, along with copies of completed Section 4 and Supplemental Information Packet (if applicable).
- _____ Attached non-refundable application fee of \$500 plus a financial guarantee deposit of \$500 per truck excluding back-up trucks.

NOTE:

Pursuant to SWA Ordinance No. 18, Section 1.01.080.C.7(c): During the application processing period and during the full term of any Franchise, all information contained in the franchise application shall be kept up-to-date by the applicant who shall file a new verified statement within forty-eight (48) hours of any change indicating in detail the nature of any change in the information.

INSTRUCTIONS

for

APPLICATION FOR NON-EXCLUSIVE COMMERCIAL SOLID WASTE COLLECTION FRANCHISE

The following information is supplied to assist the applicant in completing the application for a Non-Exclusive Commercial Solid Waste Collection Franchise within the jurisdiction of the Sacramento Regional Solid Waste Authority (SWA). *For questions or assistance in completing this application, please contact Doug Eubanks at (916) 875-7165 or Dave Ghirardelli at (916) 875-4557.*

NOTE 1:

Pursuant to SWA Ordinance No. 18, Section 1.01.080.C.7(c): During the application processing period and during the full term of any Franchise, all information contained in the franchise application shall be kept up-to-date by the applicant who shall file a new verified statement within forty-eight (48) hours of any change indicating in detail the nature of any change in the information.

NOTE 2:

Due Date: Complete franchise applications must be received at least 45 days before a SWA Board meeting. After a review is completed, and within 60 days of receipt of a complete application package, either a request will be made to the SWA Board to adopt a resolution allowing the Administrator to execute a franchise agreement, or a written notice of denial will be sent to the applicant. Applications deemed complete by SWA staff will be scheduled for the next available SWA Board meeting. *Note: SWA Board meetings may be cancelled at any time.*

Section 1

Please list Business Name or Name of Company or Corporation, along with company or corporate office address and phone information. For corporations, do not enter corporate headquarters of the Parent Corporation in this section; provide parent and subsidiary corporation information in the Corporation Supplemental Information Packet.

Please check or circle the appropriate box for your Type of Organization and complete the appropriate Supplemental Information Packet for your organization.

Section 2

Please enter the names of individuals and their years of solid waste management experience for those individuals most matching the titles given in Sub-section A of this section.

Please enter the company or corporation address for the local office located within the SWA Region in Sub-section B. Also enter your business license information.

Section 3

Please complete all applicable information in Sub-section A. All applicants must complete **Vehicle Inventory Form 1** for all vehicles (active or backups) to be used for collection pursuant to this Franchise. Attach additional pages as necessary. Applicants without company vehicles for backup must submit an executed agreement with another franchised hauler that demonstrates adequate back-up capability.

Under the vehicle storage location portion of Sub-section A, please indicate the type of surface of the vehicle parking area (i.e. asphalt, concrete, gravel, dirt, etc.). If no vehicle maintenance shop exists onsite, please indicate where vehicles are serviced.

Under Sub-section B, please indicate all waste types hauled by your company. For waste types requiring special hauler permits from either the Department of Toxic Substances Control (DTSC) or from the California Integrated Waste Management Board (CIWMB), please record the applicable permit numbers in the spaces provided.

Please indicate all facilities your company uses for Recycling, Transfer/Processing, and Disposal activities under Sub-section C. Include facilities located outside of the SWA Region. Estimate the percent of the total waste stream that you collect that will go to each of these facilities.

If your company provides collection services outside the SWA Region, please include these jurisdictions as part of the list under Sub-section D.

For Multi-Family service provided by your company, please complete the Multi-Family Service portion of Sub-section E, as well as completing the **SWA Ordinance No. 5 Multi-Family Implementation Status Update** form included in Section 3.

Section 4

Section 4 must be completed in its entirety. If you, or any owner, manager, financial officer, partner, corporate officer, major stockholder (stockholder owning 10% or more), parent company, or subsidiary company has ever been convicted of a criminal offense or had a civil or criminal judgment made for or against him/her/the entity/etc., then this information must be entered in Section 4 and on the **Sheriff's Clearance** form included in Section 4. A **Sheriff's Clearance** form must be completed for all owners, partners, corporate officers (applicant & subsidiary corporations & companies only), and major stockholders representing or associated with the Applicant Company.

Reminder: Please make a copy of Section 4, each **Sheriff's Clearance** form, and the Supplemental Information Packet to be included with the application response. Mail **original notarized** copies of Section 4, each **Sheriff's Clearance** form, and the Supplemental Information Packet to Detective Steve Cotta as shown on form.

Pursuant to SWA Code Title I, Section 1.01.080, the applicant may submit a most recent 10-K form filed with the Securities and Exchange Commission in lieu of the requirements of SWA Code Title I, Sections 1.01.080.C. (1)(f) and 1.01.080.C. (2)(d), if applicant is required to complete periodic 10-K filing.

Section 5

Please fully complete the ***Insurance Carrier Information*** form included in Section 5. You will be required to submit all required insurance certificates from all insurers prior to performing any services provided under the award of a franchise.

Section 6

Please carefully review the Certification section of the application prior to signing it. The applicant must sign this certification on behalf of the company and have it notarized.

ALL APPLICATIONS MUST BE BOUND USING WHITE PLASTIC BINDING COMBS. APPLICANTS MUST SUBMIT 2 BOUND COPIES TO THE DWMR.

An ***Applicant Checklist*** has been provided for your convenience to help ensure the required documents are submitted to the DWMR with the application response.

APPLICATION FOR SACRAMENTO REGIONAL SOLID WASTE AUTHORITY (SWA) NON-EXCLUSIVE COMMERCIAL SOLID WASTE FRANCHISE

SECTION 1 (Identification)

Business Name OR Name of Applicant Corporation

Street Address of Business Owner **OR** Corporation (Street, City, State, Zip)

Business Phone	Business Fax	E-mail or Website
----------------	--------------	-------------------

Name of Applicant, Local Contact, or Agent of Service (Corp.)	Date of Birth	Driver's License No. & State
---	---------------	------------------------------

Home Address (Street, City, State, Zip)	Phone
---	-------

Relationship to Business (Owner, Partner, Manager, Corporate Officer, Manager, Etc.)

Primary Contact Person for All Correspondence for Franchise	Phone
---	-------

Partner OR Corporate Officer (Last, First, Title)	Contact Phone
---	---------------

Partner OR Corporate Officer (Last, First, Title)	Contact Phone
---	---------------

Type of Organization (Check one)

- | | | |
|---|---|---|
| <input type="checkbox"/> Individual (Owner/Operator) | <input type="checkbox"/> Limited Partnership
(Complete Partnership
Supplemental Information Packet) | <input type="checkbox"/> Joint Venture |
| <input type="checkbox"/> Husband and Wife | <input type="checkbox"/> Limited Liability Company
(Complete LLC Supplemental
Information Packet) | <input type="checkbox"/> Unincorporated Association –
Other than a Partnership |
| <input type="checkbox"/> Corporation
(Complete Corporation
Supplemental Information Packet) | <input type="checkbox"/> Business Trust
(Complete Business Trust
Supplemental Information Packet) | <input type="checkbox"/> Public Agency |
| <input type="checkbox"/> General Partnership
(Complete Partnership
Supplemental Information Packet) | <input type="checkbox"/> Co-Partners
(Complete Partnership
Supplemental Information Packet) | |

SECTION 2 (Business Operations)

Please complete the following:

A. Employees:

Company Executive Officer _____ Years Experience in Solid Waste _____

Title _____ Phone _____

Financial Officer _____ Years Experience in Solid Waste _____

Title _____ Phone _____

Operations Manager _____ Years Experience in Solid Waste _____

Title _____ Phone _____

Total number of Employees: _____

Note: Applicant Company with employees must provide verification of Worker's Compensation Insurance pursuant to Section 5 of this application package. If company is Owner/Operator and has no employees, Worker's Compensation Insurance requirements are waived; however, applicant must provide letter to the WMRD stating company has no employees, therefore, is not required to secure Worker's Compensation Insurance. Should the company hire an employee or several employees, the waiver is null and void, and the company must secure Worker's Compensation Insurance.

B. Address & Phone:

Local Business Office Address

Zip _____ Address _____ City _____

Local Business Office Phone _____ Local Business Office Fax _____

Business License No. _____ City or County _____

SECTION 3 (Equipment, Facilities, & Services)

A. Vehicles:

Please enter the total number of collection vehicles to be operated within the SWA Region under this Franchise

Type & Number

- | | |
|--|---|
| <input type="checkbox"/> Front Loaders, Number | <input type="checkbox"/> Rear Loaders, Number |
| <input type="checkbox"/> Side Loaders, Number | <input type="checkbox"/> Roll-Off, Number |
| <input type="checkbox"/> Other _____, Number | <input type="checkbox"/> Other _____, Number |

Applicant must complete **Vehicle Inventory Form 1** (included in this section of this application package). The inventory form must include all vehicles used for collection and transportation of solid waste under this franchise, including any vehicles used as backup vehicles.

Please provide address and general description of site where vehicles are stored either overnight or during non-utilization periods. As part of this general description, complete the following:

Site Address: _____

City Name or Unincorporated County? _____

Type of Surface in Vehicle Parking Area? _____

(Concrete, Asphalt, Gravel, Base Rock, Dirt, etc.)

Vehicle Maintenance Shop Onsite? Yes No

General Description (Attach additional sheets and/or site map as necessary): _____

Note: Applicant must provide verification of Automotive Liability Insurance pursuant to Section 5 of this application package.

B. Waste Types:

Please indicate the waste types to be hauled by your company within the SWA Region.

- | | | |
|---|---|--|
| <input type="checkbox"/> Agricultural | <input type="checkbox"/> Dead Animals | <input type="checkbox"/> Sludge |
| <input type="checkbox"/> Asbestos | <input type="checkbox"/> Friable – Asbestos | <input type="checkbox"/> Tires |
| <input type="checkbox"/> Ash | <input type="checkbox"/> Industrial | <input type="checkbox"/> Wood Mill |
| <input type="checkbox"/> Auto Shredder | <input type="checkbox"/> Liquids | <input type="checkbox"/> Inerts |
| <input type="checkbox"/> Construction/Demolition | <input type="checkbox"/> Mixed Commercial | <input type="checkbox"/> Medical Waste |
| <input type="checkbox"/> Special Waste (describe) | | <input type="checkbox"/> Other: (describe) |

If you checked Asbestos, Friable – Asbestos, Tires, Medical Waste, or Special Waste in the table on the previous page, please complete the following:

- Asbestos DTSC Hazardous Waste Transporter Registration No.
- Friable -- Asbestos DTSC Hazardous Waste Transporter Registration No.
- Tires CIWMB Waste Tire Hauler Registration No.
- Medical Waste DTSC Hazardous Waste Transporter Registration No.
- Special Waste DTSC Hazardous Waste Transporter Registration No.

C. Recycling, Transfer/Processing, & Disposal Facilities:

Please indicate Recycling, Transfer/Processing, & Disposal facilities your company uses or intends to use within the SWA Region and Disposal facilities outside of the SWA Region:

Recycling		Transfer/Processing		Disposal	
Facility Name	Percentage of Waste Collected	Facility Name	Percentage of Waste Collected	Facility Name	Percentage of Waste Collected

D. Service Areas:

Please list the Cities and/or Counties within California where the company currently has waste management operations inside or outside the SWA Region:

Cities	Counties

Attach additional sheets as necessary.

E. Service Type:

Please indicate the type of commercial service you intend to provide in the SWA Region?

- | | |
|-----------------------------------|------------------------------------|
| <input type="checkbox"/> Drop Box | <input type="checkbox"/> Compactor |
| <input type="checkbox"/> Bin | <input type="checkbox"/> Other |
| <input type="checkbox"/> Can | |

If your company provides multi-family service in the SWA Region, please complete the following:

- | <u>Service Type</u> | <u>Number of Accounts</u> |
|--|---|
| <input type="checkbox"/> Bin (Sizes: _____ , _____ , _____ , _____) | (By Size: _____ , _____ , _____ , _____) |
| <input type="checkbox"/> Can (Sizes: _____ , _____ , _____ , _____) | (By Size: _____ , _____ , _____ , _____) |
| <input type="checkbox"/> Blue Bag | _____ |
| <input type="checkbox"/> Other | _____ |

If your company provides multi-family service, you must also complete the “***SWA Ordinance No. 5 Multi-Family Implementation Status Update***” form included in this section of this application package.

F. General Notes:

1. If your application for a SWA Commercial Solid Waste Franchise is approved, you will be issued a vehicle franchise decal for each truck listed on ***Vehicle Inventory Form 1*** that has passed an inspection completed by the EMD. Decals will be mailed to the Franchisee with specific instructions.
2. ***It is illegal for a collection vehicle to collect Solid Waste in SWA Region without a Commercial Solid Waste Vehicle Franchise Decal.***

SECTION 4 (Rulings, Judgments, Sheriff's Clearance)

Section 1.01.080.C.2 (d) of SWA Code Title I requires that a complete listing and explanation of any civil or criminal rulings or judgments in excess of five-thousand dollars (\$5,000), or convictions against applicant, any of applicant's, managers, financial officers, partners, major stockholders (stockholder owning 10% or more of company), corporate directors or parent or subsidiary companies, occurring within the last five (5) years be provided. Applicants that are subject to the periodic reporting requirements of Section 13(a) of the Securities Exchange Act, may, in lieu of the information required by Section 1.01.080.C.1 (f) and 1.01.080.C.2 (d) of SWA Code Title I, submit the information reported pursuant to 17 CFR §§ 229.103 (Legal proceedings) and 229.403 (Security ownership of certain beneficial owners and management) on the most recent form 10-K filed by the Applicant with the Securities and Exchange Commission.

Pursuant to the statements above, please complete the following:

Has the applicant, a manager, a financial officer, a partner, a corporate officer, a major stockholder, a parent company, or a subsidiary company ever been convicted of a criminal offense? Yes No

(Omit minor traffic violations or offenses as a minor)

If yes, please provide the following for each conviction (attach a separate sheet if necessary):

Name of person or company: _____

Type of Conviction: Misdemeanor Felony

Date of Conviction: _____

Brief description of Conviction: _____

Has the applicant, a manager, a financial officer, a partner, a corporate officer, a major stockholder, a parent company, or a subsidiary company ever had a criminal or civil ruling or judgment in excess of \$5,000?

If yes, please provide the following for each ruling or judgment (attach a separate sheet if necessary):

Name of person or company: _____

Type of Judgment or Ruling: Summary Other _____

Date of Judgment or Ruling: _____

Brief description of judgment or ruling: _____

APPLICATION FOR SHERIFF'S CLEARANCE

(For All Applicants)

The applicant, any managers, any financial officers, any partners, any corporate officers, or any major stockholders, representing or associated with the Business applying for this Commercial Solid Waste Collection Franchise must complete this form as part of Section 4 of this application package and include a copy of Section 4 and this form in the application response and mail the original of Section 4 and this form to:

Detective Steven F. Cotta
Special Investigations Bureau
P.O. Box 988
Sacramento, CA 95812-0988

Date _____

Name of Applicant _____ Date of Birth _____

Company Title _____
(Owner, President, Vice-President, Stockholder, etc.)

Home Address _____

Age ____ Drivers License # _____ Race ____ Sex ____ Height ____

Color of Hair _____ Color of Eyes _____ Place of Birth _____

Citizen/Country _____ Social Security # _____

Have you ever been arrested for a criminal offense? _____ If yes, have you ever been charged with a criminal offense, please explain:

Have you, the company, parent companies, or subsidiary companies, ever been convicted of a criminal offense? _____ If yes, please explain:

Name of Business _____ Business Phone _____

Business Address _____

Business First Established: When? _____ Where? _____

Date First Established in Sacramento County or City: _____

Is this business a sole ownership? Yes _____ No _____

If no, list all Partners or Corporation Officers:

Name: _____ Address: _____

Name: _____ Address: _____

Name: _____ Address: _____

Name: _____ Address: _____

Are you licensed with any of the following:	<u>Yes/No</u>	<u>License #</u>
Local Business License; Where? _____	_____	_____
California Secretary of State	_____	_____
California Department of Consumer Affairs	_____	_____
California Department of Motor Vehicles	_____	_____
United States Government	_____	_____

Have you ever applied for licensing or a franchise with any of the above?

Have you ever had a license suspended or revoked? If yes, why?

I understand that Sacramento County Code 9.20 makes it a misdemeanor for any person to make a false or fraudulent statement or any false or misleading writing or document in any matter or proceeding within the jurisdiction of any Department or Agency of the County of Sacramento:

Name of Applicant:

Name _____

Signed _____

Title _____

Date _____

(Reserved for Notary Seal)

SECTION 5 (Insurance Requirements)

A. Requirements

Without limiting the Franchisee's indemnification, the Franchisee shall procure and maintain for the duration of the franchise insurance against claims for injuries to persons or damages to property, which may arise from or in connection with the performance of the work hereunder by the Franchisee, his agents, representatives, or employees. The County, acting as the agent for the Solid Waste Authority, shall retain the right at any time to review the coverage, form, and amount of the insurance required hereby. If, in the opinion of the County's Risk Management Office, the insurance provisions in these requirements do not provide adequate protection for County and for members of the public, County may require Franchisee to obtain insurance sufficient in coverage, form and amount to provide adequate protection. County's requirements shall be reasonable but shall be imposed to assure protection from and against the kind and extent of risks that exist at the time a change in insurance is required.

B. Verification of Coverage

Franchisee shall furnish the County with a completed copy of the "**Insurance Carrier Information Form**" included in this section of this application package and, upon approval to grant a franchise, certificates evidencing coverage required below. **Certificates of Insurance must be submitted prior to performing any services provided under the award of a franchise.**

All certificates are to be received and approved by the County. The County reserves the right to require the Franchisee to provide complete, certified copies of any policy of insurance offered in compliance with these specifications. As an alternative to insurance certificates, the Policy Holder's insurer may voluntarily provide complete, certified copies of all required insurance policies, including endorsements, affecting the coverage required by these specifications.

C. Minimum Scope of Insurance

Coverage shall be at least as broad as:

1. Insurance Services Office Commercial General Liability coverage (occurrence form CG 0001).
2. Insurance Services Office form number CA 0001 (06 92) covering Automobile Liability, code 1 (any auto).
3. Worker's Compensation insurance as required by the State of California and Employer's Liability Insurance.

a. Minimum Limits of Insurance

Franchise Holder shall maintain limits no less than:

1. General Liability shall be on an Occurrence basis (as opposed to Claims Made basis). Minimum limits and structure shall be:

General Aggregate:	\$2,000,000
Products Comp/Op Aggregate:	\$2,000,000
Personal and Adv. Injury:	\$1,000,000
Each Occurrence:	\$1,000,000
Fire Damage:	\$ 100,000

2. Automobile Liability: Commercial Automobile Liability for Corporate/business owned vehicles including non-owned and hired, \$2,000,000 Combined Single Limit or \$1,000,000 Combined Single Limit where each vehicle has a gross vehicle weight (GVW) of 20,000 lbs. or less.
Personal Lines of Automobile Liability for Individually owned vehicles, \$250,000 per person, \$500,000 each accident, \$100,000 property damage.
If auto policy is less than required coverage, please provide excess liability to make up the difference. Indicate on insurance forms that the excess liability covers autos.
3. Workers' Compensation: Statutory
4. Employer's Liability: \$1,000,000 (one million dollars) per accident for bodily injury disease.

b. Deductibles and Self-Insured Retention

Any deductibles or self-insured retention must be declared to and approved by the County. At the option of the County, either: the insurer shall reduce or eliminate such deductibles or self-insured retention as respects the County, its officers, officials, employees and volunteers; or the Policy Holder shall procure a bond guaranteeing payment of losses and related investigations, claim administration, and defense expenses.

If your company is self-insured, please include a copy of Certification of Self-Insurance from the State of California in your application response.

c. Other Insurance Provisions

The general liability and automobile liability policies are to contain, or be endorsed to contain, the following provisions:

1. The County, its officers, officials, employees, agents and volunteers are to be covered as additional insured as respects: liability out of activities performed by or on behalf of the Franchisee; products and completed operations of the Franchisee; premises owned, occupied or used by the Franchisee; or automobiles owned, leased, hired, or borrowed by the Franchisee. The coverage shall contain no special limitations on the scope of the protection afforded to the County, its officers, officials, employees, agents, or volunteers.

2. For any claims related to this project, the Franchisee's insurance coverage shall be primary insurance as respects the County, its officers, officials, employees, agents and volunteers shall be excess of the Franchisees insurance and shall not contribute with it.
3. Any failure to comply with reporting of other provisions of the policies including breaches of warranties shall not affect coverage provided to the County, its officers, officials, employees, agents, or volunteers.
4. The Franchisee's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.
5. Each insurance policy required by this clause shall be endorsed to state that coverage shall not be suspended, voided, canceled by either party, reduced in coverage or in limits except after thirty (30) days' prior written notice by certified mail, return receipt requested, has been given to the County.
6. The workers' compensation policy required hereunder shall be endorsed to state that the workers' compensation carrier waives its right of subrogation against the County, its officers, officials, employees, agents or volunteers, which might arise by reason of payment under such policy in connection with work performed under this agreement by the Franchisee.
7. UMBRELLA or Excess Liability policies are acceptable where the need for higher liability limits is noted in the Minimum Limits of Insurance and shall provide liability coverages that at least follow form over the underlying insurance requirements where necessary for Commercial General Liability, Automobile Liability, Employers' Liability, or any other liability coverage designated under the Minimum Scope of Insurance.

d. Acceptability

Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A: VII. The County Risk Manager may waive or alter this requirement, or accept self-insurance in lieu of any required policy of insurance if, in the opinion of the Risk Manager, the interests of the County and the general public are adequately protected.

Questions regarding insurance requirements should be directed to Steven Page, County Risk Management at (916) 876-5020.

D. Insurance Carrier Information

Each applicant must complete the attached "***Insurance Carrier Information Form***" included in this section of the application package.

SECTION 6 (Certification)

Read the following statement carefully

I understand that Franchises are issued pursuant to SWA Ordinance No. 18. All collection services shall be provided by the Franchisee. Sub-contracting and other forms of transferring obligations and/or responsibilities imposed by the Franchise are prohibited except as expressly allowed by SWA Ordinance No. 18.

I hereby grant the SWA the right to inspect any and all equipment and/or facilities and/or records during reasonable hours to ensure compliance with SWA Ordinance No. 18. I understand that denial of such entry or the violation of Ordinance No. 18 shall be grounds for suspension or revocation of said Franchise.

I hereby certify that the information in this application package is true and correct, that the operation will be conducted in accordance with the information contained and certified herein, and in accordance with SWA Ordinance No. 18, County of Sacramento Code, City of Sacramento Code and the Sacramento Regional Solid Waste Authority rules and regulations pursuant to Ordinance No. 18. Further, I hereby certify that I have access to suitable facilities for keeping vehicles and equipment clean and in good repair and that I own or will have access to reasonable local office and billing facilities.

I hereby certify that any financial books and accounts for all revenue and income arising from the Franchise operations listed in this application are kept in a manner that conforms to Generally Accepted Accounting Principals.

I hereby certify that I or the company(ies) listed in this application will obtain insurance pursuant to Section 5 of this application package and SWA Ordinance No. 18 prior to commencing business related to this Franchise.

I hereby certify that I and/or the company applying for this Franchise shall maintain and report on a timely basis all operational information and data elements reasonably required by the SWA to comply with its reporting requirements such as those established under AB 939, and as defined in the franchise agreement.

I hereby certify that I owe no outstanding fees of any kind to any SWA member agency.

Name (print) _____

Signed _____

Title _____

Date _____

(Reserved for Notary Seal)

Vehicle Inventory Form 1

Make	Model Front-Rear Loader, Etc.	Capacity (Tons)	Year	Vehicle Identification No. (VIN#)	Vehicle License No.

*Note: Make additional copies of form as necessary and include in application response as part of Section 3.

INSURANCE CARRIER INFORMATION

Policy Type	Carrier	Policy No.	Effective Dates (Expiration)	Insurance Carrier Contact Name/Phone No.
Auto/Truck				
General Liability				
Worker's Compensation				
Other _____				

****Note: Complete and include in Section 5 of the application response. Attach certified copies of insurance policies to this form.***

SWA ORDINANCE NO. 16 Title II
MULTI-FAMILY IMPLEMENTATION STATUS UPDATE

Total number of Multi-Family communities currently served by applicant: _____

Total number of Multi-Family accounts held by applicant: _____

In the table below, enter information for each complex where recycling activities have been implemented.

Name of Complex	Street Address	City of Sacramento or Unincorporated County of Sacramento	No. of Units in Complex	Is Complex Fully Implemented?	List Types of Programs Offered at Complex

Date: _____

Note: Make additional copies of form as necessary and include in application response as part of Section 3.

Page ____ of ____