

Lexington Fayette Urban
County Government



Statement of Qualifications for Professional Engineering Services

Contract #3: Construction Drawings Review for DOE Manual Compliance





March 26, 2014

Ms. Theresa Maynard – Buyer Senior
LFUCG
Division of Central Purchasing
Room 338, Government Center
200 East Main Street
Lexington, KY 40507

Point of Contact

Richard W. Walker, P.E., CFM
800 Corporate Drive, Suite 200
Lexington, KY 40503
Office: (859) 514-8749
Cell: (859) 619-8013
richard.walker@tetrattech.com

Attn.: Selection Committee

RE: Tetra Tech Proposal (RFP #13-2014)
Request for Qualifications for Professional Engineering Services
Contract #3 – Construction Drawings Review for DOE Manual Compliance

Dear Selection Committee Member:

I have been working with the Division of Engineering (DOE) on the Engineering Manuals for over 15 years. I was the project manager for developing the manuals that were adopted in 2001, and I have assisted the staff with updating the manuals in 2005, 2009, and 2011. In addition, we have engineers with specialized experience in designing and reviewing construction drawings of sanitary sewers, stormwater management facilities, structures, and roadways.

Over the last 6 years we have served as your Stormwater Program Manager for the Consent Decree. We have developed checklists for reviewing construction drawings and we frequently meet with DOE staff to review new development stormwater management plans for compliance with the Stormwater Manual. In January of 2014, we assisted DOE staff with implementing a new method of submitting plans that requires private sector engineers to submit an Executive Summary for new development and re-development stormwater management plans. This has streamlined the plan review process and provided consistent documentation of the data needed to assess compliance with the Stormwater Manual.

As a result of the above experience, we have an in-depth understanding of the technical requirements in the DOE Engineering Manuals. In addition, we have demonstrated our ability to deliver high-quality products, on schedule, and within budget. For example, as part of the Consent Decree work, we have successfully completed over 20 task orders. As a result, we understand your operating style and culture, and how to best respond to your needs. We have built a relationship of mutual trust and respect, which has allowed us to work as an extension of your staff.

We anticipate that 95% of the work will be done by staff in the Lexington office. Being local to the community means that we are personally invested in improving the quality of life in Lexington, and we take great satisfaction in working together with you to reach your goals. We look forward to working with you on this project.

Sincerely,

A handwritten signature in blue ink that reads 'Richard W. Walker'.

Richard W. Walker, P.E., CFM
Vice President, Tetra Tech

Tetra Tech Inc.
800 Corporate Drive, Suite 200, Lexington, KY 40503
Tel (859) 223-8000 Fax (859) 224-1025 www.tetrattech.com

2 Firm Qualifications (Executive Summary)

This **executive summary** highlights RFQ selection criteria and demonstrates why LFUCG should select Tetra Tech to provide engineering services for construction drawings review for DOE manual compliance.

Overall Expertise of Tetra Tech

Tetra Tech is a full-service engineering and science firm based in North America with 350 offices and 14,000 employees worldwide, and is ranked by *Engineering News-Record* as the #1 provider of water, solid waste, and environmental management services in the U.S. Tetra Tech's local office in Lexington provides engineering services for stormwater, water, and wastewater facilities; landfills; regulatory compliance; and program management. **Tetra Tech was selected as the 2013 Consultant of the Year by the KY Chapter of the American Public Works Association (see photo).**



The list of projects in Section 5 demonstrates our expertise with the DOE Manuals and construction drawings. The following three projects demonstrate our specialized experience for LFUCG:

LFUCG Division of Engineering (DOE) Manuals, 2001-Present

Richard Walker was the project manager for development of the DOE Engineering Manuals in 2001 and worked with staff to update the manuals in 2005, 2009, and 2011. This involved developing design criteria, construction specifications, and plan submittal requirements.

Stormwater Program Manager for Lexington's EPA Consent Decree, 2008-Present

Tetra Tech has served as LFUCG's stormwater program manager for the EPA Consent Decree since 2008. We work closely with staff to meet the reporting, inspection, and training requirements for controlling pollution from construction sites, industrial facilities, new development, and municipal facilities. We conduct an annual workshop with the construction industry that is routinely attended by over 100 people, and we assist staff with conducting a workshop with approximately 20 industries. We are currently working with staff to update two of the City's technical manuals – the Procedures Manual for Infrastructure Development and the Stormwater Manual. Finally, we are responsible for the quality control of all sanitary sewer and stormwater reports that are submitted to USEPA and the Commonwealth of Kentucky.

Sugarmill / Vaughn's Branch Flood Mitigation, LFUCG, 2010

Tetra Tech prepared design documents for installation of four concrete clear span structures with wing walls, construction of a detention basin requiring 25,000 CY of excavation, 1100 feet of sewer pipe, and ten manholes.

Overall Expertise of the Team Members

Our project team is well qualified to conduct construction drawings review for compliance with the DOE manuals. The resumes for our key staff are included in Section 3. A brief summary follows:



Richard Walker, P.E., will be the project manager and has an in-depth knowledge of the DOE Engineering Manuals. He has 30 years of experience in municipal engineering and is a Certified Floodplain Manager. He was project manager for the development of the original Engineering Manuals in 2001 and the updates in 2005, 2009, and 2011. He is the primary author of the Stormwater Manual and is currently working with DOE staff on updating the manual.

Herb Lemaster, P.E., has 23 years of experience with a diverse background in general civil engineering, including substantial experience in QA/QC review of design drawings for sanitary sewers, storm sewers, geotechnical, and roadways. His experience on Lexington projects has given him a working knowledge of the Stormwater, Sanitary Sewer, Roadway, and Geotechnical Manuals.

Jennifer Cary, P.E., has 20 years of experience and is the project engineer for LFUCG’s stormwater program management. She has a long history of working with LFUCG staff on stormwater issues and is familiar with the requirements of the Stormwater Manual.

Chris Diehl, P.E., has 13 years of experience in hydrology and hydraulics and has an in-depth knowledge of stormwater modeling. He has worked on several stormwater projects in Lexington.

Mark Ralph, P.E., has 22 years of experience in the design and QA/QC review of sanitary sewer design projects.

Chris Coleman, P.E., has 22 years of experience as a structural engineer with diverse experience in municipal projects.

Past Performance

Section 5 lists the projects that the project team has completed for LFUCG and other government clients. The projects include the development of construction drawings for stormwater facilities, sanitary sewers, structures, and roadways.

Project Manager Qualifications

Richard Walker will be the project manager. Richard has 30 years of experience in engineering and is located in the Lexington office. His experience includes the following:

- Project manager for developing the original Engineering Manuals in 2001 and updating the manuals in 2005, 2009, and 2011,
- Program manager for the Stormwater Consent Decree for LFUCG,
- Primary author of LFUCG’s Stormwater Manual,
- Project manager for development of the LFUCG Low Impact Development Guidelines,
- Principal-in-charge of the Sugarmill/Vaughn’s Branch flood mitigation project and the LFUCG Walhampton Stormwater Improvements.

Office Status and Location of Employees

Richard Walker, the project manager, is in the Lexington office, along with the project engineers who will do 95% of the work. The Lexington office has 32 employees and provides engineering services for stormwater management, water and wastewater engineering, landfill engineering, and environmental services. In addition, the Lexington office provides project support to multiple Tetra Tech offices for accounting, human resources, information technology, operations, and marketing.

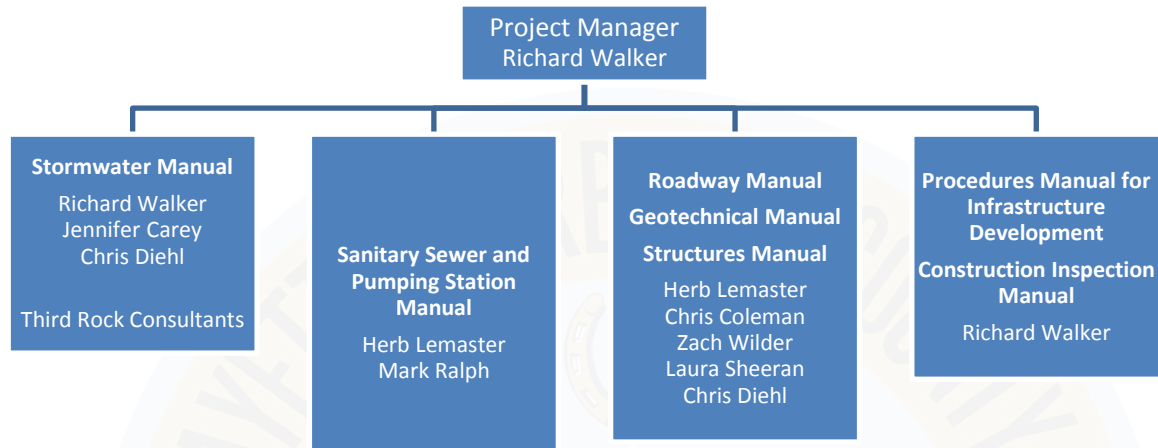
Subconsultants

Third Rock Consultants is on our team to review plans involving stream impacts and federal 404 permitting.

Subconsultant	Services Provided	Firm Headquarters	No. of Employees
Third Rock Consultants	Review of plans involving streams	Lexington	26

3 Project Team—DOE Manual Compliance

Construction Drawings Review for DOE Manual Compliance



Project Team

Richard Walker, P.E., CFM, will be the project manager and has an in-depth knowledge of the DOE Engineering Manuals. He was project manager for the development of the original manuals in 2001 and the updates in 2005, 2009, and 2011. He is the primary author of the Stormwater Manual and is currently working with DOE staff on updating the Stormwater Manual and Procedures Manual. In addition, he is LFUCG's stormwater program manager for the EPA Consent Decree.

Herb Lemaster, P.E., has a diverse background in general civil engineering, including substantial experience in QA/QC review of design drawings for sanitary sewers, storm sewers, geotechnical, and roadways. His experience on Lexington projects has given him a working knowledge of the Stormwater, Sanitary Sewer, Roadway, and Geotechnical Manuals.

Jennifer Carey, P.E., is the project engineer for LFUCG's stormwater program management. She has a long history of working with LFUCG staff on stormwater issues and is familiar with the requirements of the Stormwater Manual.

Chris Diehl, P.E., has substantial experience in hydrology and hydraulics and in in-depth knowledge of stormwater modeling. He has worked on several stormwater projects in Lexington.

Mark Ralph, P.E., is a senior engineer with substantial experience in QA/QC review of sanitary sewer design projects, including pump stations.

Chris Coleman, P.E., is a senior structural engineer with diverse experience in municipal projects and QA/QC review of structural design drawings.

Third Rock Consultants — Third Rock Consultants is a woman-owned environmental consulting firm with specialized experience in 404 permitting and stream mitigation.

Following are resumes of the key staff for Tetra Tech.



Richard W. Walker, P.E., CFM
Vice President

Mr. Walker has extensive experience in civil and water resources engineering. His projects have included program management for consent decrees, floodplain analyses, watershed master plans, stormwater utilities, and stormwater Phase I and Phase II permit implementation.

EXPERIENCE

Engineering Manuals for New Development, Lexington, Kentucky, 2001–Present — Mr. Walker was the project manager for the development of the engineering manuals for the Lexington-Fayette Urban County Government in 2001. The work included obtaining input from elected officials, government agencies (planning, law, and engineering), developers, citizen groups, and the engineering community. Mr. Walker coordinated the work of four consultants who wrote the Roadway, Geotechnical, Structures, Sanitary Sewer, and Construction Inspection manuals. Mr. Walker was the primary author of the Procedures Manual, which describes the role of the Developer, Engineer, and the government in the development process, beginning with the submission of construction plans and extending through home building.

USEPA Consent Decree Assistance, Lexington, Kentucky, Ongoing — Mr. Walker is the program manager for the Federal Consent Decree for Lexington, Kentucky, the first Consent Decree in the nation that addresses both sanitary sewer and stormwater violations of the Clean Water Act. Mr. Walker is responsible for QA/QC of all deliverables required by the Consent Decree and for ensuring they are submitted to EPA ahead of schedule. He is also responsible for assisting the city with implementing the Stormwater Quality Management Program (SWQMP) that is part of the Consent Decree. The SWQMP, developed by Tetra Tech, is a comprehensive program for complying with the EPA Phase I Stormwater regulations and addresses public education/involvement, watershed management, illicit discharges, construction site runoff, industrial facilities, high risk commercial facilities, municipal operations, residential/commercial development, water quality monitoring, and recordkeeping.

Stormwater Manual, Lexington, Kentucky, 2001–Present—Mr. Walker was the primary author of the Stormwater Manual. The manual contains requirements for stormwater management, floodplain management, stream buffers, flood control, and water quality. Options for controlling stormwater runoff from new development include bioretention systems, swales, infiltration basins, and detention ponds.

Stormwater Utility and Master Drainage Plan, Hopkinsville, Kentucky, 2007—Mr. Walker prepared a stormwater master drainage plan for the city in 2007 that identified projects to address river flooding and surface drainage problems with a total construction cost of approximately \$22M. In addition, he helped the city implement a stormwater utility to generate approximately \$1M in annual revenues.

Kentucky BMP Planning and Specifications Manual, 2006—Mr. Walker was co-author of the manual entitled *KY Best Management Practices (BMPs) for Controlling Erosion, Sediment, and Pollutant Runoff from Construction Sites*. The Manual includes sections on regulatory considerations; guidance for developing a BMP Plan; and technical specifications for site preparation, soil stabilization, slope protection, drainage system controls, sediment basins, stream and wetland protection, and good housekeeping.

Detention Basin Survey and Evaluation, Lexington, Kentucky, 2001—Mr. Walker evaluated approximately 50 detention ponds and permanent pool retention ponds in Fayette County. The project involved reviewing the plat of each basin, conducting a field investigation, identifying maintenance problems, and preparing a cost estimate to repair them. He then helped the government develop a comprehensive maintenance program for basins that involved a cooperative arrangement between the government and the owner of the basin.

Education:

Master of Civil Engineering (Water Resources), University of Kentucky, 1989

B.S. Agricultural Engineering, University of Kentucky, 1982

Registrations/Certifications:

Professional Engineer, Kentucky, 1988, No. 15345

Professional Engineer, Ohio, 2013, No. 77599

Certified Floodplain Manager, 2011

Professional Affiliations:

Kentucky Society of Professional Engineers

Office:

Lexington, Kentucky

Years of Experience:

30 (Since 1983)

Years with Tetra Tech:

22 (Since 1991)



Herbert R. Lemaster, P.E.
Project Manager

Mr. Lemaster serves as a Project Manager and Senior Engineer on various civil and environmental projects. He is responsible for analysis and design, writing specifications, developing contract documents and cost estimates, preparation of construction drawings, construction administration, and construction engineering. Mr. Lemaster has worked on many solid waste landfill, water, wastewater, and environmental projects.

His wastewater-related projects include rehabilitation evaluations of wastewater collection systems, capacity studies, design of gravity sewer systems, pump station design, and wastewater treatment plant design.

His solid waste landfill projects include design of sedimentation ponds, landfill liners and caps, leachate collection and storage facilities, gas removal and venting systems, modeling leachate production, and general site layout.

Other projects completed by Mr. Lemaster include designing earth retaining structures, groundwater removal systems, stormwater retention basins, evaluations of stormwater facilities, stormwater modeling, and environmental compliance.

EXPERIENCE

Walhampton Stormwater Improvements, Lexington, Kentucky, 2013-2014 - Project Manager for storm sewer replacement and detention basin design to reduce flooding in the Walhampton subdivision.

University of Kentucky (UK) Western KY 4-H Camp Pump Station and Force Main, Hopkins County, Kentucky, 2010-2011 - Project Manager and Senior Engineer on this design and construction administration services project. The project includes approximately 4,500 feet of 4-inch force main, 2,500 feet of 8-inch gravity sewer, and a pump station with dual 20 HP pumps that will be installed to eliminate two existing package treatment plants and pump the wastewater to a municipal system.

US 25 North Sewer System Expansion – Berea, KY, 2007-2008 - Mr. Lemaster was the Project Manager and Design Engineer on the design and construction of this sewer system expansion. The major components of this project included approximately 7,890 feet of 8-, 10-, 12-, and 15-inch gravity sewer; 9,010 feet of 10-inch force main; and 9,010 feet of 12-inch force main.

Blue Grass Airport, Taxiway “D” Expansion, 2008-2009 - Project manager and Senior Engineer on design and construction services to provide additional ramp area for the anticipated five to ten times the number of itinerant aircraft parking requirements during the 2010 Alltech FEI World Equestrian Games. Project components included: coordination/relocation of existing airport tenants, demolition of four hangars, utilities relocation, demolition of 56,500 square yards (SY) of pavement, and construction of approximately 69,000 SY of taxiway and ramp pavement. Project budget was approximately \$10 million, assisting in design and construction administration.

Richmond Landfill Leachate Force Main, Commonwealth of Kentucky Finance and Administration Cabinet, Madison County, Kentucky, 2010 - Senior Engineer on this design and construction administration services project. The major components of this project included approximately 27,000 feet of 6-inch force installed by directional drilling and open cut, a chemical feed building and potassium permanganate feed system, and a pump station with dual 50 HP pumps that were installed to eliminate the bulk truck hauling of leachate through local neighborhoods and pump the wastewater to a municipal treatment system.

Education:

M.S., Civil Engineering (Environmental), University of Kentucky, 1992

B.S., Civil Engineering, University of Kentucky, 1990

Associate of Science, Prestonsburg Community College, 1988

Registrations/Certifications:

Professional Engineer, Kentucky, 1996, No. 19309
Ohio, 2012, No. 77200

Land Surveyor-in-Training, Kentucky, No. 1232

Troxler Nuclear Gauge Certification No. 093841

Professional Affiliations:

Member, National Society of Professional Engineers

Member, Kentucky Society of Professional Engineers

Office:

Lexington, Kentucky

Years of Experience:

Twenty-Three (Since 1990)

Years with Tetra Tech:

Twenty-One (Since 1992)



Jennifer Carey, P.E.

Water Resources Engineer

Ms. Carey's expertise is in stormwater and surface water quality and management. She has extensive experience with water-related permits and permitting entities, including NPDES/KPDES permitting, the U.S. Army Corps of Engineers 404 permitting, and the Kentucky Division of Water's Floodplain Branch and Water Quality Certification Section permits. She has conducted surface water hydrologic and hydraulic modeling using HEC-1, HEC-HMS, HEC-2, HEC-RAS, and SWMM. Ms. Carey has also worked on natural channel design projects and streambank stabilization projects.

EXPERIENCE

EPA Consent Decree, Program Management, Lexington, Kentucky, 2008–present – Ms. Carey is providing program management services to the Lexington-Fayette Urban County Government for the implementation of their Consent Decree that addresses sanitary sewer and stormwater violations of the Clean Water Act. Tetra Tech is responsible for QA/QC of all required deliverables and for ensuring they are submitted to EPA and KY EEC ahead of schedule. Ms. Carey is working closely with LFUCG Division of Water Quality staff to implement the Stormwater Quality Management Program (SWQMP) that is part of the Consent Decree and KPDES MS4 Permit. Included in the implementation of the SWQMP is developing the programs related to public education/involvement, watershed management, illicit discharges, construction site runoff, industrial facilities, high-risk commercial facilities, municipal operations, residential/commercial development, water quality monitoring, and recordkeeping. Ms. Carey is responsible for compiling all quarterly reports and annual reports required by the Consent Decree and MS4 Permit.

Expansion Area 2 (EA2) Stormwater Master Plan, Lexington-Fayette Urban County Government, Lexington, Kentucky, 1997-2003 – Tetra Tech developed a stormwater master plan for 3,000 acres of land slated for new development, called the Expansion Area, in Fayette County. Ms. Carey completed floodplain modeling of the watersheds in EA2 using HEC-2 and she supported the implementation of the stormwater master plan by updating and analyzing different scenarios using the SWMM models built by Tetra Tech.

FEMA Conditional Letter of Map Revision (CLOMR), Lexington-Fayette County Urban County Government, Lexington, Kentucky, 2005 - 2006 – As part of an application to obtain FEMA funding for a flood mitigation project in the Vaughn's Branch watershed in Lexington, Kentucky, Ms. Carey prepared a FEMA CLOMR application. This application included hydrologic and hydraulic modeling using Visual HEC-1 and HEC-RAS and the preparation of new mapping using HEC-GeoRAS.

FEMA Floodplain Map Revision, Lexmark, Lexington, Kentucky, 1999 - 2003 – As a result of a major facilities expansion at this large industrial site, Ms. Carey obtained stream construction permits for a new R&D building, a pedestrian/utility bridge, and a new roadway that were located along a tributary of Cane Run Creek. Ms. Carey also prepared a FEMA Letter of Map Revision application that included developing a hydrologic and hydraulic model for the site using Visual HEC-1 and HEC-RAS, conducting a floodplain analysis, and obtaining necessary approvals from state and local government.

Lexmark Childcare Building, Lexington, Kentucky, 2013 – Ms. Carey was the project engineer for the design of stormwater controls for a new building on the Lexmark property for compliance with the LFUCG Stormwater Manual.

Education:

M.S., Civil Engineering,
University of Kentucky, 1998

B.S., Civil Engineering,
University of Kentucky, 1996

B.A., Biology, Transylvania
University, 1994

Registrations/Certifications:

Professional Engineer
Kentucky, 2001, No. 21743

Professional Affiliations:

Member, Kentucky Society of
Professional Engineers

Member, National Society of
Professional Engineers

Office:

Lexington, Kentucky

Years of Experience:

20 (Since 1991)

Years with Tetra Tech:

20 (Since 1991)



TETRA TECH

Christopher Thomas Diehl, PE
Civil Engineer

Mr. Diehl has worked on sanitary sewer rehabilitation projects, hydrologic/hydraulic modeling projects and civil site design projects. He has experience in data collection, site inspection, data analysis, pipe system capacity analysis, modeling sewer systems and open channels, sanitary sewer design, water line design, roadway, and grading design. He is experienced in using hydrologic/hydraulic modeling software and GIS software, including HEC-HMS, HEC-RAS, HEC-GeoRAS, XP-SWMM, InfoSWMM, InfoWorks, AutoCAD Civil 3D, and ArcGIS. He has experience in floodplain and floodway modeling, mapping, and permitting projects around Kentucky and southern Indiana.

EXPERIENCE

Danby Corners Federal Emergency Management Agency Letter of Map Revision, Lexington Fayette Urban County Government, Lexington, Kentucky, 2010 – This project consisted of performing a detailed flood study of the unnamed tributary of the I-75 Tributary. The primary objective of this project was to develop a more accurate delineation of the 100-year floodplain within the Danby Corners subdivision located in the City of Lexington. An LOMR application was prepared and submitted to FEMA based on updated hydrology, hydraulics, and topology. Bentley's Pond Pack Version 10.0 was used to perform hydrologic computations and HEC-RAS Version 3.1.2 was used to perform hydraulic computations.

Vaughn's Branch, Lexington-Fayette Urban County Government, Lexington, Kentucky, 2010 – The main purpose of this project was to reduce the amount of flooding that occurred along Vaughn's Branch by constructing a detention basin, widening existing culverts, and removing sedimentation and debris from the stream. This project consisted of producing the pre- and post-project conditions hydraulic model to show the overall flood reduction along the urban blue-line stream. The hydraulic modeling was performed using HEC-RAS Version 3.1.2.

Walhampton Stormwater Improvements, Lexington-Fayette Urban County Government, 2013 – Conducted the hydrologic and hydraulic modeling necessary to design the stormwater improvements, including a detention basin and larger storm sewers.

Bryant Tributary, Lexington-Fayette Urban County Government, Lexington, Kentucky, 2006 – This project consisted of completing a detailed hydrologic and hydraulic models and creating a Digital Flood Insurance Rate Map of the Bryant Tributary located in Lexington. A detailed study was performed using HEC-RAS and XP-SWMM software in accordance with the specifications outlined in Federal Emergency Management Agency's Map Modernization program.

Oldham County Economic Development Authority (OCEDA) Economic Development Campus Floodplain Analysis, LaGrange, Kentucky, 2007 – This project consisted of creating a hydrologic/hydraulic model of the blue line stream on the approximately 1,000 acre site and a digital floodplain map using HEC-RAS V3.1.2 along with HEC-GeoRAS. This model was then used to determine the 100-year Base Flood Elevation (BFE) and the extent of the 100-year floodplain. The results of the model were used as supporting data for the Low Impact Development (LID) Stormwater Management Report produced by Tetra Tech.

Education:

M.Eng., Civil Engineering,
University of Louisville, 2004

B.S., Civil Engineering,
University of Louisville Speed
Scientific School, Louisville,
2003

Basic Good Laboratory
Practices Training, 2005

Atrazine Eco-Monitoring
Sampler Training, 2005

Erosion Control Plan
Development Process Training,
2005

InfoWorks Modeling Training,
2006

Registrations/Certifications:

Professional Engineer (Civil),
Kentucky, 2008, No. 26089

NASSCO PACP and MACP
Certification Number: U-210-
10180

Professional Affiliations:

Member, Kentucky Society of
Professional Engineers

Office:

Louisville, Kentucky

Years of Experience:

Since 2001

Years with Tetra Tech:

Since 2003

MARK RALPH, P.E., LEXINGTON—Mr. Ralph's 22 years of experience include planning, design, and construction management of water, wastewater, recycled water, and stormwater facilities. Projects include treatment facilities, pump stations, reservoirs, dam modifications, force mains, domestic and recycled water pipelines, and gravity sewers. His recent projects include:

- **Harrods Creek Interceptor and Force Mains/Timberlake & South Hunting Creek WWTPs Elimination, Louisville MSD**—Installation of 8,800 LF of 30-inch force main and 8,600 LF of 24–42-inch sanitary to depths of over 30 feet.
- **Columbia Parkway Sewer Separation and Ardmore Avenue Sewer Replacement, Cincinnati MSD**—Installation of 2,050 LF of 36-inch and 42-inch storm drains, 2,200 LF of 30-, 36-, and 42-inch combined sewer, and 1,000 LF of 30-inch sanitary sewer using jack-and-bore and open-cut construction.
- **Covered Bridge WWTP Elimination, Oldham County Environmental Authority**—Installed 5,180 LF of 12-inch, 2,210 LF of 8-inch, and 2,270 LF of 6-inch PVC C900 force main.

CHRIS COLEMAN, P.E., LOUISVILLE—Mr. Coleman is a senior structural engineer with more than 15 years of design experience in steel, concrete, masonry, and wood structures. His experience includes renovation work on historic structures, municipal, industrial, automotive, commercial, health care, government, civil works projects for the US Army Corps of Engineers, and multi-story structures in the high-seismic zones in the Central United States. He has also participated in facility assessments for municipal and chemical plants, forensic investigations related to structural failures, and inspections of civil works projects related to levee and flood protection systems. His recent projects include:

- **Lexington Arts and Science Center, Lexington, Kentucky, 2013 to present** – Engineer of Record for a building renovation and 11,000 square foot addition to the historic Kinkead Mansion. The renovation included removal of load bearing walls. The addition is a two story steel framed structure that includes a planetarium.
- **Detroit and Parkside Sanitary Sewer Overflow (SSO) Elimination, Toledo, Ohio, 2010 to 2012** – Structural engineer for a 3.4 MG and 8 MG in-ground reinforced concrete storage basin and associated pump stations that were constructed to eliminate sanitary sewer overflows .
- **Muhammad Ali Floodwall Investigation Project, Louisville, Kentucky, 2011** – Project Manager and Design Engineer for the analysis and investigation of a temporary floodgate foundation and wall system. The floodgate foundation was found to be in violation of current USACE standards. Project included the development of remediation options and a final design for bringing the structure into compliance with the current standards.

Support Staff

LAURA SHEERAN, EIT, LEXINGTON — Ms. Sheeran joined Tetra Tech in May 2013. Her skills include: RAM Structural System, STAAD.pro, AutoCAD, RAM Elements, C++, ArcGIS, Microsoft Office (Word, PowerPoint, and Excel). Her course work included: dynamics of structures, prestressed concrete, design of structural systems, slab & folded plate structures, advanced steel design, advanced structural analysis (matrix structural analysis), advanced reinforced concrete theory, intermediate structural analysis, reinforced concrete structures, steel structures, soils mechanics, control of construction projects, hydrology, construction health and safety, and construction project management.

ZACH WILDER, EIT, LEXINGTON — Mr. Wilder has experience in applications ranging from geotechnical engineering to water resources to GIS mapping. His projects include both design and field work, such as slope stability analyses using REAME2012 on compacted earth and landfill cover slopes; seismic analyses using SHAKE2000 to attain seismic accelerations from specified earthquake scenarios for use in slope stability analyses; analyses of Gabion wall earth retaining structure using GawacWin; and GIS-mapped identification of major stormwater outfalls in the Lexington Urban Service Area.

4 List of Clients for Which Similar Work Has Been Performed

Our team provided professional engineering services for the following clients.

Client	Similar Projects Completed
<p>Brad Frazier, P.E. LFUCG Director of the Division of Engineering 859-258-3410 bfrzier@lexingtonky.gov</p> <p>Charlie Martin, P.E. LFUCG Director of the Division of Water Quality 859-425-2400 chmartin@lexingtonky.gov</p> <p>Susan Plueger, P.E. LFUCG Director of the Division of Environmental Policy 859-425-2482 splueger@lexingtonky.gov</p> <p>Gregory S. Lubeck, P.E., CFM Stormwater Section Manager LFUCG Division of Water Quality (859) 258-3446 glubeck@lexingtonky.gov</p>	<ul style="list-style-type: none"> • Sugarmill/Vaughn's Branch Flood Mitigation • Walhampton Stormwater Improvements • Danby Corners FEMA Letter of Map Revision • Southland Drive Drainage Study • Program Manager for the Stormwater Consent Decree and MS4 Permit Compliance • Stormwater Manual • Expansion Area 2 Stormwater Master Plan • Stormwater Quality Management Program • North Elkhorn Hydrologic Model • Low Impact Development Guidelines • Detention Basin Maintenance Program • Engineering Manuals
<p>Mark Day, P.E. Deputy Director of Engineering and Maintenance Blue Grass Airport (859) 425-3152 mday@bluegrassairport.com</p>	<ul style="list-style-type: none"> • Blue Grass Airport – Taxiway D, Phase 1 – Stormwater Management Facilities • Blue Grass Airport – Taxiway D, Phase 2 – Stormwater Management Facilities
<p>Mr. Steve Bourne Hopkinsville Surface and Stormwater Utility (270) 887-4285 sbourne@comdev-services.com</p>	<ul style="list-style-type: none"> • Stormwater Master Drainage Plan • Edwards Mill Peak Flow Control Structure
<p>Ron Gruzesky, Director KY Division of Waste Management (502) 564-6716 ron.gruzesky@ky.gov</p>	<ul style="list-style-type: none"> • Raven Run Landfill Closure and Stormwater Facilities • Billy Glover Dump Site and Stormwater Facilities

5 List of Similar Projects

The following projects are ones worked on by the staff listed on the enclosed organization chart.

Project Name, Location	Completion Date	Services Provided / Project Description	Project Construction Cost
Updates to the Engineering Manuals in 2005, 2009, and 2011	Ongoing	Worked with DOE and DWQ staff to develop new technical standards, make text changes to the manuals, obtain stakeholder input, and publish the new documents.	N/A
EPA Consent Decree and MS4 Permit Compliance, LFUCG	Ongoing	Technical support to LFUCG staff, including review of stormwater management plans to assess compliance with the DOE Engineering Manuals. Assisted staff with developing the LID Guidelines. Currently developing a list of proposed changes to the Stormwater Manual.	N/A
Stormwater Low Impact Development Guidelines, LFUCG	2012	Assisted LFUCG Division of Water Quality staff with developing the technical manual.	N/A
Walhampton Stormwater Improvements, LFUCG	2013	Under contract to LFUCG, developed preliminary design documents for storm sewer replacement and a detention basin to reduce flooding in the Walhampton subdivision.	\$800,000
Danby Corners FEMA Letter of Map Revision (LOMR), LFUCG	2011	Conducted hydrologic (HEC-HMS) and hydraulic (HECRAS) modeling of the stormwater drainage system in the Danby Corners subdivision and submitted an application to FEMA for obtaining a Letter of Map Revision.	N/A
Sugarmill / Vaughn's Branch Flood Mitigation, LFUCG	2010	Design documents for demolition of four existing storm culverts, installation of four concrete clear span structures with wing walls, construction of a detention basin requiring 25,000 CY of excavation, replacing 630 feet of 8-inch sewer pipe, replacing 590 feet of 24-inch sewer pipe, and installing ten new manholes.	\$1,554,006
Taxiway "D" Relocation, Bluegras Airport, Lexington, KY	2010	Design documents for installation of storm and sanitary facilities as part of a larger sitework project.	\$700,000
Lexmark Childcare Center, Lexington, KY	2012	Design of stormwater controls for a new building on the Lexmark property.	Unknown
Harrods Creek Interceptor and Force Mains, Louisville MSD	2014	Design documents for 8,800 LF of 30-inch force main and 8,600 LF of 24-42-inch sanitary sewer to depths of 30 feet.	\$7,000,000 (est.)
Ardmore Avenue Sewer Replacement, Cincinnati, OH	2012	Design documents for the replacement of 1,000 LF of 30-inch sanitary sewer, 800 LF jack and bore, and 200 LF open cut.	\$1,860,000 (est.)

Project Name, Location	Completion Date	Services Provided / Project Description	Project Construction Cost
Juniper Hills Sanitary Sewer Rehabilitation, Frankfort, KY	2012	Design documents for Rehabilitation & Replacement of 1,100 LF 8-inch sanitary sewer and installation of 2,900 LF cured-in-place (CIPP) 8-inch sanitary sewer.	\$416,000
Covered Bridge WWTP Elimination, Oldham County, KY	2012	Design documents for 5,180 LF of 12-inch, 2,210 LF of 8-inch, and 2,270 LF of 6-inch PVC C900 force main.	\$500,000
Columbia Parkway Sewer Separation, Cincinnati, OH	2011	Design documents for sewer replacement and rehabilitation, including lining 2,200 LF of 30", 36", and 60" combined sewer and 2,050 LF of new 36" and 42" storm drain.	\$3,339,000
Campbellsburg to Carrollton Force Main Construction, Phase II Addition, Campbellsburg, KY	2011	Design documents for 400 feet of 16-inch steel casing bored under I-71 with a 3-inch, 4-inch, and 6-inch carrier pipe installed in the casing pipe.	\$225,000
4-H Camp Renovation, Dawson Springs, KY	2011	Design documents for 2,500 feet of 8-inch PVC sewer line, 12 new manholes, 4,500 feet of 4-inch PVC force main.	\$309,584
Clay County High School Site Development, Clay County, KY	2010	Design documents for an access road, parking area, and stormwater drainage facilities.	\$392,602
Richmond Landfill Leachate Force Main, Richmond, KY	2010	Design documents for 27,000 feet of 6-inch force main, 2,500 feet of 2-inch water line, and a duplex pump station with two 176 GPM pumps.	\$1,200,000
Detroit and Parkside Sanitary Sewer Overflow (SSO) Elimination, Toledo, Ohio	2012	In order to comply with a consent decree to eliminate the Detroit and Parkside SSO, a 3.4 MG and 8MG in-ground reinforced concrete storage basins and associated pump stations were designed.	\$11,000,000
Lexington Arts and Science Center, Lexington, Kentucky	2013	Engineer of Record for a building renovation and 11,000 square foot addition to the historic Kinkead Mansion. The renovation included removal of load bearing walls. The addition is a two story steel framed structure that includes a planetarium.	Unkown
Muhammad Ali Floodwall Investigation Project, Louisville, Kentucky	2011	Project Manager and Design Engineer for the analysis and investigation of a temporary floodgate foundation and wall system. Project included the development of remediation options and a final design for bringing the structure into compliance with the current standards.	Unknown

6 Local Office

Prime Consultant	Location (City, State)	Date Office Established	Total No. of Employees	No. of Employees Expected to Work on DWQ Projects
Headquarters	Lexington, KY*	1999	32	6
Local Office	Lexington, KY	1999	32	6
PM Location	Lexington, KY			
Subconsultants				
Third Rock Consultants	<i>Environmental</i>			
Headquarters	Lexington, KY	2000	26	2
Local Office	Lexington, KY	2000	26	2

- * The Lexington office of Tetra Tech meets the definition of “headquarters” as defined in the RFQ (see the definition below). The Lexington office contains technical staff such as project managers, project engineers, CAD, and GIS technicians. In addition, the Lexington office contains project support staff for other offices in the region, including accounting, human resources, information technology, operations, and marketing. The corporate executive office of Tetra Tech is in Pasadena, CA; however, it provides no direct project support to the Lexington office.

Definition of Headquarters from the RFQ: “Headquarters” refers to the corporate office that provides project support to the local office, if applicable.

Estimated Percent of Work Performed in Local Offices

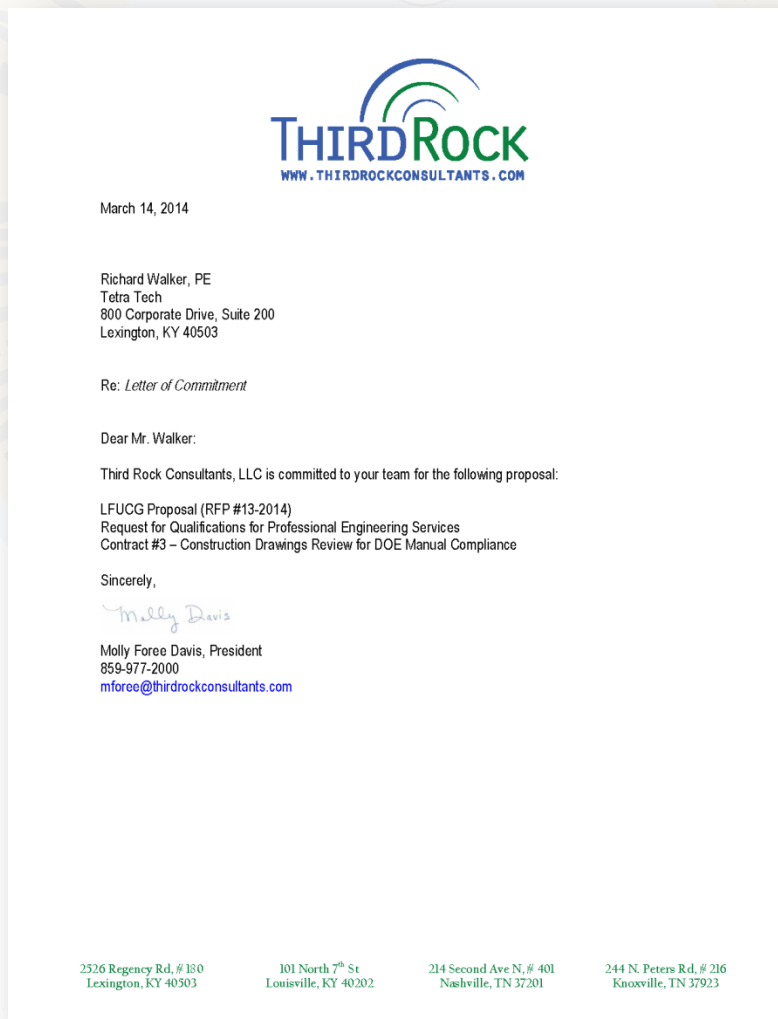
The estimated percent of work to be performed by staff in local offices is 95%.

7 Disadvantaged Business Enterprise Involvement

Tetra Tech understands the importance of MBE/WBE goals and is committed to providing meaningful women and minority participation at levels desired by LFUCG. Our track record on similar efforts demonstrates our commitment to, and success in, achieving or exceeding project-specific goals. For example, on our current stormwater program management contract, DBEs have performed over 30% of the work.

The following table outlines the WBE Tetra Tech plans to use on this contract so as to meet or exceed the 10% participation goal set forth by LFUCG for this work:

Firm	Local Address	Scope to Provide	MBE/WBE Designation
Third Rock Consultants (TRC)	2526 Regency Road, Suite 180 Lexington, KY	Review of plans involving streams	WBE



AFFIDAVIT

Comes the Affiant, Richard W. Walker, P.E., and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Richard W. Walker, P.E. and he/she is the individual submitting the proposal or is the authorized representative of Tetra Tech, Inc., the entity submitting the proposal (hereinafter referred to as "Proposer").
2. Proposer will pay all taxes and fees, which are owed to the Lexington-Fayette Urban County Government at the time the proposal is submitted, prior to award of the contract and will maintain a "current" status in regard to those taxes and fees during the life of the contract.
3. Proposer will obtain a Lexington-Fayette Urban County Government business license, if applicable, prior to award of the contract.
4. Proposer has authorized the Division of Central Purchasing to verify the above-mentioned information with the Division of Revenue and to disclose to the Urban County Council that taxes and/or fees are delinquent or that a business license has not been obtained.
5. Proposer has not knowingly violated any provision of the campaign finance laws of the Commonwealth of Kentucky within the past five (5) years and the award of a contract to the Proposer will not violate any provision of the campaign finance laws of the Commonwealth.
6. Proposer has not knowingly violated any provision of Chapter 25 of the Lexington-Fayette Urban County Government Code of Ordinances, known as "Ethics Act."

Continued on next page

7. Proposer acknowledges that "knowingly" for purposes of this Affidavit means, with respect to conduct or to circumstances described by a statute or ordinance defining an offense, that a person is aware or should have been aware that his conduct is of that nature or that the circumstance exists.

Further, Affiant sayeth naught.

Richard W. Walker

STATE OF Kentucky

COUNTY OF Fayette

The foregoing instrument was subscribed, sworn to and acknowledged before me
by Richard W. Walker on this the 21st day
of March, 2014

My Commission expires: MY COMMISSION EXPIRES MAY 22, 2016

Mary Z. Mout
NOTARY PUBLIC, STATE AT LARGE **Notary ID# 467108**

EQUAL OPPORTUNITY AGREEMENT

The Law

- Title VII of the Civil Rights Act of 1964 (amended 1972) states that it is unlawful for an employer to discriminate in employment because of race, color, religion, sex, age (40-70 years) or national origin.
- Executive Order No. 11246 on Nondiscrimination under Federal contract prohibits employment discrimination by contractor and sub-contractor doing business with the Federal Government or recipients of Federal funds. This order was later amended by Executive Order No. 11375 to prohibit discrimination on the basis of sex.
- Section 503 of the Rehabilitation Act of 1973 states:

The Contractor will not discriminate against any employee or applicant for employment because of physical or mental handicap.

- Section 2012 of the Vietnam Era Veterans Readjustment Act of 1973 requires Affirmative Action on behalf of disabled veterans and veterans of the Vietnam Era by contractors having Federal contracts.
- Section 206(A) of Executive Order 12086, Consolidation of Contract Compliance Functions for Equal Employment Opportunity, states:

The Secretary of Labor may investigate the employment practices of any Government contractor or sub-contractor to determine whether or not the contractual provisions specified in Section 202 of this order have been violated.

The Lexington-Fayette Urban County Government practices Equal Opportunity in recruiting, hiring and promoting. It is the Government's intent to affirmatively provide employment opportunities for those individuals who have previously not been allowed to enter into the mainstream of society. Because of its importance to the local Government, this policy carries the full endorsement of the Mayor, Commissioners, Directors and all supervisory personnel. In following this commitment to Equal Employment Opportunity and because the Government is the benefactor of the Federal funds, it is both against the Urban County Government policy and illegal for the Government to let contracts to companies which knowingly or unknowingly practice discrimination in their employment practices. Violation of the above mentioned ordinances may cause a contract to be canceled and the contractors may be declared ineligible for future consideration.

Please sign this statement in the appropriate space acknowledging that you have read and understand the provisions contained herein. Return this document as part of your application packet.

Bidders

I/We agree to comply with the Civil Rights Laws listed above that govern employment rights of minorities, women, Vietnam veterans, handicapped and aged persons.

Richard W. Walker
Signature

Tetra Tech, Inc.
Name of Business

Company Totals (U.S Offices)

TETRA TECH, INC	TOTAL	M					F					MALES					FEMALES								
		Employees	Male	Female	Minority	H	H	W	B	NHPI	A	NA	2	W	B	NHPI	A	NA	2	W	B	NHPI	A	NA	2
GRAND TOTAL																									
Exec/Sr Officials & M	292	260	32	29	3	0	232	4	0	18	1	2	31	1	0	0	0	0	0	0	0	0	0	0	0
Firs/Mid Officials & M	1200	902	298	157	27	10	790	27	1	48	2	7	253	9	0	20	3	3	3	3	3	3	3	3	3
Professionals	4206	2703	1503	836	118	95	2221	110	7	195	13	35	1149	89	3	135	6	26	26	26	26	26	26	26	26
Technical	943	805	138	284	110	11	552	51	0	75	7	10	107	5	0	11	0	4	4	4	4	4	4	4	4
Sales Workers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Office & Clerical	564	135	529	218	15	64	94	13	1	6	1	5	352	66	1	25	8	13	13	13	13	13	13	13	13
Craft Workers (skilled)	162	168	4	63	35	0	106	3	0	9	5	0	3	1	0	0	0	0	0	0	0	0	0	0	0
Craft Workers (Semi-s	551	535	16	139	92	0	396	18	2	1	17	9	16	0	0	0	0	0	0	0	0	0	0	0	0
Laborers (unskilled)	508	489	19	243	171	9	280	19	0	24	10	5	5	1	0	4	0	0	0	0	0	0	0	0	0
Service Workers	14	10	4	2	0	0	9	1	0	0	0	0	3	1	0	0	0	0	0	0	0	0	0	0	0
GRAND TOTAL	8540	5997	2543	1961	571	189	4660	246	11	380	56	73	1919	173	4	195	17	46	46	46	46	46	46	46	46
PERCENTAGE	100.0%	70.2%	29.8%	23.0%	6.7%	2.2%	54.6%	2.9%	0.1%	4.4%	0.7%	0.9%	22.5%	2.0%	0.0%	2.3%	0.2%	0.5%	0.5%	0.5%	0.5%	0.5%	0.5%	0.5%	0.5%

Prepared by: Janet Bruner | Human Resources Manager
 Tetra Tech, Inc. | janet.brunner@tetrattech.com
 Name & Title

Firm Submitting Proposal: Tetra Tech, Inc.

Complete Address: 800 Corporate Drive, Suite 200, Lexington, KY 40503
Street City Zip

Contact Name: Richard W. Walker, P.E. Title: Vice President

Telephone Number: (859) 223-8000 Fax Number: (859) 224-1025

Email address: richard.walker@tetrattech.com



LFUCG MWDBE PARTICIPATION FORM
 Bid/RFP/Quote Reference # 13-2014

The MWDBE subcontractors listed have agreed to participate on this Bid/RFP/Quote. If any substitution is made or the total value of the work is changed prior to or after the job is in progress, it is understood that those substitutions must be submitted to Central Purchasing for approval immediately.

MWDBE Company, Name, Address, Phone, Email	Work to be Performed	Total Dollar Value of the Work	% Value of Total Contract
1.			
2.			
3.	Tetra Tech will meet or exceed LFUCG's goal of 10% MBE/WBE participation for its contracts with the City of Lexington.		
4.			

The undersigned company representative submits the above list of MWDBE firms to be used in accomplishing the work contained in this Bid/RFP/Quote. Any misrepresentation may result in the termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and false claims.

Tetra Tech, Inc.
 Company
3/10/2014
 Date

Richard W. Walker, P.E.
 Company Representative
Vice President
 Title



LFUCG MWDBE SUBSTITUTION FORM
Bid/RFP/Quote Reference # 13-2014

The substituted MWDBE subcontractors listed below have agreed to participate on this Bid/RFP/Quote. These substitutions were made prior to or after the job was in progress. These substitutions were made for reasons stated below and are now being submitted to Central Purchasing for approval. By the authorized signature of a representative of our company, we understand that this information will be entered into our file for this project.

SUBSTITUTED MWDBE Company Name, Address, Phone, Email	MWDBE Formally Contracted/ Name, Address, Phone, Email	Work to Be Performed	Reason for the Substitution	Total Dollar Value of the Work	% Value of Total Contract
1.					
2.					
3.		N/A			
4.					

The undersigned acknowledges that any misrepresentation may result in termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and false claims.

Tetra Tech, Inc.
 Company
3/10/2014
 Date

Richard W. Walker, P.E.
 Company Representative
Vice President
 Title



MWDBE QUOTE SUMMARY FORM

Bid/RFP/Quote Reference # 13-2014

The undersigned acknowledges that the minority subcontractors listed on this form did submit a quote to participate on this project.

Company Name	Contact Person
Address/Phone/Email	Bid Package / Bid Date

MWDBE Company Address	Contact Person	Contact Information (work phone, Email, cell)	Date Contacted	Services to be performed	Method of Communication (email, phone meeting, ad, event etc)	Total dollars \$\$ Do Not Leave Blank (Attach Documentation)	MBE * AA HA AS NA Female
N/A							

(MBE designation / AA=African American / HA= Hispanic American/AS = Asian American/Pacific Islander/ NA= Native American)

The undersigned acknowledges that all information is accurate. Any misrepresentation may result in termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and claims.

Tetra Tech, Inc.
Company

Richard W. Walker, P.E.
Company Representative

3/10/2014
Date

Vice President
Title



LFUCG SUBCONTRACTOR MONTHLY PAYMENT REPORT

The LFUCG has a 10% goal plan adopted by city council to increase the participation of minority and women owned businesses in the procurement process. In order to measure that goal LFUCG will track spending with MWDBE vendors on a monthly basis. By the signature below of an authorized company representative, you certify that the information is correct, and that each of the representations set forth below is true. Any misrepresentation may result in termination of the contract and/or prosecution under applicable Federal and State laws concerning false statements and false claims. Please submit this form monthly to the Division of Central Purchasing/ 200 East Main Street / Room 338 / Lexington, KY 40507.

Bid/RFP/Quote # 13-2014

Total Contract Amount Awarded to Prime Contractor for this Project _____

Project Name/ Contract #	Work Period/ From: _____ To: _____
Company Name:	Address:
Federal Tax ID:	Contact Person:

Subcontractor Vendor ID (name, address, phone, email)	Description of Work	Total Subcontract Amount	% of Total Contract Awarded to Prime for this Project	Total Amount Paid for this Period	Purchase Order number for subcontractor work (please attach PO)	Scheduled Project Start Date	Scheduled Project End Date
N/A							

By the signature below of an authorized company representative, you certify that the information is correct, and that each of the representations set forth below is true. Any misrepresentations may result in the termination of the contract and/or prosecution under applicable Federal and State laws concerning false statements and false claims.

Company

Company Representative

Date

Title

LFUCG STATEMENT OF GOOD FAITH EFFORTS
Bid/RFP/Quote # 13-2014

By the signature below of an authorized company representative, we certify that we have utilized the following Good Faith Efforts to obtain the maximum participation by MWDBE business enterprises on the project and can supply the appropriate documentation.

- _____ Advertised opportunities to participate in the contract in at least two (2) publications of general circulation media; trade and professional association publications; small and minority business or trade publications; and publications or trades targeting minority, women and disadvantaged businesses not less than fifteen (15) days prior to the deadline for submission of bids to allow MWDBE firms to participate.
- _____ Included documentation of advertising in the above publications with the bidders good faith efforts package
- _____ Attended LFUCG Central Purchasing Economic Inclusion Outreach event
- _____ Attended pre-bid meetings that were scheduled by LFUCG to inform MWDBEs of subcontracting opportunities
- _____ Sponsored Economic Inclusion event to provide networking opportunities for prime contractors and MWDBE firms
- _____ Requested a list of MWDBE subcontractors or suppliers from LFUCG Economic Engine and showed evidence of contacting the companies on the list(s).
- _____ Contacted organizations that work with MWDBE companies for assistance in finding certified MWBDE firms to work on this project. Those contacted and their responses should be a part of the bidder's good faith efforts documentation.
- _____ Sent written notices, by certified mail, email or facsimile, to qualified, certified MWDBEs soliciting their participation in the contract not less than seven (7) days prior to the deadline for submission of bids to allow them to participate effectively.
- _____ Followed up initial solicitations by contacting MWDBEs to determine their level of interest.
- _____ Provided the interested MWBDE firm with adequate and timely information about the plans, specifications, and requirements of the contract.
- _____ Selected portions of the work to be performed by MWDBE firms in order to increase the likelihood of meeting the contract goals. This includes, where appropriate, breaking out contract work items into economically feasible

units to facilitate MWDBE participation, even when the prime contractor may otherwise perform these work items with its own workforce

_____ Negotiated in good faith with interested MWDBE firms not rejecting them as unqualified without sound reasons based on a thorough investigation of their capabilities. Any rejection should be so noted in writing with a description as to why an agreement could not be reached.

_____ Included documentation of quotations received from interested MWDBE firms which were not used due to uncompetitive pricing or were rejected as unacceptable and/or copies of responses from firms indicating that they would not be submitting a bid.

_____ Bidder has to submit sound reasons why the quotations were considered unacceptable. The fact that the bidder has the ability and/or desire to perform the contract work with its own forces will not be considered a sound reason for rejecting a MWDBE quote. Nothing in this provision shall be construed to require the bidder to accept unreasonable quotes in order to satisfy MWDBE goals.

_____ Made an effort to offer assistance to or refer interested MWDBE firms to obtain the necessary equipment, supplies, materials, insurance and/or bonding to satisfy the work requirements of the bid proposal

_____ Made efforts to expand the search for MWBE firms beyond the usual geographic boundaries.

X _____ Other - any other evidence that the bidder submits which may show that the bidder has made reasonable good faith efforts to include MWDBE participation.

Direct contact with MBE/WBE firms

Failure to submit any of the documentation requested in this section may be cause for rejection of bid. Bidders may include any other documentation deemed relevant to this requirement. Documentation of Good Faith Efforts are to be submitted with the Bid, if the participation Goal is not met.

The undersigned acknowledges that all information is accurate. Any misrepresentations may result in termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and claims.

Tetra Tech, Inc.

Company

Richard W. Walker, P.E.

Company Representative

3/10/2014

Date

Vice President

Title

GENERAL PROVISIONS

1. Each Respondent shall comply with all Federal, State & Local regulations concerning this type of service or good.

The Respondent agrees to comply with all statutes, rules, and regulations governing safe and healthful working conditions, including the Occupational Health and Safety Act of 1970, *29 U.S.C. 650 et. seq.*, as amended, and KRS Chapter 338. The Respondent also agrees to notify the LFUCG in writing immediately upon detection of any unsafe and/or unhealthful working conditions at the job site. The Respondent agrees to indemnify, defend and hold the LFUCG harmless from all penalties, fines or other expenses arising out of the alleged violation of said laws.

2. Failure to submit ALL forms and information required in this RFP may be grounds for disqualification.
3. Addenda: All addenda, if any, shall be considered in making the proposal, and such addenda shall be made a part of this RFP. Before submitting a proposal, it is incumbent upon each proposer to be informed as to whether any addenda have been issued, and the failure to cover in the bid any such addenda may result in disqualification of that proposal.
4. Proposal Reservations: LFUCG reserves the right to reject any or all proposals, to award in whole or part, and to waive minor immaterial defects in proposals. LFUCG may consider any alternative proposal that meets its basic needs.
5. Liability: LFUCG is not responsible for any cost incurred by a Respondent in the preparation of proposals.
6. Changes/Alterations: Respondent may change or withdraw a proposal at any time prior to the opening; however, no oral modifications will be allowed. Only letters, or other formal written requests for modifications or corrections of a previously submitted proposal which is addressed in the same manner as the proposal, and received by LFUCG prior to the scheduled closing time for receipt of proposals, will be accepted. The proposal, when opened, will then be corrected in accordance with such written request(s), provided that the written request is contained in a sealed envelope which is plainly marked "modifications of proposal".
7. Clarification of Submittal: LFUCG reserves the right to obtain clarification of any point in a bid or to obtain additional information from a Respondent.
8. Bribery Clause: By his/her signature on the bid, Respondent certifies that no employee of his/hers, any affiliate or Subcontractor, has bribed or attempted to bribe an officer or employee of the LFUCG.

9. **Additional Information:** While not necessary, the Respondent may include any product brochures, software documentation, sample reports, or other documentation that may assist LFUCG in better understanding and evaluating the Respondent's response. Additional documentation shall not serve as a substitute for other documentation which is required by this RFP to be submitted with the proposal,
10. **Ambiguity, Conflict or other Errors in RFP:** If a Respondent discovers any ambiguity, conflict, discrepancy, omission or other error in the RFP, it shall immediately notify LFUCG of such error in writing and request modification or clarification of the document if allowable by the LFUCG.
11. **Agreement to Bid Terms:** In submitting this proposal, the Respondent agrees that it has carefully examined the specifications and all provisions relating to the work to be done attached hereto and made part of this proposal. By acceptance of a Contract under this RFP, proposer states that it understands the meaning, intent and requirements of the RFP and agrees to the same. The successful Respondent shall warrant that it is familiar with and understands all provisions herein and shall warrant that it can comply with them. No additional compensation to Respondent shall be authorized for services or expenses reasonably covered under these provisions that the proposer omits from its Proposal.
12. **Cancellation:** If the services to be performed hereunder by the Respondent are not performed in an acceptable manner to the LFUCG, the LFUCG may cancel this contract for cause by providing written notice to the proposer, giving at least thirty (30) days notice of the proposed cancellation and the reasons for same. During that time period, the proposer may seek to bring the performance of services hereunder to a level that is acceptable to the LFUCG, and the LFUCG may rescind the cancellation if such action is in its best interest.

A. Termination for Cause

- (1) LFUCG may terminate a contract because of the contractor's failure to perform its contractual duties
- (2) If a contractor is determined to be in default, LFUCG shall notify the contractor of the determination in writing, and may include a specified date by which the contractor shall cure the identified deficiencies. LFUCG may proceed with termination if the contractor fails to cure the deficiencies within the specified time.
- (3) A default in performance by a contractor for which a contract may be terminated shall include, but shall not necessarily be limited to:
 - (a) Failure to perform the contract according to its terms,

- conditions and specifications;
- (b) Failure to make delivery within the time specified or according to a delivery schedule fixed by the contract;
 - (c) Late payment or nonpayment of bills for labor, materials, supplies, or equipment furnished in connection with a contract for construction services as evidenced by mechanics' liens filed pursuant to the provisions of KRS Chapter 376, or letters of indebtedness received from creditors by the purchasing agency;
 - (d) Failure to diligently advance the work under a contract for construction services;
 - (e) The filing of a bankruptcy petition by or against the contractor; or
 - (f) Actions that endanger the health, safety or welfare of the LFUCG or its citizens.

B. At Will Termination

Notwithstanding the above provisions, the LFUCG may terminate this contract at will in accordance with the law upon providing thirty (30) days written notice of that intent, Payment for services or goods received prior to termination shall be made by the LFUCG provided these goods or services were provided in a manner acceptable to the LFUCG. Payment for those goods and services shall not be unreasonably withheld.

- 13. **Assignment of Contract:** The contractor shall not assign or subcontract any portion of the Contract without the express written consent of LFUCG. Any purported assignment or subcontract in violation hereof shall be void. It is expressly acknowledged that LFUCG shall never be required or obligated to consent to any request for assignment or subcontract; and further that such refusal to consent can be for any or no reason, fully within the sole discretion of LFUCG.
- 14. **No Waiver:** No failure or delay by LFUCG in exercising any right, remedy, power or privilege hereunder, nor any single or partial exercise thereof, nor the exercise of any other right, remedy, power or privilege shall operate as a waiver hereof or thereof. No failure or delay by LFUCG in exercising any right, remedy, power or privilege under or in respect of this Contract shall affect the rights, remedies, powers or privileges of LFUCG hereunder or shall operate as a waiver thereof.
- 15. **Authority to do Business:** The Respondent must be a duly organized and authorized to do business under the laws of Kentucky. Respondent must be in good standing and have full legal capacity to provide the services specified under this Contract. The Respondent must have all necessary right and lawful authority to enter into this Contract for the full term hereof and that proper corporate or other action has been duly taken authorizing the Respondent to enter into this

Contract. The Respondent will provide LFUCG with a copy of a corporate resolution authorizing this action and a letter from an attorney confirming that the proposer is authorized to do business in the State of Kentucky if requested. All proposals must be signed by a duly authorized officer, agent or employee of the Respondent.

16. **Governing Law:** This Contract shall be governed by and construed in accordance with the laws of the Commonwealth of Kentucky. In the event of any proceedings regarding this Contract, the Parties agree that the venue shall be the Fayette County Circuit Court or the U.S. District Court for the Eastern District of Kentucky, Lexington Division. All parties expressly consent to personal jurisdiction and venue in such Court for the limited and sole purpose of proceedings relating to this Contract or any rights or obligations arising thereunder. Service of process may be accomplished by following the procedures prescribed by law.
17. **Ability to Meet Obligations:** Respondent affirmatively states that there are no actions, suits or proceedings of any kind pending against Respondent or, to the knowledge of the Respondent, threatened against the Respondent before or by any court, governmental body or agency or other tribunal or authority which would, if adversely determined, have a materially adverse effect on the authority or ability of Respondent to perform its obligations under this Contract, or which question the legality, validity or enforceability hereof or thereof.
18. Contractor understands and agrees that its employees, agents, or subcontractors are not employees of LFUCG for any purpose whatsoever. Contractor is an independent contractor at all times during the performance of the services specified.
19. If any term or provision of this Contract shall be found to be illegal or unenforceable, the remainder of the contract shall remain in full force and such term or provision shall be deemed stricken.

Richard W. Walker
Signature

3/10/2014
Date

Attachment 1

Project Team Location(s)

Prime Consultant	Location (City, State)	Date Office Established	Total Number of Employees	No. of Employees expected to work on DOE projects
Headquarters				
Local Office				
PM Location				
SubConsultants				
Name:				
Service Provided				
Headquarters				
Local Office				
Name:				
Service Provided				
Headquarters				
Local Office				
Name:				
Service Provided				
Headquarters				
Local Office				

Notes:

1. "Headquarters" refers to the corporate office that provides project support to the local office, if applicable. If support comes from multiple locations, use the blank spaces in the form to provide relevant information.
2. Listing of sub-consultants is optional and should only be provided if the prime consultant considers the sub-consultant(s) services to be essential to meeting the required qualifications. In this event, documentation from the subconsultant(s) shall be submitted in the SOQ that provides a commitment to be a part of the prime consultant's team in providing the stated services. In such cases, for the purpose of evaluating the proposals, committed sub-consultants will be considered to be part of the prime consultant's workforce. Prime consultants face potential disqualification from future work if DOE finds that the identified sub-consultants are not being utilized to deliver assigned work products.



Lexington-Fayette Urban County Government
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray
Mayor

William O'Mara
Commissioner

ADDENDUM #1

RFP Number: #13-2014

Date: March 3, 2014

Subject: Request for Qualifications for Professional Engineering Services

Please address inquiries to:
Theresa Maynard (859) 258-3320

TO ALL PROSPECTIVE BIDDERS:

Please be advised of the following clarifications to the above referenced RFP:

Paragraph two on page one should read as follows and agree with the date on the website:

"Sealed proposals will be received in the Division of Central Purchasing, Room 338, Government Center, 200 East Main Street, Lexington, KY, 40507, until **2:00 PM**, prevailing local time, on **March 26, 2014.**"

Paragraph one on page two should read as follows:

Deadline for questions after the Pre-proposal meeting shall be Tuesday, MARCH 12th, 2014 at 2:00 PM local time.

Todd Slatin, Director
Division of Central Purchasing

All other terms and conditions of the RFP and specifications are unchanged. This letter should be signed, attached to and become a part of your RFP.

COMPANY: Tetra Tech, Inc.

ADDRESS: 800 Corporate Drive, Suite 200, Lexington, KY 40503

SIGNATURE OF PROPOSER: Richard W. Walk



Lexington-Fayette Urban County Government
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray
Mayor

William O'Mara
Commissioner

ADDENDUM #2

RFP Number: #13-2014

Date: March 7, 2014

Subject: Request for Qualifications for Professional Engineering Services

Please address inquiries to:
Theresa Maynard (859) 258-3320

TO ALL PROSPECTIVE BIDDERS:

Please be advised of the following clarifications to the above referenced RFP:

Disregard Addendum #1 issued on this page earlier today, March 7, 2014. That addendum was for RFP #14-2014 Request for Qualifications – Supplemental Legal Services and posted to the page for RFP #13-2014 in error.

Todd Slatin, Director
Division of Central Purchasing

All other terms and conditions of the RFP and specifications are unchanged. This letter should be signed, attached to and become a part of your RFP.

COMPANY: Tetra Tech, Inc.

ADDRESS: 800 Corporate Drive, Suite 200, Lexington, KY 40503

SIGNATURE OF PROPOSER: Richard W. Walker



Lexington-Fayette Urban County Government
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray
Mayor

William O'Mara
Commissioner

ADDENDUM #3

RFP Number: **#13-2014**

Date: March 17, 2014

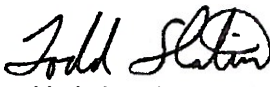
Subject: **Request for Qualifications for
Professional Engineering Services**

Please address inquiries to:
Theresa Maynard (859) 258-3320

TO ALL PROSPECTIVE BIDDERS:

Please be advised of the following clarifications to the above referenced RFP:

- Sign in sheets from March 10th, 2014 Pre-Proposal Meeting attached
- Questions and Answers attached


 Todd Slatin, Director
 Division of Central Purchasing

All other terms and conditions of the RFP and specifications are unchanged. This letter should be signed, attached to and become a part of your RFP.

COMPANY: Tetra Tech, Inc.

ADDRESS: 800 Corporate Drive, Suite 200, Lexington, KY 40503

SIGNATURE OF PROPOSER: Richard W. Walk

SIGN-IN SHEET

RFP #13-2014 Request for Qualifications for Professional Engineering Services
 March 10th, 10:00 am 101 E Vine St, Lexington KY 40507

Representative	Company Name	Phone #	Email Address
Theresa Maynard	LFUCG – Central Purchasing	258-3320	theresam@lexingtonky.gov
CHASE WRIGHT	STRAND	225-8500	chase.wright@strand.com
Mark Astin	strand	225-8500	Mark.Astin@strand.com
MICHAEL DAVIS	STRAND ASSOCIATES	225.8500	mike.davis@strand.com
Fred Eastridge	ECSI, LLC	233-2103	feastridge@engr-services.com
Arlen Sandlin	Parsons Brinckerhoff	245-3867	sandlin@pbworld.com
Paul WARSEN	THELEN ASSOCIATES	226-0761	PLWARSEN@thelensol.com
Laura Mize	Lockner	224-4476	LMize@hwlockner.com
ABBIE JONES	ABBIE JONES CONSULTING	859.559.3443	abbie@abbie-jones.com
Greg Isaacs	Palmer	859 389 9293	g.isaacs@palmer.net.com
Kevin Damron	Palmer	859.537.6677	kdamron@palmer.net.com
MIKE MERRIMAN	S&ME	859-293-5518	M.MERRIMAN@SMEINC.COM
Megan Kendall	Bell Engineering	859-278-5412	mkendall@hkbell.com
David Schrader	Bell Engineering	859-278-5412	dschrader@hkbell.com
JUSTIN ANDERSON	HDR ENGINEERING	859-583-5732	justin.anderson@hdrinc.com
Jihad Hallany	Vision Engineering	859-559-0516	Jhallany@visionengr.com
Ethan Buell	BFMJ, INC	859.278.5050	e.buell@bfmj.com
Nicole Povelich	BFMJ Structural Eng	859-278-5050	n.povelich@bfmj.com
BRAD FRAZIER	LFUCG ENG	859-258-3410	bfrazier@lexingtonky.gov
Jason Ainslie	L.F. Legregg	859-252-7558	jainslie@legregg.com
WALTER BOWMAN	W. Bowman Assoc.	859 619 0129	walthowman@twc.com

SIGN-IN SHEET

RFP #13-2014 Request for Qualifications for Professional Engineering Services
 March 10th, 10:00 am 101 E Vine St, Lexington KY 40507

Representative	Company Name	Phone #	Email Address
Theresa Maynard	LFUCG – Central Purchasing	258-3320	theresam@lexingtonky.gov
AL GROSS	EA PARTNERS	296.9889	agross@eapartners.com
Adam Cuare	Stanter	422-3084	adam.cuare@stantec.com
Glenn Hardin	STANTEC	233-2100	glenn.hardin@stantec.com
HARSHA WISESM	INTEGRATED ENGINEERING	859-351-9748	HARSHA@INT-ENGINEERING.COM
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Billy Grill	TEC Engineering Inc.	513-618-9372	bgrill@teceng.com
JAMES B EVANS	EVANS & ASSO	859 255597	JEVANS@JBELA
Michael K. Maggard	Sisler-Maggard Eng	859-271-2978	mike@sislermaggard.com
C. Lewis Dixon	CDP Engineers	859 264-7500	ldixon@cdpengineers.com
JASON HALE	CDP ENGINEERS	859 264-7500	JHALE@CDPENGINEERS.COM
Beth Workman	CARMAN 254-9803	859-258-2584	bworkman@carman-site.com
John Carman	CARMAN	254-9803	jcarman@carman-site.com
Marcie Mathews	DLZ, KY Inc.	502 695-2300	mmathews@dlz.com
Ted Malone	MSE	859 2235674	tomalony@mseky.com
Bob Bayert	LFUCG-Engineering	258-3441	bobbb@lexingtonky.gov

Questions for RFP #13-2014

Is it possible to expand somewhat on what each contract will entail. For example, contract 2 could be construed to merely entail negotiation and acquisition of properties which would not require professional engineering services. It could also be construed to require Professional surveying services. Please expand if possible.

ANSWER: At this point, the Contract descriptions must be general and fairly broad. But as an individual project is brought forward, a more detailed scope of required services will be developed for that project.

Is the proposal to be submitted as a single proposal or individual proposals for each contract?

ANSWER: The responses shall be a single proposal with a section for each Contract being responded to by the vendor, and clearly titled as a response to the Contract number, 1 through 8. Vendors may respond to one, some, or all Contract 1 through 8.

A listing acknowledging which of the Contract numbers the vendor's response contains shall be listed in the Table of Contents of the Vendor's Response.

If the SOQ is to be submitted as a single SOQ, should submit resumes in one tab/section for all the SOQ's or submit resumes for each individual Contract with the section covering that Contract.

ANSWER: If the vendor response contains sections for more than one of the Contracts number 1 through 8, they need to only include one set of resumes. The response for each individual Contract shall contain an organizational chart showing the individuals involved in that particular Contract response, and whose resume is included in the resume section of the total Response.

During the pre-proposal meeting, it was mentioned that regardless of the number of contracts you were requesting prequalification on, one document was to be submitted for all. Section 4 (page 4) of the RFQ states that each firm responding to this RFQ shall submit individual SOQ's for each project category for which they request to be prequalified. Are we to submit 1 document (with 1 master hardcopy, 7 duplicates and 1 electronic version) including information on all contracts prequalification is being requested on or are we to submit individual documents (with 1 master hardcopy, 7 duplicates and 1 electronic version) for each contract we are requesting prequalification on?

ANSWER: ONE document with sections for each contract you are responding to, with them listed in the Table of Contents. (see above)

If 1 document is to be submitted for all contracts prequalification is being requested on, are the page limits for contract specific information then multiplied by the number of contracts? For example, if we plan on submitting on 3 contracts, are we then allowed 3 pages for list of clients for which similar work has been performed in order to discuss 3 contracts or is it still a limit of 1 page? Does the same apply for qualifications for the specific type of contract, project team and list of similar projects?

ANSWER: It is still a limit of 1 page per contract response, and the same applies for qualifications, you may list the team on each section you're responding to, but you only need to submit the resumes once. (see above)

-
1. What forms are actually required for this qualifications package? Specifically:
 - a. If our firm meets the DBE goal with our subconsultant partner(s), are we still required to fill out the Good Faith Efforts form?
 - b. Are the MWDBE substitution, MWDBE quote summary form, or subcontractor monthly payment report needed for this proposal or are they documents that would be used once under contract/letter agreement? Please confirm whether these forms should be included with our qualifications package.

ANSWER: If the vendor meets the goals for the project, firms are still required to return the Good Faith Efforts form and check all the things they did to find MWBEs for the job. The Quote Summary Form is part of the documentation needed if the vendor does not meet the goals for the project. It is not a required form for submittals. The Substitution Form and the Monthly Payment Report are documents that will be used by the company selected to work on the project.

2. Do the one-page resumes count against the 6-page count in section 3 Project Team? May we include these resumes as an appendix?

ANSWER: If the organizational chart varies between Contracts, provide individual charts with each Contract section. The Project Team Section (No. 3) should be held to 6 pages maximum.

3. Please confirm how many copies are needed. Page 35 of the RFP PDF says "six (8)" (contradicts), while RFP PDF page 37 indicates a total resulting in 8.

ANSWER: Re: Page 35: There are a total of EIGHT contracts being solicited in this RFQ.

The Proposer must submit one (1) master (hardcopy), (1) electronic version in PDF format on a flashdrive or CD and seven (7) duplicates (hardcopies) of their proposal for evaluation purposes.

4. Is there a maximum letter agreement/assignment amount for projects released under this contract? In other words, is it possible that LFUCG will need to advertise some projects separately from these contracts that exceed a certain dollar amount?

ANSWER: No fee cap has been set for total project assignments to any single consultant, nor has a project dollar limit been set. However, we anticipate that projects of considerable size which will utilize federal funding will need to have separate, individual RFQ's. At the other extreme, in the case of a very small project with an anticipated small consulting fee (for instance say less than \$20,000), LFUCG reserves the right to simply offer the work to the firm at the top of the list rather than ask three firms to expend inordinate resources in working up bids.

CONFIDENTIAL

**AFFIRMATIVE ACTION PROGRAM OF
TETRA TECH, INC.**

EFFECTIVE DATE OF THIS AAP: 01/01/14 through 12/31/14

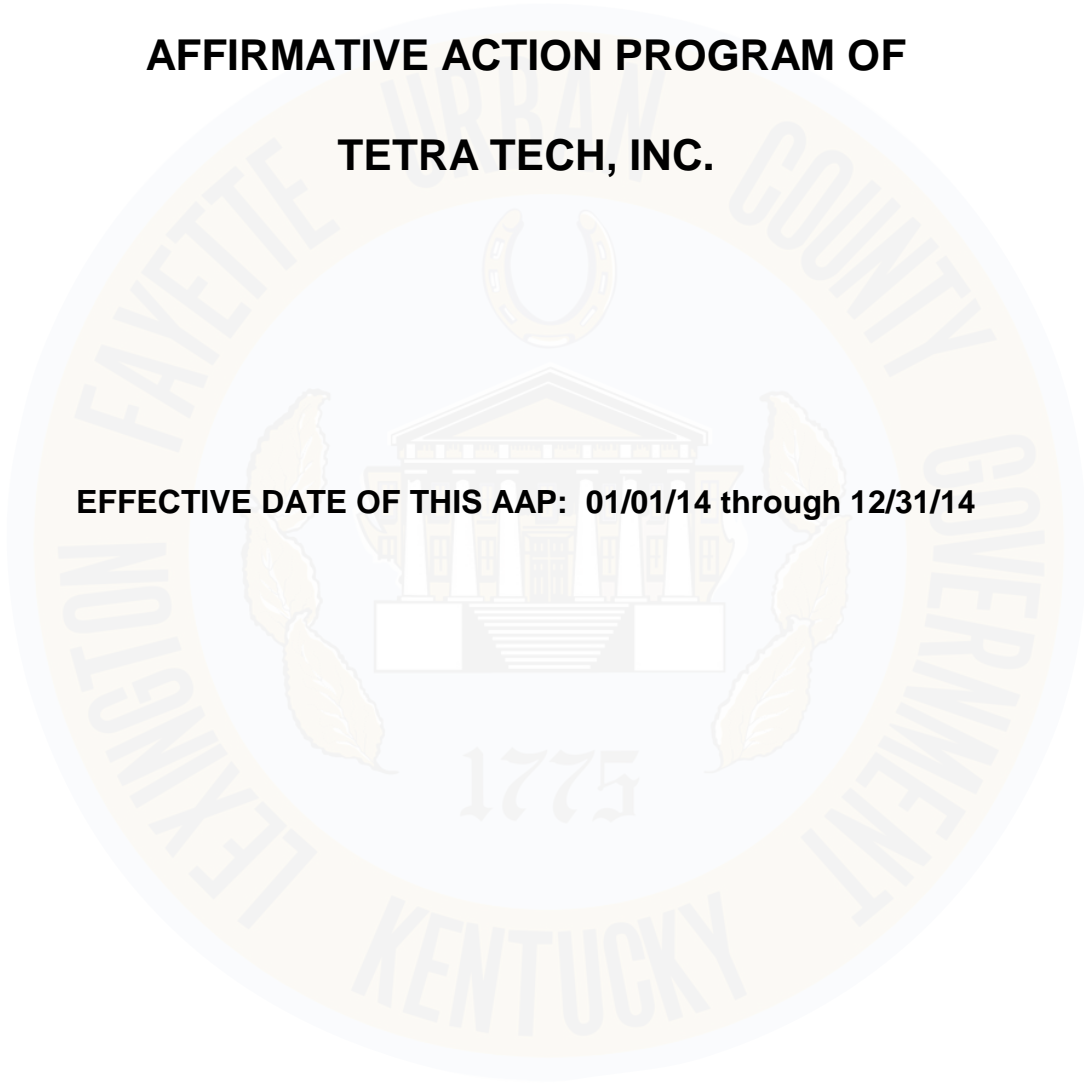


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I. INTRODUCTION

EQUAL EMPLOYMENT OPPORTUNITY AFFIRMATIVE ACTION PROGRAM

The following pages represent the Affirmative Action Program of Tetra Tech, Inc., (3475 E Foothill Blvd, Pasadena, CA 91107), herein after referred to as Tetra Tech.

This Affirmative Action Program (AAP) is the property of Tetra Tech. The detailed information contained in this Affirmative Action Program is provided in good faith, and in compliance with Executive Order 11246 and other applicable federal and state laws, and regulations developed by the office of Federal Contract Compliance Programs (OFCCP) pertaining to the development of AAP's by federal contractors and subcontractors. Statements and data in this Affirmative Action Program are subject to a misinterpretation and a misuse which could be damaging to the business goals and interests of Tetra Tech in ways which may be independent of and adverse to Tetra Tech's affirmative action and equal employment opportunity obligations and objectives.

Therefore, this AAP is developed with the specific intent and requirement that:

1. This AAP and the information herein will be made available or submitted to the OFCCP upon demand, pursuant to the relevant provisions of Executive Order 11246 and applicable regulations developed by the OFCCP. The information and data contained in this AAP is to be kept strictly confidential and shall not be disclosed to anyone not employed by the OFCCP without prior written notice to and the written consent of Tetra Tech to disclose the relevant information contained herein. If consent is not given and the OFCCP still intends to disclose all or any part of this AAP, Tetra Tech shall have the right to appeal the decision of the OFCCP through any agency appeal procedure that may exist prior to any disclosure.
2. No information contained in this AAP is to be disclosed, copied, reproduced, or removed from the premises of the OFCCP, except in the normal course of business by an employee of the OFCCP, nor is any unauthorized person to be given access to its contents in any manner whatsoever without the prior written consent of an authorized representative of Tetra Tech.
3. Any employee, applicant, government office or any other entity or other person(s) who are allowed by Tetra Tech to review any or all of this AAP, for whatever reason or purpose, shall keep such information strictly confidential and shall not remove, copy, or in any manner whatsoever disclose, make available, discuss or disseminate the information contained in this AAP.

II. COMPANY PROFILE

Tetra Tech, Inc. (NASDAQ: TTEK) is a leading provider of specialized management consulting and technical services in three principal business areas: resource management, infrastructure and communications. Our management consulting services are complemented by our technical services, including research and development, applied science, engineering and architectural design, construction management, and operations and maintenance. We provide these services to a diverse base of public and private sector clients. Founded in 1966, we have over 14,000 employees located in more than 330 offices worldwide.



III. EEO RESPONSIBILITIES [41 CFR 60-2.17 (a)]

In most instances, department managers and supervisors will be responsible for the selection of individuals to fill approved vacancies. However, the selection process requires that managers and supervisors be aware of and take into consideration the EEO Policy and AAP goals. Tetra Tech's EEO Policy and AAP will be implemented and administered as outlined below.

A. EEO Officer

Dan Batrack, CEO and COO, has assigned the overall responsibility for Equal Employment Opportunity and Affirmative Action Program compliance to Richard Lemmon, Vice President, who is the Equal Employment Opportunity Officer for Tetra Tech. As EEO Officer, Richard Lemmon is specifically responsible for the implementation and monitoring of the EEO Policy and the Affirmative Action Program. Richard Lemmon's duties and responsibilities include as a minimum, but are not limited to the following:

1. Ensuring that an Affirmative Action Program is adopted and effectively implemented each year, developing policy statements, internal and external communication techniques.
2. Designating or assisting in the selection of a facility EEO Coordinator.
3. Assisting in the identification of focus areas, suggesting corrective action, and the establishment of goals and objectives.
4. Designing and implementing audit and reporting systems that will measure progress to goals and objectives.
5. Conducting meetings with managers, supervisors, and employees to ensure that Tetra Tech's EEO Policy and AAP objectives are understood and good-faith efforts are being made to achieve results.
6. Reviewing Tetra Tech's AAP progress toward goals and objectives with senior management.
7. Ensuring that the work performance of management employees is evaluated, in part, on the basis of their affirmative action efforts and results.
8. Providing guidance to managers and supervisors to prevent racial, ethnic, religious and sexual harassment of employees.
9. Serving as a liaison between Tetra Tech and minority/female organizations.
10. Keep management informed of developments in EEO/AA laws and requirements.

B. EEO Coordinator

Janet Brunner, Sr. Human Resources Manager, is the Equal Employment Opportunity Coordinator for the AAP year. Janet Brunner, will be responsible for assisting the EEO Officer, as requested, in the performance of any of the duties stated above, developing or obtaining assistance in developing, implementing, and monitoring of the AAP. The EEO Coordinator has been given the full support of senior management and is assured the necessary support to execute all AAP responsibilities.

The EEO Coordinator's responsibilities include, but are not limited to the following:

1. Having an updated AAP in place at the beginning of each plan year.
2. Assisting management in the identification of focus areas and the development of corrective action steps.
3. Submitting an AAP Progress Report to Human Resources and to appropriate facility management which details progress towards AAP goals and includes the applicant flow, new hire, transfer, promotion and termination logs.
4. Serving as liaison between employees and management at this facility.
5. Serving as liaison between this facility and organizations concerned with employment opportunities for minorities and females.

6. Ensuring that minority and female employees are encouraged and afforded a meaningful opportunity to participate in all present and future educational, training, recreational and social activities sponsored by Tetra Tech, and that all facilities, such as lockers and restrooms, are comparable for both sexes.
7. Reviewing all technical forms (i.e., application forms and posters) for compliance with federal regulations.
8. Monitoring the effectiveness of the EEO Policy, the AAP, training programs, and hiring and promotional patterns to determine if minorities and females are given a full opportunity for employment and advancement.

C. Human Resources Department

As the Equal Employment Opportunity Coordinator for this facility, Janet Brunner has been given the authority and responsibility for implementing and monitoring the EEO and AAP programs for this facility. Janet Brunner Sr. Human Resources Manager will be assisted by and receive primary staff support from individuals assigned to the Human Resources Department. The Human Resources Department, will assume the day-to-day responsibility for the EEO and AAP programs. The responsibilities of the Human Resources Department include, but are not limited to the following:

1. Developing policy statements, Affirmative Action Programs, and internal and external communication techniques.
2. Assisting management in the identification of focus areas and arriving at appropriate solutions.
3. Designing and implementing audit and reporting systems that will:
 - a. Measure the effectiveness of Tetra Tech's EEO and affirmative action programs.
 - b. Indicate the need for remedial action.
 - c. Determine the degree to which Tetra Tech's goals and objectives have been attained.
4. Serving as liaison or assisting facility management in meetings between Tetra Tech and enforcement agencies.
5. Serving as liaison or assisting local and facility management in meetings between Tetra Tech and organizations concerned with employment opportunities for minorities and females.
6. Keeping management informed of the latest developments and requirements pertaining to EEO and affirmative action.
7. Assisting in the development of reports to management on the status of Tetra Tech's EEO Policy and Affirmative Action Program.
8. Assisting any present or future field facilities in preparing and implementing effective Affirmative Action Plans through the issuance of guidelines and appropriate training.
9. Coordinating and participating in compliance reviews by the Office of Federal Contract Compliance Programs, as appropriate.
10. Investigating all formal charges of discrimination at Tetra Tech's facilities, in addition to participating with this facility's senior management representative in conciliation negotiations with government agencies, as necessary.

IV. IDENTIFICATION OF POTENTIAL FOCUS AREAS

[41 CFR 60-2.17 (b)]

A. WORKFORCE

The workforce is evaluated by department and job group to determine if minorities and women are fully utilized. An analysis is performed by department to ensure that minority and female representation is at an acceptable range as compared to the workforce.

B. PERSONNEL ACTIVITY

Personnel activity including applicant flow, hires, terminations, and promotions are analyzed to determine if there are any problem areas. All employees are treated equally and have an opportunity to advance. Efforts are made to identify qualified minority, females, disabled and veteran employees for promotion. The criteria for both transfers and promotions are based objectively on skills, qualifications, experience, education and the employee's work record, as appropriate. Transfer and promotion practices currently in effect do not hamper the upward mobility of qualified female and minority employees.

C. COMPENSATION

Compensation analyses are performed to ensure that there are no gender or ethnic pay disparities. An analysis is performed on each job title comparing minorities to non-minorities and women to men. If any inequalities exist, a thorough analysis is conducted to correct or explain the difference. This analysis may include a review of the employees' length of service, years of experience, performance evaluations, prior related experience, education, special expertise, or the department or unit where the employees work.

D. SELECTION

The following selection procedures are followed:

1. Job descriptions list the minimum requirements for a particular job and are accurate in relating to actual job functions.
2. No written employment tests are currently being used.
3. The application and interview process has been reviewed and found to be free of bias and does not work to the disadvantage of minority or female applicants.
4. All job applications are retained in the active file for a minimum of at least two years.
5. A detailed record of all data relevant to recruitment and other personnel decisions which involved Affirmative Action candidates or employees is kept by the EEO Coordinator.
6. When an accommodation is made to hire an individual with a disability, a description of the accommodation is recorded in the personnel file.
7. All recruitment sources are notified annually of the EEO policy and Tetra Tech's desire to hire women and members of minority groups.

E. OTHER AREAS OF FOCUS

Facility & Company Sponsored Activities

Facility and Company sponsored activities are all administered on a non-discriminatory basis.

Public Transportation

Public transportation is available to this facility from surrounding metropolitan areas. Schedules are such that employees can use such transportation both before and after working hours.

Housing

Integrated housing is available to all employees in the area surrounding this facility. Both privately owned homes and commercial rental units are within the immediate area and within commuting distance.

Physical Facilities

This location does not maintain, provide or permit any segregated facilities

Seniority

Formal seniority lines or lists are not maintained. Whenever seniority is used or considered (i.e. vacation accrual, benefit accrual), sex is not a consideration.

Training Programs

While some limited training is provided, employees are encouraged to pursue additional education and training through external sources. On occasion, employees are provided an opportunity or are scheduled to attend relevant in-house or external seminars and training. All training, whether internal or external, is encouraged by Tetra Tech in a non-discriminatory manner.

Technical Phases of Compliance

1. All appropriate bulletin boards are posted with applicable equal employment opportunity literature and regulations.
2. All subcontractors are notified of their obligations under Executive Order No. 11246 as amended, as well as, Revised Order No. 4.
3. Purchase order forms advise vendors and subcontractors that Tetra Tech is a government contractor and of their obligation to practice EEO and affirmative action.

V. ACTION ORIENTED PROGRAMS

[41 CFR 60-2.17 (c)]

All personnel involved in recruiting, selection, discipline and related processes will receive instruction on an on going basis, regarding Tetra Tech's affirmative action objectives, equal employment opportunity laws, regulations, court decisions, and appropriate job-related management practices.

A. Job Descriptions, Specifications and Requirements

Job descriptions list the minimum requirements for a particular job and are accurate in relating to actual job functions. Tetra Tech will continue to review and revise, when appropriate, employee position titles, qualifications, job specifications and wage/salary rates to assure that they do not have qualifications or other requirements that would tend to screen out or disproportionately or adversely impact upon minorities or females.

Tetra Tech has delegated to its department managers the final decision on hiring, as stated in the section on EEO responsibilities. Yearly reviews will continue to be performed to ensure the elimination of any impediment to full implementation of the EEO Policy and the AAP. The Human Resources Department staff will monitor the attitudes of department management for any adverse attitudes toward EEO and affirmative action, and watch for abnormal rates of rejection for minorities and females.

The Human Resources Staff will be assigned to:

1. Conduct an analysis of position requirements and/or descriptions to ensure that they accurately reflect position functions and are consistent for the same position from one department to another.
2. Evaluate new or modified worker specifications for each job classification by department, using job performance criteria. Specifications will be consistent for the same job classification in all locations and free from bias with regard to race, color, age, religion, sex, and national origin. If any requirements screen out a disproportionate number of minorities or females, these requirements will be carefully evaluated with respect to their relationship to actual job performance and business necessity.
3. Make available approved position descriptions, whether such descriptions have been formalized in writing or not, and worker specifications to all members of management involved in the recruiting, screening, selection and disciplinary processes; and, distribute appropriate copies to recruitment sources.

B. Recruitment Practices

To enhance the likelihood of recruiting minority and female employees, Tetra Tech will contact appropriate State agencies and solicit names from management of appropriate minority and female groups, associations and institutions which can refer qualified applicants for positions in job groups which have an underutilization of minorities or females. Additionally, each qualified applicant is identified by: name, ethnicity, gender, veteran and disabled status, positions applied for, recruitment source, referral source, and final disposition.

The Human Resources staff will be assigned to ensure the following types of recruitment activities:

1. Include the phrase "Equal Employment Opportunity" (EEO) and/or "Affirmative Action" employer (EEO/AA) in all printed employment advertisements.
2. Place appropriate job opportunities in minority and female publications or minority and female Internet web sites.
3. Disseminate information on job opportunities and Tetra Tech's affirmative action objectives to organizations representing minorities and females, and employment development agencies.
4. Actively encourage minority and female employees to refer applicants.
5. Send minority and female employees to participate in "Career Days," Job Fairs and related activities in their communities, when appropriate.
6. Recruit, when appropriate, at secondary schools, junior colleges and colleges with predominantly minority or female enrollments.
7. Ensure that referral agencies that are used, if any, are referring minorities and females in a nondiscriminatory manner.

C. Internal Postings

Current job openings are posted internally in conspicuous areas throughout the facilities where employees congregate. Job postings are updated as positions become available or are filled. This formal "job posting" procedure is utilized to make employees aware of vacancies, and as a means of promoting job opportunity and mobility of current employees through interdepartmental transfers. The method of posting assures fair and equal treatment of all covered employees consistent with affirmative action policies. Evaluation of employees from transfer or promotion is based solely on knowledge, skills, experience, and ability to perform the duties as required by the job.

D. Selection Practices

To assure that no discriminatory practices have entered the selection system, the Human Resources Department will monitor the selection decisions for all job titles in underutilized job groups. As an example, if a vacancy exists in an area identified as being underutilized, it will be the selecting manager's or supervisor's responsibility to provide the Human Resources Department with reasons why qualified minority and female applicants were considered but not selected.

The Human Resources Staff will continue to ensure that the Tetra Tech's selection process is job related. These responsibilities will include:

1. A review of Tetra Tech's job application and other pre-employment forms to ensure that inquiries are job related.
2. Periodic evaluation of the selection policy to ensure that it is free from bias and does not hinder Tetra Tech's ability to attain its affirmative action goals.
3. Periodically evaluate practices to ensure that they are job related and necessary.
4. Train personnel interviewers on proper interview techniques, appropriate inquiries, documentation and Tetra Tech's affirmative action objectives.

E. Promotional and Training Practices

Staff will continue to take the following types of action to prepare minorities and females for promotion, and to assist employees in advancing to jobs offering a higher level of responsibility, greater degree of challenge and further opportunity for advancement:

1. When an underutilization exists, advise managers and supervisors of approved vacancies, with the intention of identifying potential minority and female candidates.
2. Make available career counseling to assist employees in identifying promotional opportunities, training and educational programs to enhance promotability and opportunities for job rotation or transfer.
3. When appropriate, offer remedial education, skills training, and work-study programs to assist employees in meeting performance standards and preparing for employment or advancement.
4. Administer an employee performance evaluation program, which is designed to assist employees in meeting performance standards, in a non-discriminatory manner.
5. Evaluate requirements for promotion on job-related criteria and ensure that minorities and females are not required to possess higher qualifications than those of others.
6. When an underutilization exists, require supervisory personnel to explain promotion selection decisions when qualified minority or female employees are among the candidates rejected for advancement opportunities.

F. Management and Disciplinary Practices

In order to increase and/or maintain the representation of minority and female employees throughout the work force, all department heads will be held accountable for monitoring and evaluating their hiring, promotions, transfer and termination practices.

Supervisors and department heads will be responsible for identifying and helping to develop promotion and transfer opportunities for minority and female employees in their departments whenever and wherever an underutilization is identified. In addition, current eligible employees, as well as applicants, will be informed and encouraged to participate in training and educational assistance programs that may be available at or through Tetra Tech, and in the community.

The Human Resources Staff will continue to take the following actions to assist supervisors in meeting their Affirmative Action Program responsibilities:

1. Develop and periodically review forms and management practices such as interviews, employee evaluations, counseling, training and discipline.
2. Offer training to management regarding Tetra Tech's Affirmative Action Program objectives and job-related personnel practices.
3. Monitor disciplinary action to ensure that minorities and females are not being disciplined in disproportionate numbers.

G. Benefits and Rules

Tetra Tech regularly analyzes the wage and benefits program to ensure that no discriminatory practices exist. Wage schedules are not related to or based on the gender or race of employees, but are based on established market labor rates for each classification or specialty.

The Human Resources Staff will be assigned to take the following actions to ensure that Tetra Tech’s facilities are desegregated and its benefits programs and rules are nondiscriminatory:

1. Review Tetra Tech’s employee benefits plans, coverage and administration procedures to ensure that they do not inadvertently discriminate illegally because of race, color, religion, sex, national origin or age.
2. Review Tetra Tech’s work rules to ensure that they do not inadvertently discriminate illegally because of race, color, religion, sex, national origin or age.

H. Management Training

Tetra Tech, Inc. is committed to providing educational training to all the management to ensure that personnel actions and all employment decisions are made in a manner which will further the principle of equal employment opportunity. Tetra Tech, Inc. is committed to assuring that our supervisors and employees are familiar with proper procedures, policies, and practices on affirmative action and harassment training.

VI. INTERNAL AUDIT AND REPORTING SYSTEM [41 CFR 60-2.17 (d)]

A major component of the Affirmative Action Plan is an assessment of the effectiveness of efforts undertaken to achieve goals and objectives. This assessment requires complex record-keeping systems for collecting information about applicants and about the numerous personnel transactions affecting Tetra Tech employees. To meet this goal, an audit and reporting system has been designed which:

1. Assists in measuring the effectiveness of the EEO Policy and the Affirmative Action Program.
2. Indicates those areas where remedial action is needed.
3. Determines the degree to which location goals and objectives have been achieved.
4. Monitors the number of qualified applicants, new hires, promotions, transfers and terminations by race and sex.

This information provides the basis for analyzing personnel transactions for a one-year period and for an annual update of the Affirmative Action Plan. The update includes the predetermination of annual placement goals as well as an assessment of the previous year's annual placement goals and progress made.

Applicant Information. Information about gender and ethnicity of each applicant is collected and maintained for affirmative action reporting purposes. Applicants who wish to benefit under the Affirmative Action Program for Individuals with Disabilities, Special Disabled Veterans or Veterans of the Vietnam era are also invited to self-identify their status after an offer of employment has been made and before employment begins. This information is requested on a voluntary basis and is used only for affirmative action purposes. Information regarding the disposition of each application for each opening is also maintained.

Employee Information. Information is collected and maintained for the following personnel transactions: placements (new hires, promotions, and transfers); merit increases; separations (resignation, death, retirement, and medical); involuntary separations (layoffs and dismissals), and training programs. The information is compiled by job group, by gender and by ethnicity.

This system, which was outlined in the preceding section, Action Oriented Programs, will be used by the facility EEO Coordinator in developing progress reports to management, which will indicate progress toward AAP goals and objectives. Department management will indicate any current or foreseeable EEO and AAP focus areas, and outline corrective action suggestions.

Janet Brunner, Sr. Human Resources Manager, is responsible for discussing any problems related to the implementation of the EEO Policy and this AAP with appropriate management representatives. Discussions will focus on rejection ratios, the underutilization of minorities and females, charges of discrimination or allegations of harassment. There will be yearly audits of the selection and placement process, paying particular attention to hiring, promotion, transfer and termination patterns. A report on the status of this facility's Affirmative Action Program will be prepared, and remedial steps will be taken which are necessary to provide for the effective implementation of the program.

VII. WORKFORCE ANALYSIS [41 CFR 60-2.11]

Workforce Analysis

In accordance with Federal Affirmative Action Regulations, a work force analysis of employees by department is developed. The analysis consists of a count of employees in each job title in the unit; job titles are ranked from the lowest to highest salary range including supervisors. For each job title the following is provided: the salary range; the total number of incumbents; the total number of male and female incumbents and total number or male and female incumbents by the ethnic categories of American Indian, Asian, Black, Hispanic and Caucasian.

The data is analyzed by reviewing each department and comparing the percent of minorities and women in the department to the percentages in the workforce. If any problem areas exist, programs are developed to correct those areas. These programs are described in the "Action Oriented Programs." section.

VIII. JOB GROUP ANALYSIS

[41 CFR 60-2.12 AND 60-2.13]

Job groups are the basic units for developing availability proportions, conducting the utilization analysis, and analyzing personnel transactions. In accordance with Federal affirmative action regulations, the different job titles held by Tetra Tech employees have been combined to form the job groups listed in the AAP reports section.

Methodology

Federal affirmative action regulations specify that job groups have similar content, wage rates, and opportunities. Accordingly, in developing the job groups, the following guidelines were taken into consideration:

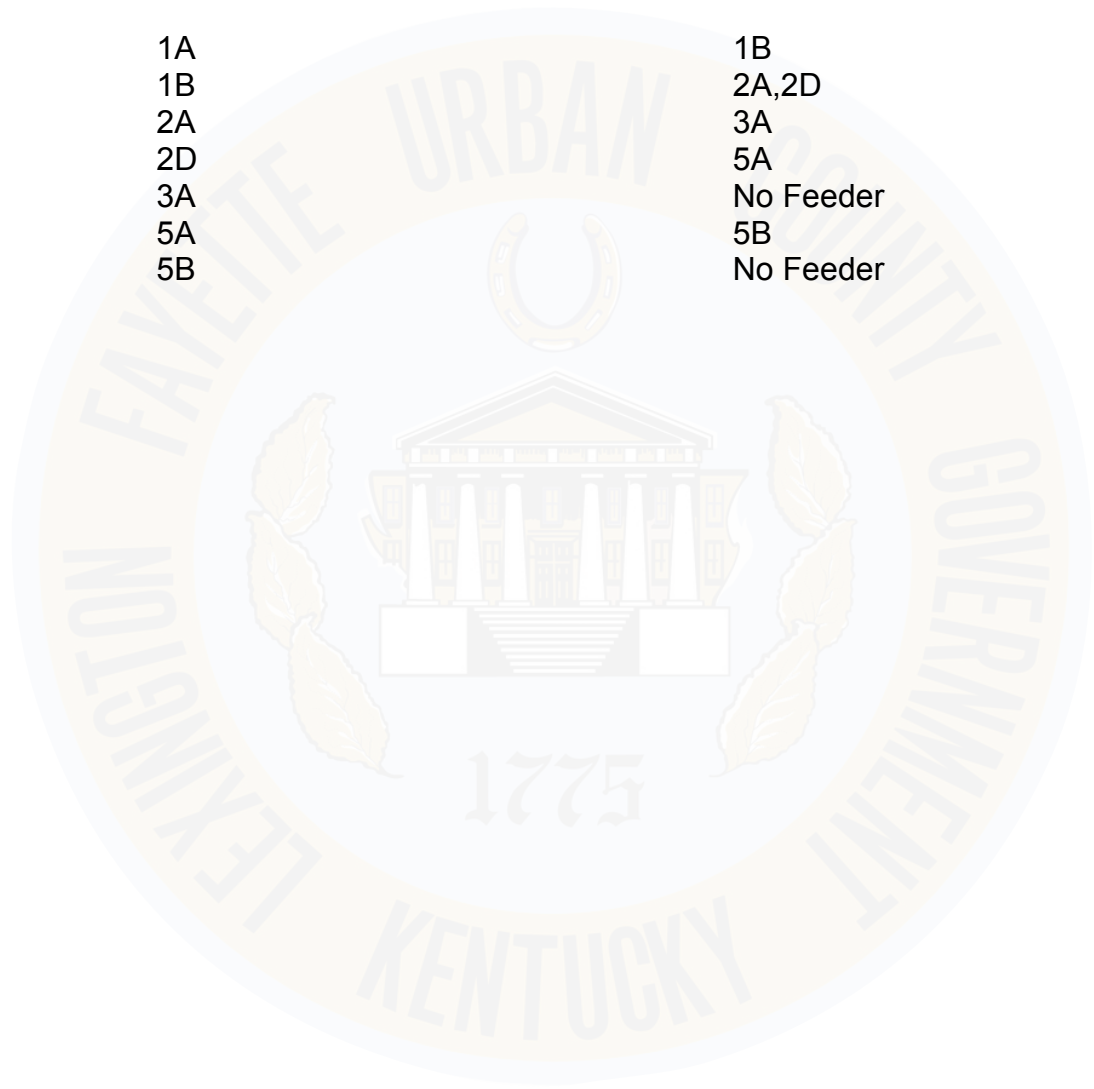
- The contents of the jobs included in a job group should be similar in job responsibilities, requisite skills, and wage rates.
- The opportunities for advancement should be similar for all jobs in a job group.
- A given job group should not include job classifications with clearly different utilization patterns. For example, job classifications predominantly filled with males should not be combined in the same job group with job classifications predominantly filled with females.
- Job groups, in general, should be composed of a minimum of ten employees to allow meaningful utilization analysis and the establishment of goals. In some cases, job groups of less than ten employees may be necessary because of unique job content, requirements, location, and skills.
- Job groups should illuminate, rather than mask, focus areas.
- Feeder jobs for jobs included in a job group should be similar.
- Jobs in a job group should have the same labor market.

In accordance with Federal Affirmative Action Regulations, a job group analysis of employees by job group categories with similar content, wage rates and opportunity for advancement is developed. The analysis consists of a count of employees in each job title with similar functions ranked from the lowest to highest salary range including supervisors. For each job group category the following is provided: the salary range; the total number of incumbents; the total number of male and female incumbents and total number of male and female incumbents by the ethnic categories of American Indian, Asian, Black, Hispanic and Caucasian

IX. FEEDER GROUP ANALYSIS

Below is a table demonstrating the lines of progression and providing an analysis of the job groups by their feeder groups.

Job Group	Feeder Group
1A	1B
1B	2A,2D
2A	3A
2D	5A
3A	No Feeder
5A	5B
5B	No Feeder



X. AVAILABILITY ANALYSIS [41 CFR 60-2.14]

In accordance with Federal affirmative action regulations, Tetra Tech, Inc. has conducted an availability analysis of the employment of females and ethnic minorities by job group. To perform this availability analysis based on the guidelines outlined in the OFCCP's Federal Contract Compliance Manual and in pertinent parts of 41 CFR, Chapter 60, proportions of available females and ethnic minorities for each job group are developed.

Availability is defined as the percentage of minorities and women among those persons who are eligible currently or will be eligible during the term of the affirmative action program.

As specified in federal affirmative action regulations, two factors are considered in determining the availability proportions of females and ethnic minorities for each job group. These two factors are set forth below. In determining whether minorities and females are underutilized, Tetra Tech has considered the following data: *

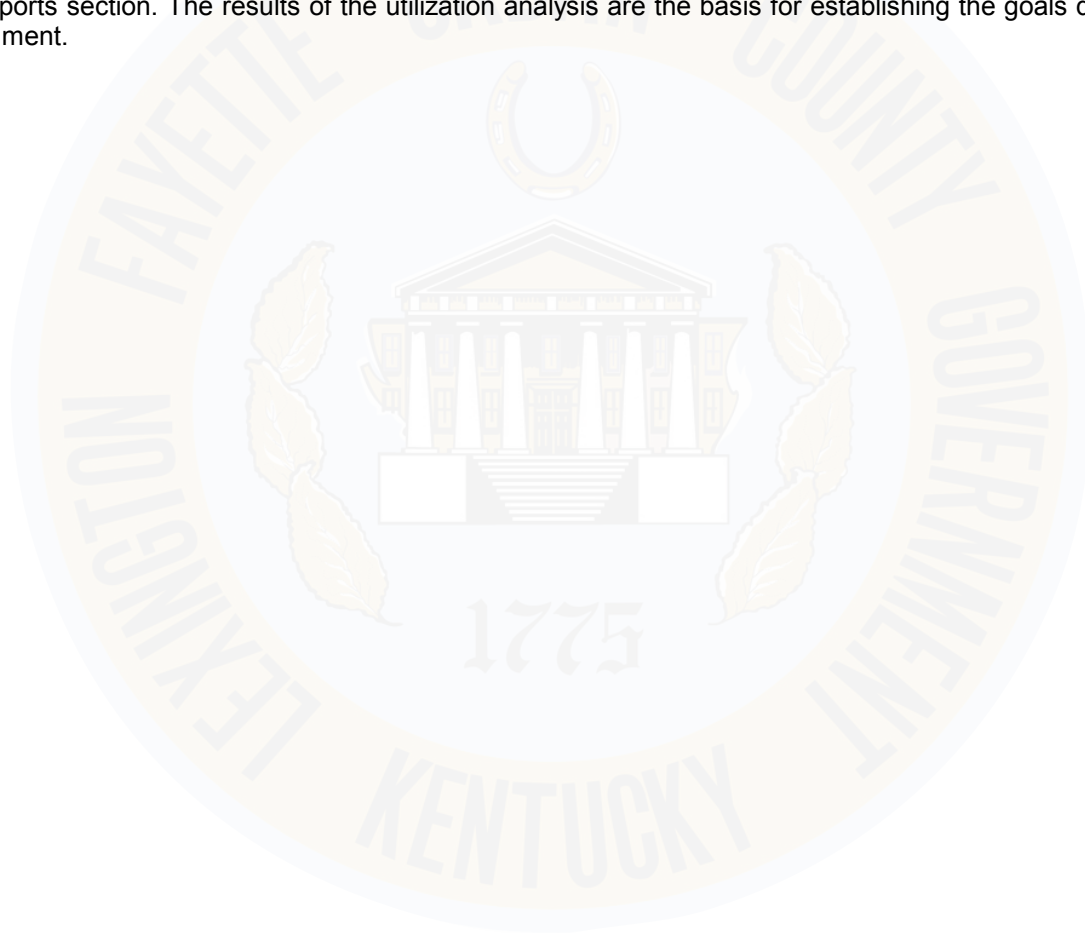
1. The availability of minorities/females having requisite skills in an area from which the location can reasonably recruit.
2. The availability of promotable and transferable minority/female employees within the facility during the AAP year.

Data sources for external availability factors for our computations have been acquired from the U.S. Census Bureau.

* The charts used for the computation of availability percentages are in the AAP reports section.

XI. UTILIZATION ANALYSIS [41 CFR 60-2.15]

In determining whether areas of underutilization exist and what steps might be taken to correct the deficiencies, an analysis was performed in accordance with Order No. 4. This utilization analysis considered the results of the Availability Analysis conducted in this plan. By using this data and by applying the measure of reasonableness, we have determined that some underutilization of minorities and/or females exists. The utilization analysis is in the AAP reports section. The results of the utilization analysis are the basis for establishing the goals described in this document.



XII. GOALS

[41 CFR 60-2.16 AND 60-2.17(B)]

At the beginning of a reporting period, annual goals are established for females and ethnic minority categories in job groups where underutilization is identified and is equal to or exceeds one person or more. For the 2014 Tetra Tech Affirmative Action Plan these goals are expressed as annual placement rates equal to availability proportions based upon 2010 census data. The goal is met if the actual placement rate is equal to or exceeds the availability rate.

Annual goal attainment for those instances where underutilization was identified at the beginning of the reporting period is assessed at the end of a reporting period by taking into account the applicable annual placement rates and actual experience of employee promotions, transfers, and hires. The assessment is made on the basis of comparing the placement rate by gender or ethnic minority category in the job group to the applicable availability proportion.

The 2014 goals are based on our workforce numbers staying the same. Primarily, openings will result from normal attrition and, in some cases, the vacancies may not be filled. These goals reflect current business conditions and are subject to change as these conditions change.

Our long range goal is to overcome underutilization in all job categories and to employ percentages of minorities and women at least equal to the percentages of qualified minorities and women within the available labor force.

Tetra Tech, Inc. will continue to develop and maintain programs that facilitate the attainment of the goals that have been set to increase the utilization of minorities or females. The following program will be implemented for job groups identified as underutilized:

When an underutilization is identified for a specific job group, Janet Brunner, Sr. Human Resources Manager, will make an annual review of the employee selection process, to ensure that any practices or policies which could result in a disproportional number of minorities and/or females being rejected for employment are kept out of the selection process.





March 14, 2014

Richard Walker, PE
Tetra Tech
800 Corporate Drive, Suite 200
Lexington, KY 40503

Re: *Letter of Commitment*

Dear Mr. Walker:

Third Rock Consultants, LLC is committed to your team for the following proposal:

LFUCG Proposal (RFP #13-2014)
Request for Qualifications for Professional Engineering Services
Contract #3 – Construction Drawings Review for DOE Manual Compliance

Sincerely,

Molly Foree Davis, President
859-977-2000
mforee@thirdrockconsultants.com



TETRA TECH

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