

**EXHIBIT B**

**SCOPE OF PROFESSIONAL SERVICES**

**AND RELATED MATTERS**





January 14, 2016

Mr. Todd Slatin, Director  
Lexington Fayette Urban County Government  
Room 338, Government Center  
200 East Main Street  
Lexington, KY 40507

**RE: Smith Management Group; Safety Management Program Evaluation & Improvement,  
RFP #64-2015**

Dear Mr. Slatin:

Smith Management Group (SMG) appreciates the opportunity to provide the enclosed proposal to complete Facility Safety Audits at the Town Branch and West Hickman Wastewater Treatment Plants.

We are qualified to perform this work and capable of meeting the delivery requirements as stated in Exhibit D of the RFP, because of our team's extensive experience in Facility Safety Audits. Our team and related experience is described in the attached proposal and includes:

- SMG is a Certified Woman Owned Business;
- SMG has previously performed work in and is **extremely familiar** with the safety issues associated with the Town Branch and West Hickman Wastewater Treatment Plants; and
- SMG is a locally owned and operated firm, with an active office in Lexington, Kentucky.

The attached proposal describes the capabilities of SMG and our ability to perform the described work on behalf of the Lexington Fayette Urban County Government. Our understanding of this project is based upon the scope of work and the information you have provided via the **Safety Management Program Evaluation & Improvement, RFP #64-2015**. If you have questions regarding this proposal contact either Sara Smith 859-231-8936 x 105, [saras@smithmanage.com](mailto:saras@smithmanage.com) or Kevin Chaplin 502-587-6482 x 208, [kevinc@smithmanage.com](mailto:kevinc@smithmanage.com).

Sincerely,

**Sara Smith**  
President  
Smith Management Group

**Lexington**  
1405 Mercer Road  
Lexington, KY 40511  
859-231-8936  
859-231-8997 fax

**Louisville**  
1860 B Williamson Court  
Louisville, KY 40223  
502-587-6482  
502-587-6572 fax





**Proposal to Lexington Fayette Urban County Government**

For

**Safety Management Program Evaluation & Improvement**

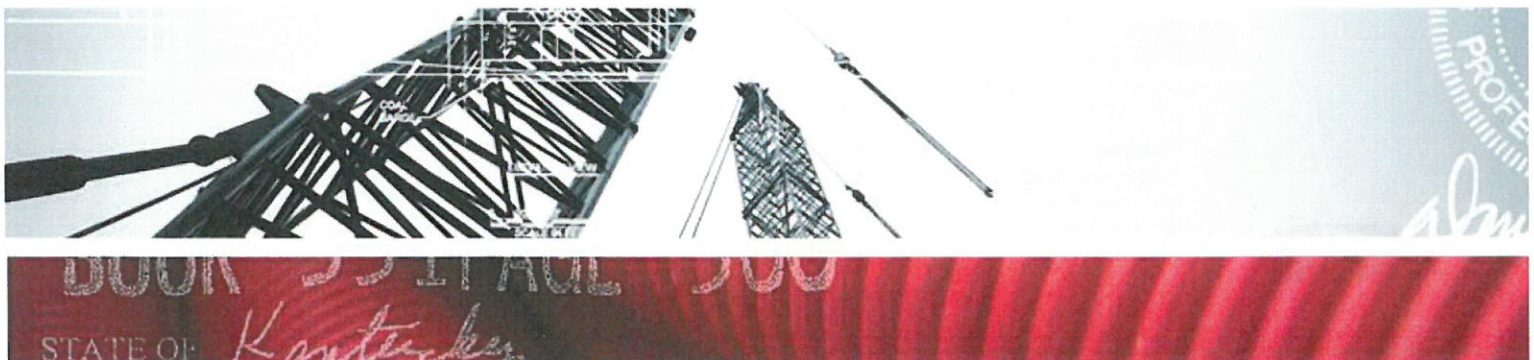
**RFP # 64-2015**

Submitted by



**Smith Management Group**  
1405 Mercer Road  
Lexington, Kentucky 40511

January 14, 2016





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- Affidavit
- Equal Opportunity Agreement
- General Provisions
- MWDBE Participation Form
- Notice of Requirements for Affirmative Action
- Workforce Analysis Form
- SMG Information Insurance Certificate
- WBENC 2016 Certification



## Project Team Identification

Smith Management Group ("SMG") proposes to provide safety management services for the completion of Facility Safety Audits at the Town Branch and West Hickman Wastewater Treatment Plants. SMG is a certified woman-owned environmental consulting firm. SMG will be joined by Industrial Safety and Training Services ("ISTS"), who will serve as a sub-consultant.

SMG was founded in 1989 to focus on effectively managing environmental issues. SMG became a woman owned company in 2004 with Sara G. Smith as president. We are certified through the Women's Business Enterprise National Council (WBENC). SMG has environmental engineers and professionals on staff that can provide expertise and assistance to this project, including professional engineers and industrial hygienists. SMG strives to provide cost effective solutions for our client needs in a technically sound and efficient manner.

ISTS was created by a former Kentucky and Indiana OSHA inspector to conduct technical audits and inspections, evaluate and develop safety programs for clients, conducted training programs required by OSHA 29 CFR 1910 and 1926, conduct Confined Space and PPE Assessments, and provide technical support regarding machine guarding, confined space, and fall protection solutions.

SMG and ISTS combine to create a synchronized, efficient, and effective team. The depth of our professional experience allows us to identify and implement innovative solutions in less time than other firms with less experience. In addition, our familiarity with the two plants will enable us to work more efficiently than other firms. Therefore, strict comparison of hourly rates may not be an accurate assessment of a project's true cost to the city.



## Project Team

SMG has assembled a team of experienced technical professionals. Resumes for the following individuals are included in this section. These professionals will perform the work on the project.

Name	Position	Responsibilities
Sara Smith	Principal	Project Director/Quality Assurance
Kevin Chaplin	Senior Industrial Hygienist	Project Manager
Joseph Wayne Anderson, M.S., CHST	Subconsultant to SMG	Compliance Inspection Team Leader
Sarah Carty, M.P.H.	Health & Safety Specialist	Audit Team/Technical expertise
William Shane, P.E.	Project Engineer	Audit Team/ Technical expertise

### ***Kevin M. Chaplin, Senior Industrial Hygienist***

As a 30-year veteran in the environmental, health and safety industry, Kevin Chaplin is SMG's Senior Industrial Hygienist. Mr. Chaplin's role in conducting the Safety Management Program Evaluation of the Town Branch and West Hickman Wastewater Treatment Plants will be multi-faceted. Mr. Chaplin will be the liaison between LFUCG's Project Manager and the overall evaluation or audit team. Mr. Chaplin will coordinate schedules and deliverables as well as participate in and provide oversight of the site specific evaluations and safety program reviews. Mr. Chaplin will assist in the preparation of final reports and correspondence on this project and participate in the final review of any work product generated. Mr. Chaplin is familiar with the West Hickman facility and staff having recently conducted a hydrogen sulfide sampling project and indoor air quality evaluation of the Solids Processing Building.



***Joseph Wayne Anderson, M.S., CHST (Industrial Safety & Training Services)***

As a former Compliance Safety and Health Officer for the Kentucky Labor Cabinet (KY- OSHA) and the Indiana Department of Labor (IN-OSHA) Mr. Anderson will be the lead evaluator and investigator conducting written program evaluations and facility inspections at the two wastewater treatment facilities. Mr. Anderson's experience investigating accidents and evaluating safety and health programs as well as overall OSHA compliance requirements provides SMG and LFUCG with another team member capable of identifying health and safety compliance issues and prioritizing them accordingly.

***Sarah Carty, M.P.H***

As a former facility Environmental, Safety and Health Facility Manager for a large chemical manufacturing facility, Ms. Carty is experienced in reviewing, developing and implementing occupational safety and health programs as well as OSHA compliance programs. Her experience in conducting health and safety evaluations and working with employees at the facility level as well as management level provide the team with an excellent communicator and knowledgeable safety program evaluator. Ms. Carty's primary role will be in the facility program review and evaluation and in conducting employee interviews regarding the safety culture at both facilities. Ms. Carty will also be assisting in the execution of facility compliance inspections at both facilities.

***William Shane, P.E.***

Mr. Shane is a civil and environmental engineer with five (5) years of regulatory experience developing National Pollutant Discharge Elimination System (NPDES) wastewater permits with the Kentucky Division of Water before joining SMG. Mr. Shane's experience developing major and minor municipal NPDES permits for Wastewater Treatment Plants throughout Kentucky provides us with a team member capable of answering process specific questions relating to facility processes and equipment being operated by employees at the two plants. Mr. Shane's role will be to answer any technical questions regarding equipment or processes that may be beneficial to the safety evaluation team working on-site.





***Sara Smith, J.D.***

Sara Smith is the President of Smith Management Group. She analyzes project risk management, provides ongoing analysis of legal developments in the environmental health and safety arena and directs interpretation of certain regulations. Ms. Smith provides consulting services to SMG clients with regard to project development, regulatory issues and interface with agencies. Ms. Smith regularly serves as a facilitator for policy development initiatives.

Sara's role on the project team is provide legal guidance on any policy initiatives or compliance issues that may develop throughout the course of the project and provide and additional layer of quality assurance in the development of our work product.

**Additional Benefits to LFUCG**

The addition of Industrial Safety & Training Services (ISTS) as a team member and subconsultant to SMG on this project provides SMG and LFUCG with additional support services as it pertains to safety training. In addition to having a former OSHA compliance inspector on the team, SMG has available through ISTS a support staff capable of providing an array of training that could be identified as a compliance deficiency through the course of the facility audits. These unique training services that can supplement SMG services include OSHA 10 and 30 hour worker training, fire safety, fall protection, confined space training, D.O.T. training and arc flash hazard compliance among others.



## SARA G. SMITH

Principal

859-231-8936 ext. 105

[saras@smithmanage.com](mailto:saras@smithmanage.com)

### Education

J.D. with Highest Distinction, University of Kentucky College of Law

B.A. American Studies, Temple University, Summa Cum Laude

### Professional Certifications and Affiliations

Admitted to Kentucky Bar

Certified Mediator

Sara Smith is the President of Smith Management Group. She analyzes project risk management, provides ongoing analysis of legal developments in the environmental arena and directs interpretation of environmental regulations. Ms. Smith provides consulting services to SMG clients with regard to project development, regulatory issues and interface with agencies. Ms. Smith regularly serves as a facilitator for policy development initiatives.

Ms. Smith received the first legal fellowship granted by the Institute for Mining and Minerals Research under Title III of the Federal Surface Mining and Reclamation Act. Prior to her legal practice, Ms. Smith worked as a title abstractor for an oil & gas exploration and development company and as a surveyor. Ms. Smith has developed experience as a transactional attorney, a certified mediator, a facilitator for stakeholder policy development and as the senior manager for Smith Management Group.

### Professional Experience

- Principal responsible for development of Kentucky's Energy Project Site Bank for renewable, nuclear and coal gasification energy.
- Highly successful grant writer for federal, state and local grant programs. Clients have received millions in grant funds due to

proposals created by Ms. Smith.

- Review of environmental reports and plans for legal implications; advises on compliance with health & safety, environmental issues and regulations.
- Organizer/facilitator for the Ky Workgroup on Legal Issues of Carbon Sequestration. Principal author of the resulting report which drove legislation creating a structure for sequestration in the state.
- Advisory Board, Center for Applied Energy Research, University of Kentucky, 2009-present.
- Cross-Cutting Issues Technical Workgroup for the Kentucky Climate Action Planning Council, 2010-2011.
- Facilitator for Stakeholder Meeting Series for Kentucky SEEK Initiative, 2011-2012, working toward the goal of a robust, state-wide energy efficiency plan.

### Selected Publications/Presentations

"Utah International, Inc. v. Watt: Adjudicative or Legislative Hearing", Kentucky Law Journal, Volume 72, Number 1, 1983-84.

"Implied and Conditional Consent in the Sale of Horse Shares or Seasons", Kentucky Law Journal, Volume 74, Number 4, 1985-86.

"Legal and Technical Ramifications of Environmental Data Collection", National Symposium on Surface Mining Hydrology, Sedimentology and Reclamation, December 1984.

"Permitting Coal Gasification Facilities: A How-to Manual", 2010, Energy and Mineral Law Foundation Winter Meeting.

"Kentucky's Climate Action Planning Process", 2011, Keynote - Kentucky Chamber of Commerce Annual Environmental Conference.



## KEVIN M. CHAPLIN

Senior Industrial Hygienist

502-587-6482 ext. 208

[kevinc@smithmanage.com](mailto:kevinc@smithmanage.com)

### **Education**

B.S. Environmental Sciences, Morehead State University

### **Professional Certifications and Affiliations**

Former OSHA Certified 10/30 Hr. Outreach Trainer

OSHA Dust Explosion Inspection Preparatory Training

First Aid/CPR

TSCA Title II Accreditation as an AHERA Asbestos Inspector, Project Designer and Management Planner & Former KY DPH Licensed LBP Inspector & Risk Assessor

AIHA – HVAC and Indoor Air Quality Technical Presentation

Safety Committee Member, 2012-Present, Association of General Contractors (AGC) of KY

Environmental & Energy Committee Member, Greater Louisville Inc. (GLI)

Member, American Industrial Hygiene Association (AIHA) & KY Chapter Member

Member, KY Health and Safety Network

Member, American Society of Safety Engineers

Kevin Chaplin is a senior industrial hygiene manager with over thirty years' experience in occupational health and safety compliance and facility investigations. He has developed and managed multi-site EHS audits for a number of clients including joint venture projects with with A/E firms, Construction Managers and Corporate Audit Teams.

Kevin provides corporate industrial hygiene services including guidance on policy decisions, program development and facility evaluations. His special interest is in hazard assessment and indoor air quality investigations involving the recognition and control of workplace hazards.

Mr. Chaplin develops OSHA compliance programs and conducts hazard assessments and chemical exposure evaluations for employers. He is experienced with indoor air quality, asbestos, lead, combustible dust, microbial contamination and chemical exposures. His practical approach to site and resource management has earned the trust of governmental agencies and his clients. In addition to the private sector, he has successfully coordinated multi-facility health and safety audits of Governmental Institutions such as the U.S. Army National Guard.

### **Professional Experience**

- Internal safety director responsible for development of site safety and health plans pertaining to hazardous waste site clean-ups and investigations.
- Senior Industrial Hygienist and team leader, able to complete multi-site health & safety and OSHA compliance audits on budget and on time.
- Broad-based industrial and commercial experience evaluating workplace hazards, developing practical approaches to corrective actions and providing consultation on health and safety policies as well as OSHA compliance issues.

# Joseph Wayne Anderson, M.S., CHST

Permanent Address: 1461 Walnut Valley Rd. NW, Corydon, IN 47112 Home/Cell: 502-523-1044

Email: joseph.anderson3@icloud.com

## EDUCATION

**Eastern Kentucky University**, Richmond, KY

*Master's Degree (M.S.) – Safety, Security, & Emergency Management*

Date of Graduation: 12/20/2014

**Eastern Kentucky University**, Richmond, KY

*Bachelor's Degree (B.S.) – Construction Management*

Date of Graduation: 12/18/2010

## CERTIFICATIONS

- |  |                        |                          |
|--|------------------------|--------------------------|
| • Construction Health & Safety Technician (CHST) | Earned: September 2014 | Recertify: December 2019 |
| • First Aid/CPR/AED                              | Earned: January 2015   | Recertify: January 2017  |
| • OSHA 30-Hour (Construction)                    | Earned: April 2010     |                          |
| • OSHA 30-Hour (General Industry)                | Earned: October 2015   |                          |

## EMPLOYMENT HISTORY

### Health, Safety, & Environmental Specialist

September 21, 2015-Present

Industrial Safety & Training Services (ISTS)

Prepare facilities for audits and inspections to ensure compliance with state and federal regulations by evaluating, developing and implementing EHS programs. Investigate safety/health related issues by conducting complex walkthrough inspections, tool audits and equipment inventories. Create and conduct training programs on various safety and health topics. Generate technical reports detailing audit/investigation results. Improving sustainability and helping prepare facilities for audits and inspections to ensure compliance with state and federal regulations. Ensure regulatory compliance in industries such as, but not limited to, construction, manufacturing, distilling/spirits, and logistics. Operate technical testing equipment such as, but not limited to dosimeters, circuit analyzers, and multi-gas meters.

### Compliance Safety & Health Officer

January 5, 2015-September 18, 2015

Indiana Department of Labor-IOSHA

Conducted complex and detailed inspections of work sites to detect occupational safety hazards covered under 29 CFR 1910 OSHA General Industry Safety and Health Standards, as well as, state safety and health standards and life safety codes (e.g. NFPA). Conduct technical investigations involving accidents and fatalities. Ensure regulatory compliance in industries such as, but not limited to, construction, manufacturing, and healthcare. Evaluate safety and health programs, injury/illness records, and employee training records. Wrote detailed reports of inspections and investigations. Issued citations and monetary penalties to employers. Operated technical testing equipment such as, but not limited to air velocity meters, circuit analyzers, and multi-gas/LEL meters. Attended technical training sessions and seminars.

### Compliance Safety and Health Officer

April 2, 2012-January 3, 2015

Kentucky Labor Cabinet-KYOSH

Conducted independent inspections and investigations of work sites to detect occupational safety hazards covered by 29 CFR 1910 OSHA General Industry Safety and Health Standards and 29 CFR 1926 OSHA Construction Safety and Health Standards, as well as, state safety standards and life safety codes (e.g. NFPA). Conduct technical investigations involving accidents and fatalities. Ensure regulatory compliance in industries such as, but not limited to, construction, manufacturing, and healthcare. Wrote detailed reports of inspections and investigations. Evaluate safety and health programs, injury/illness records, and employee training records. Issued citations and monetary penalties to employers. Researched literature on occupational safety and health laws, standards, and technical developments in the field of job safety. Operated technical testing equipment such as, but not limited to air velocity meters, circuit analyzers, and laser distance meters. Assisted in training new employees and attended technical training sessions and seminars.

### Project Estimator

March 1, 2011-April 1, 2012

Carpet Decorators, Inc.

Take off and bid projects for commercial, institutional, healthcare, and governmental agencies using industry specific software; attend pre-bid/pre-construction meetings; act as key accounts representative for such clients as the University of Kentucky; field verify measurements for renovation/remodeling jobs; and track key account material purchases.



## SARAH A. CARTY, MPH

EHS Specialist/ Industrial Hygienist

859-231-8936 ext. 107

[sarahc@smithmanage.com](mailto:sarahc@smithmanage.com)

### **Education**

**MPH**, Master of Public Health, Eastern Kentucky University

**B.S.**, Biology, Eastern Kentucky University  
*Cum Laude*

### **Professional Organizations**

American Society of Safety Engineers (ASSE)

2015-2016 Louisville Chapter President

2014-2015 Louisville Chapter Vice President

American Industrial Hygiene Association (AIHA)

2015-2017 Board Director for Kentuckiana Section

### **Professional Certifications and Training**

40-Hr OSHA HAZWOPER certification

Post Graduate Industrial Hygiene Certificate

Hazardous Waste Mgmt. (RCRA)-16hr

TSCA Title II Accreditation as an AHERA Asbestos Inspector with licensing in KY, IN & OK

Confined Space Entry & Rescue Certified

TSCA Imports and Exports Training

Department of Homeland Security CVI Authorized User

Sarah Carty is an environmental health and safety specialist and industrial hygienist with experience in industrial hygiene program

evaluation as well as occupational health and safety program development.

Sarah has conducted safety program evaluations and prepared OSHA written programs in a variety of manufacturing and industrial facilities.

Ms. Carty has prepared and presented training on various topics such as TSCA, Hazardous Waste Management, Hazard Communication (GHS) and Industrial Hygiene for clients and conferences.

Sarah has coordinated health and safety programs at facilities that include a large mining equipment manufacturer, an international insulation manufacturer and a large chemical company. She has performed several hazard assessments and edited Job Hazard Analyses for a variety of tasks in a manufacturing setting.

### **Professional Experience**

- industrial environmental health and safety team leader.
- Has completed several EHS audits and risk assessments.
- Has conducted several Industrial Hygiene assessments in a variety of manufacturing facilities in Kentucky, Kansas, Pennsylvania, Tennessee, and Ohio.
- Teaches and develops training programs on a variety of EH&S topics.
- Conducts TSCA Compliance Audits



## WILLIAM SHANE, P.E.

Environmental Engineer

859-231-8936 ext. 108

[williams@smithmanage.com](mailto:williams@smithmanage.com)

### **Education**

**M.S.**, Environmental Engineering, University of Cincinnati

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

### **Professional Certifications**

Professional Engineer, KY License # 29490

William Shane joined Smith Management Group in 2013. William is a civil and environmental engineer with five years of regulatory experience developing National Pollutant Discharge Elimination System (NPDES) wastewater permits with the Kentucky Division of Water (KDOW). William primarily focused on municipal permitting. William's experience with municipal permitting includes all types of facilities, ranging from major and minor permits, to permits with pretreatment programs and combined sewer overflows.

Mr. Shane developed expertise in municipal pretreatment issues while at KDOW. He conducted audits and inspections of pretreatment programs and industrial users throughout Kentucky. Mr. Shane worked with municipal control authorities, industrial users, and EPA to identify and resolve program deficiencies and to recognize and build upon program strengths. As part of this expertise, Mr. Shane achieved Voluntary Pretreatment Level I Certification through the Kentucky-Tennessee Water Environment Association.

William was awarded a Master's Degree in Environmental Engineering from the University of Cincinnati. His EPA-funded research studied the ability of chlorine to

disinfect spores that had adhered to a biofouled concrete pipe network. The research led to publication of an article titled "Persistence of non-native spore forming bacteria in drinking water biofilm and evaluation of decontamination methods" in the journal Environmental Technology.

Mr. Shane is a registered Professional Engineer in the Commonwealth of Kentucky.

### **Professional Experience**

- Developed major and minor municipal NPDES permits for wastewater treatment plants throughout Kentucky.
- Performed technical reviews of and prepared draft permits for general and individual noncoal operations.
- Oversaw municipal pretreatment programs and industrial users for compliance with EPA regulations.
- Prepared Stormwater Pollution Prevention Plans (SWPPP), Spill Prevention Control and Countermeasure (SPCC) Plans, and Groundwater Protection Plans (GPP) for industrial facilities in Kentucky.
- Reviewed industrial, stormwater, and mining NPDES permits for potential areas of concern.
- Provided analysis, support, and follow up for the corporate environmental audits program at a major utility company with facilities in multiple states.



## Experience

Client	Project	Project Description	Client Contact Information
<p>Permobil Corporation, Lebanon, TN</p>	<p>OSHA Written Program Development &amp; Compliance Assistance</p>	<p>SMG prepared OSHA required written programs for their new U.S. facility which consisted of Hazard Communications, Industrial Truck Program, Confined Space Program, Control of Hazardous Energy, Respiratory Protection, Fire Prevention and an Emergency Response Plan. SMG also conducted a facility Hazard Assessment and an Occupational Noise Study. The Hazard Assessment and Noise Evaluation were conducted to determine the need for personal protective equipment and employees for possible inclusion in a Hearing Conservation Program.</p>	<p>Rick Haynes, Senior Human Resources Manager (800) 736-0925 <a href="mailto:Rick.Haynes@permobil.com">Rick.Haynes@permobil.com</a></p>
<p>U.S. Army National Guard-Region South Industrial Hygiene Office, Atlanta, GA</p>	<p>5-Year BPA Contract for Conducting Health Hazard Assessments at Natl. Guard Facilities in a 16 State Region</p>	<p>SMG conducts Health Hazard Assessments and audits of National Guard facilities (16 States-Region South). Services include environmental health &amp; safety regulatory compliance, reviewing Army safety programs, testing and analysis of potential physical, chemical and biological hazards, asbestos assessments &amp; sampling, conducting chemical inventories and assessing potential safety hazards. Responsible for overall project management, conducting assessments and preparing a report of findings for each facility assigned.</p>	<p>Kenneth Fuller (404) 559-4174 <a href="mailto:Mandan.K.Fuller.civ@mail.mil">Mandan.K.Fuller.civ@mail.mil</a></p>



Client	Project	Project Description	Client Contact Information
<p>TRANE Corporation, now a Division of Ingersoll Rand, Lexington, KY</p>	<p>OSHA compliance and review and revision of all written safety programs</p>	<p>SMG conducted a wall to wall OSHA compliance audit as well as review and revision of all written safety programs for TRANE's 700,000 square foot manufacturing facility in Lexington, Kentucky. SMG prepared a detailed spreadsheet indicating each process area, applicable standards, current compliance status and recommended improvements for each of the designated areas within the facility.</p>	<p>Joe Jefferies, CSP EHS Leader, Trane (859) 259-2507</p>
<p>Three Bond International, Inc., West Chester, OH</p>		<p>SMG conducted an environmental health and safety assessment of Three Bond's Manufacturing, Research and Development facilities. SMG reviewed and revised written OSHA compliance programs and provided recommendations on implementation to ensure compliance and promote health and safety within the workplace through the revision of safety policies and procedures.</p>	<p>Confidential/Not Available</p>
<p>Robert Bosch Tool Group Nationwide</p>		<p>SMG conducted annual OSHA compliance audits and/or employee exposure assessments. We have successfully assisted in reducing workman's compensation fees over the past five years by developing a thorough knowledge of each facility's specific needs as they relate to accident prevention, exposure reduction, and the development of risk-reducing engineering and administrative controls.</p>	<p>John Young <a href="mailto:John.Young@us.bosch.com">John.Young@us.bosch.com</a></p>





Client	Project	Project Description	Client Contact Information
GAF Materials Corporation, Pennsylvania	OSHA Compliance Program Development & Support	SMG provided industrial hygiene and OSHA compliance services. We successfully developed lockout/tagout procedures and a confined space program for a facility under an OSHA directive deadline. In conducting this work, Smith Management Group was able to eliminate the cost of confined space emergency rescue training to employees by declassifying permit-required confined spaces to non-permit required confined spaces under specific OSHA guidelines and interpretations.	Confidential/Not Available
Progress Rail and Barge, Louisville, KY	Safety Program Development & Management; OSHA Compliance & Site Management	The client's facility which combines a coal rail yard and barge loading and unloading facility on the Ohio River was under regulatory mandate to completely revamp their Health & Safety Management Programs and OSHA Compliance Programs. SMG placed a full time industrial hygienist at the facility for a period of 6 months, with substantial support from SMG's remaining IH staff to create new programs for all required OSHA standards applicable to the facility. The project included written programs, training and a management system designed to enable the facility to stay up to speed on training, recordkeeping and compliance requirements.	Confidential/Not Available



Client	Project	Project Description	Client Contact Information
Louisville Courier Journal/Gannet Publishing	Facility OSHA Compliance Inspection and Reporting	SMG conducted a safety program review and OSHA compliance inspection of the Courier Journal newspaper printing and production facility located in Louisville, KY. SMG worked with both corporate and local representatives for successful execution of the compliance inspection. A facility-wide Insurance Company/Risk Audit conducted less than six months later indicated the OSHA inspection reporting document and recommendations were outstanding.	<a href="mailto:rohmann@gannett.com">rohmann@gannett.com</a>
Kentucky and Indiana State OSHA (State OSHA Programs)	Kentucky State and Indiana State OSHA Inspector	Joseph Anderson was formerly employed by Kentucky OSHA and conducted many technical inspections in construction and general industry to include imminent danger referrals, employee complaints, accident investigations, fatality investigations, and general schedule (wall-to-wall) audits.	Mark Hughes (KYOSH Supervisor): 502-564-3583  Eric Shell (IOSHA Supervisor): 317-233-3799



## Cost Estimate for Completion of Audits

SMG has prepared the following projected lump sum costs for the services described in the Request for Proposals RFP #64-20150, Section 2 (Safety Audit – Recommended Minimum Scope of Services). The following budgets are inclusive of both facilities.

A. **Kick Off Meeting:** \$1,500.00

B. **Conduct Site Inspections at Each WWTP / Review Findings:** The following lump sum can be amended upon an agreement on the final scope of the audits and deliverables determined during the Kick Off Meeting described in the RFP. In Section 1 (General Project Description – Safety Audits), the RFP indicates that one of the overall goals is to “Identify/document programmatic gaps and compliance deficiencies.” Identifying compliance deficiencies is typically manifested through the completion of a thorough OSHA compliance inspection of the facilities. This is generally a separate service or combined in conjunction with the safety audit which includes reviewing the safety program and its written programs, conducting employee interviews and identifying program gaps and deficiencies. Therefore, we are providing two separate lump sum budgets, the first which contemplates just the safety audit and the second which also includes the comprehensive OSHA compliance audit. The city may select the approach that best meets its needs.

### Projected Cost Range (Includes Town Branch and West Hickman Facilities):

#### Safety Program Audits

Safety Program Review, Conduct Site Inspections (for Safety Program Implementation Review and Employee Interviews), Identify Safety Program Gaps, Conduct Post Audit Meeting and Preparation of Report (Recommended Solutions).

Projected Lump Sum Budget (Safety Program Audits) - \$11,500.00 Total (\$5,750.00 Each Facility)

*NOTE: This budget does not include a complete OSHA Compliance Inspection of each facility.*

#### Safety Program and OSHA Compliance Audit

Projected Lump Sum Budget (Safety Program Audits Combined with Wall to Wall OSHA Compliance Inspections of Each Facility) - \$16,000.00 Total (\$8,000.00 per facility).

*\*\*Please note that execution of the initial site visits for safety program implementation and employee interviews, the eventual scope of the OSHA compliance inspections could be reduced based upon the preliminary facility information obtained.*



### Hourly Rates

CATEGORY	RATE
Principal I <i>Sara Smith</i>	\$195.00
Principal II	\$140.00-\$160.00
Specialist/Senior Project Manager/Sr. Industrial Hygienist <i>(Kevin Chaplin /Joe Anderson)</i>	\$120.00 - \$140.00
Senior Project Engineer/Scientist <i>(William T. Shane)</i>	\$100.00-\$120.00
Project Engineer/Scientist/ Safety Specialist/Industrial Hygienist <i>(Sarah Carty)</i>	\$70.00 - \$100.00
Cad Technician	\$45.00
Administrative Assistant I	\$45.00

### EXPENSES

Direct expenses will be charged as follows:

- Mileage \$0.55/mile
- Environmental or IH Sampling Equipment will be charged in accordance with daily rates schedules
- Laboratory fees will be billed at cost plus 15% (reduced to 10% for this project)
- All other direct expenses will be billed at cost plus 20% (reduced to 10% for this project)



**Required Forms and Submittals**

## AFFIDAVIT

Comes the Affiant, Sara G. Smith, President, SMG, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Sara G. Smith and he/she is the individual submitting the proposal or is the authorized representative of Smith Management Group (SMG), 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.

*Sara G. Smith*

STATE OF Kentucky

COUNTY OF Fayette

The foregoing instrument was subscribed, sworn to and acknowledged before me  
by *Sara G. Smith* on this the *13<sup>th</sup>* day  
of *January*, 201*8*.

My Commission expires: *Sep 15, 2018*

*Jeff Wood*  
NOTARY PUBLIC, STATE AT LARGE



## 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.*

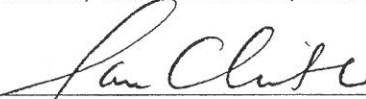
\*\*\*\*\*

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.*

  
\_\_\_\_\_  
Signature

Smith Management Group  
\_\_\_\_\_  
Name of Business



## 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.

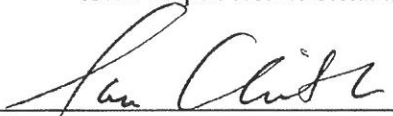
#### B. At Will Termination

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.

  
\_\_\_\_\_  
Signature

1/13/2016  
Date



**LFUCG MWDBE PARTICIPATION FORM**

Bid/RFP/Quote Reference # 64-2015Safety Management Program

Evaluation & Improvement

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. Smith Management Group	<i>prime contractor</i>	<i>\$13,000-\$17,500</i>	<i>80%</i>
2.			
3.			
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.

Smith Management Group

Company

1/13/2016  
Date

*San Clark*  
Company Representative

President  
Title

## **NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION TO ENSURE EQUAL EMPLOYMENT OPPORTUNITIES AND DBE CONTRACT PARTICIPATION**

Notice of requirement for Affirmative Action to ensure Equal Employment Opportunities and Disadvantaged Business Enterprises (DBE) Contract participation. Disadvantaged Business Enterprises (DBE) consists of Minority-Owned Business Enterprises (MBE) and Woman-Owned Business Enterprises (WBE).

The Lexington-Fayette Urban County Government has set a goal that not less than ten percent (10%) of the total value of this Contract be subcontracted to Disadvantaged Business Enterprises, which is made up of MBEs and WBEs. The goal for the utilization of Disadvantaged Business Enterprises as subcontractors is a recommended goal. Contractor(s) who fail to meet such goal will be expected to provide written explanations to the Director of the Division of Purchasing of efforts they have made to accomplish the recommended goal, and the extent to which they are successful in accomplishing the recommended goal will be a consideration in the procurement process. Depending on the funding source, other DBE goals may apply.

For assistance in locating Disadvantaged Business Enterprises Subcontractors contact:

Sherita Miller, Division of Central Purchasing  
Lexington-Fayette Urban County Government  
200 East Main Street, 3rd Floor, Room 338  
Lexington, Kentucky 40507  
[smiller@lexingtonky.gov](mailto:smiller@lexingtonky.gov)

Firm Submitting Proposal: Smith Management Group

Complete Address: 1405 Mercer Road, Lexington, 40511  
Street City Zip

Contact Name: Sara Smith Title: President

Telephone Number: (859) 231-8936 Fax Number: (859) 231-8997  
ext. 105

Email address: saras@smithmanage.com

**WORKFORCE ANALYSIS FORM**

**Name of Organization:** Smith Management Group

**Date:** 01 / 14 / 2016

Categories	Total	White		Latino		Black		Other		Total	
		M	F	M	F	M	F	M	F	M	F
Administrators											
Professionals	15	9	5					1		9	6
Superintendents											
Supervisors											
Foremen											
Technicians											
Protective Service											
Para-Professionals											
Office/Clerical	2.5		2.5								2.5
Skilled Craft											
Service/Maintenance											
<b>Total:</b>	17.5	9	7.5					1		9	8.5

**Prepared by:** Kori Andrews, Environmental Specialist  
*Name & Title*

**DIRECTOR, DIVISION OF CENTRAL PURCHASING  
 LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT  
 200 EAST MAIN STREET  
 LEXINGTON, KENTUCKY 40507**





# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

01/04/2016

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> The Underwriters Group, Inc. 1700 Eastpoint Parkway P.O. Box 23790 Louisville, KY 40223	<b>CONTACT NAME:</b> PHONE (A/C, No, Ext): 502-244-1343      FAX (A/C, No): 502-244-1411 E-MAIL ADDRESS:	
	<b>INSURER(S) AFFORDING COVERAGE</b>	
<b>INSURED</b> Smith Management Group, Inc. 1405 Mercer Road Lexington, KY 40511	INSURER A: Indiana Insurance Company	22659
	INSURER B: Consolidated Insurance Company	22640
	INSURER C: Peerless Indemnity Insurance Company	18333
	INSURER D: Greenwich Insurance Company	22322
	INSURER E:	
	INSURER F:	

**COVERAGES**

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL INSR	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	GENERAL LIABILITY <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC			CBP8935238	01/01/2016	01/01/2017	EACH OCCURRENCE \$1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$300,000 MED EXP (Any one person) \$15,000 PERSONAL & ADV INJURY \$1,000,000 GENERAL AGGREGATE \$2,000,000 PRODUCTS - COMPIOP AGG \$2,000,000 \$
B	AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> ALL OWNED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS			BA8935338	01/01/2016	01/01/2017	COMBINED SINGLE LIMIT (Ea accident) \$1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
B	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED      RETENTION \$ 0			CU8935938	01/01/2016	01/01/2017	EACH OCCURRENCE \$10,000,000 AGGREGATE \$10,000,000 \$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below		N/A	WC8936038	01/01/2016	01/01/2017	<input checked="" type="checkbox"/> WC STATUTORY LIMITS <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$1,000,000 E.L. DISEASE - EA EMPLOYEE \$1,000,000 E.L. DISEASE - POLICY LIMIT \$1,000,000
D	Professional Liability			PEC001914710	08/02/2015	08/02/2016	Each Claim 2,000,000 Aggregate 4,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (Attach ACORD 101, Additional Remarks Schedule, if more space is required)

For Informational Purposes Only  
 For Informational Purposes Only  
 For Informational Purposes Only  
 For Informational Purposes Only  
 For Informational Purposes Only

**CERTIFICATE HOLDER****CANCELLATION**

For Informational Purposes Only  
 For Informational Purposes Only  
 For Informational Purposes Only  
 For Informational Purposes Only  
 For Informational Purposes Only

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE



hereby grants

# National Women's Business Enterprise Certification

to  
Smith Management Group, Inc.

who has successfully met WBENC's standards as a Women's Business Enterprise (WBE).  
This certification affirms the business is woman-owned, operated and controlled; and is valid through the date herein.

WBENC National WBE Certification was processed and validated by Ohio River Valley - Women's Business Council, a WBENC Regional Partner Organization.

Expiration Date: 12/31/2016  
WBENC National Certificate Number: 2005117115



*Sheila C. Mixon*  
Authorized by Sheila Mixon, Interim Executive Director  
Ohio River Valley Women's Business Council

NAICS Codes: 541330, 541620

UNSPSC Codes: 77000000, 77101600, 77111500, 77110000, 77101700, 77101502, 77101504, 77111600, 77101500, 77101503, 77101800





February 29, 2016

Mr. Charles H. Martin, P.E.  
Director, Division of Water Quality  
Lexington-Fayette Urban County Government  
200 East Main Street  
Lexington, KY 40507

**SUBJECT: Smith Management Group; Safety Management Program Evaluation & Improvement, RFP #64-2015  
Scope and Costing Revisions**

Dear Mr. Martin:

Smith Management Group (SMG) has revised the pricing structure and amended the scope of work based upon discussions with representatives of LFUCG's Division of Water Quality and Division of Risk Management during the Kick-Off Meeting on February 22, 2016. The purpose of the meeting was to finalize the scope of the audits and deliverables by SMG and LFUCG and finalize our proposed team. It is SMG's understanding that the overall goal and scope will be to identify compliance deficiencies through the completion of a thorough OSHA compliance inspection of the Town Branch and West Hickman facilities. SMG's team will review the current Division-specific OSHA required written safety programs, conduct on-site compliance inspections of each facility and provide a detailed spreadsheet of findings including prioritization of recommendations and proposed corrective measures.

SMG's report will itemize the compliance issues identified, indicate the OSHA requirement for that specific issue, provide the regulatory reference and list by facility department or location. In addition, the specific priority level to address the issue and an associated recommendation for achieving compliance will be provided. A separate spreadsheet (report) will be prepared for each wastewater treatment facility. In addition, a separate detailed report specifically addressing electrical safety and compliance issues will also be provided for each facility. SMG has added Mitchell and Lindsey, LLC to the audit team specifically for addressing electrical compliance issues. Mitchell and Lindsey, LLC specializes in evaluating electrical risk, electrical compliance issues and by providing training and services related to the implementation of comprehensive electrical safety programs. Mr. Mark Mitchell, with over 34 years of experience in the electrical industry, will conduct the comprehensive electrical safety and compliance analysis of electrical systems and components associated with the facilities.

Lexington  
1405 Mercer Road  
Lexington, KY 40511  
859-231-8936  
859-231-8997 fax

Louisville  
1860 B Williamson Court  
Louisville, KY 40223  
502-587-6482  
502-587-6572 fax



Mr. Charles Martin  
February 29, 2016  
Page 2

Additionally, SMG will be adding Trever Lindemier, CIH, CSP, to the project team. Trever has worked with SMG for over 13 years as a full time employee and currently as a contract employee as needed. Trever will be responsible for reviewing the overall compliance audit approach and reports and providing quality control through final review and consultation with the project team.

LFUCG's Division of Water shall provide access to all facility buildings and processes located at the two WWTPs. In order to assist SMG with determining if proper employee training and work practices are being implemented we would request a description of employee positions and job descriptions for those employees working at the two WWTPs. Employee's that only work in office environments can be described under a generic description such as "administrative". SMG also requests a list of each Department or Building where employees are assigned for each of the two facilities.

The proposed scope of work **does not include**:

- Conducting training or performing corrective actions
- Revising or preparing written safety programs for LFUCG
- Reviewing or addressing the overall "Generic" LFUCG Safety Program (SMG will be reviewing the appropriate Division of Water specific individual safety programs required by OSHA for the two facilities).

**Projected Costs (Includes Town Branch and West Hickman Facilities):**

**Kick Off Meeting: \$1,500.00 (Completed)**

**OSHA Compliance Audit and Report of Findings (Includes Review of Individual Division-Specific Written Safety Programs) for Town Branch and West Hickman WWTPs: \$19,600.00 Total (\$9,800.00 per facility).**

**Electrical Safety & Compliance Audit and Report of Findings (Includes Review of Individual Division-Specific Written Electrical Safety Program): Projected Not to Exceed Amount is \$10,800.00 Total (\$5,400.00 per facility).**

Scheduling

The first phase of the work will be to receive and review the individual written safety programs unique to each facility and the Division of Water. This process should take approximately 7-10 days and is recommended to be completed prior to conducting the on-site audits. A pre-site audit

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Mr. Charles Martin  
February 29, 2016  
Page 3

review will allow SMG's team to become familiar with the specific written requirements prior to reviewing facility implementation practices.

SMG expects the audit team to conduct on-site compliance inspection activities over the course of 2-3 days at each site. The electrical audit itself will require a minimum of two (2) days at each facility. Upon completion of the on-site inspections, an additional 10-14 days will be required for completion of the draft and final report of findings.

SMG appreciates the opportunity to provide our services to you on this project. Should you have any questions on this or any other environmental health and safety matter please do not hesitate to contact me at (502) 587-6482, Ext. 208.

Sincerely,  
**SMITH MANAGEMENT GROUP**



Kevin M. Chaplin  
Senior Industrial Hygienist



Sara G. Smith  
President

Attachments: Trever Lindemier, CIH,CSP Resume  
Mitchell & Lindsey Information  
Mark Mitchell Resume

G:\KEVINKEVINS\LEXINGTON\LFUCG\2016\SMG.2016.LFUCG.REVIS.WWTPS.OSHAAUDIT.PROPOSAL.DOC

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## TREVER L. LINDEMIER, CIH, CSP

---

**CERTIFIED  
INDUSTRIAL  
HYGIENIST**

Trever Lindemier has worked with the Smith Management team for over 13 years. His experience includes time within industrial facilities as EHS Management as well as providing consulting services to a variety of workplaces. Since his graduation in 1997, Trever has accumulated certification as a Certified Safety Professional and a Certified Industrial Hygienist.

### *Education*

**B.S.** Environmental Science (Industrial Hygiene and Safety emphasis), Western Kentucky University, 1997

Trever Lindemier provides CIH and CSP backup to SMG's field teams. His experience is used as needed for quality control, process and procedure review and health and safety plan development.

Mr. Lindemier provides flexibility both at the highest level of review and plan development and as an in-field technician with a wealth of hands-on practical experience. His experience in industrial facilities has included a variety of work environments, giving him a thorough grounding in the hazards present in different work situations.

### *Professional Certifications and Affiliations*

Certified Industrial Hygienist

Certified Safety Professional

ISO 14001 Lead Auditor

OSHA 40 Hour Hazardous Site Worker

Certified Asbestos Inspector; Lead Hazard Risk Assessor

American Industrial Hygiene Association (Local Chapter Director)

American Society of Safety Engineers

### *Professional Experience*

- Managed health & safety projects for over 50 manufacturing facilities nationwide.
- Developed safety teams and reduced facility costs by reducing workers compensation claims and injury rates.
- Demonstrated competence in personnel monitoring and facility-wide OSHA compliance auditing.
- Designed and implemented facility OSHA compliance programs.



Call us today at (502) 836-4217 for a free consultation.



## Electrical Safety, Testing, Engineering & Drawings

### About

Mitchell & Lindsey, LLC is in the electrical safety business. Based in Louisville, Kentucky, we specialize in Arc Flash Hazard Analysis and Training. Our clients <<http://mitchellandlindsey.com/our-clients/>> include companies throughout the United States.

Our management team consists of Bobby Lindsey and Mark Mitchell.

**Bobby Lindsey** holds both an MBA and Electrical Engineering degree from the University of Louisville. He has been in the electrical preventive maintenance industry for 17 years, first learning the trade in 1994 as an Infrared Thermographer with Dyna Scan Technical Services. Just 10 years later, in 2004, Bobby became owner of Dyna Scan. Today, Bobby is one of the two partner-owners of Mitchell & Lindsey, LLC. He is keenly involved in the management and administrative end of the business, but routinely continues to use his expertise to ensure that clients are protected and projects are completed in a timely, professional and thorough manner.

**Mark Mitchell** has 34 years of experience in the electrical industry. He has held positions from apprentice to company owner, and he has managed projects from small service-related installations to multi-million-dollar projects. Mark has an intimate knowledge of project delivery methods from concept through design and completion. In addition, Mark has the following certifications:

- Active Kentucky Contractor and Master Electrical Licenses
- KSHE Certified Contractor
- Approved Kentucky Electrical Continuing Education Provider
- Authorized OSHA Outreach Trainer
- IEC Apprenticeship Instructor

Call us today at (502) 836-4217 for a free consultation.



## Electrical Safety, Testing, Engineering & Drawings

### Compliance

There is much confusion about compliance in regards to electrical hazards. Most people know that NFPA and OSHA are involved, but are unclear about what is required and when. The bottom line is facility managers want to know if NFPA 70E is required by OSHA.

The NEC 110.16 requires that any label state the existence of an arc flash hazard and the corrective action to take. The label must meet ANSI Z525 sign standard. The label should include the following:

- The risk hazard category
- Flash protection boundary
- Incident energy at 18" expressed in cal/cm<sup>2</sup>
- PPE required
- Voltage shock hazard
- Limited shock approach boundary
- Restricted shock approach boundary

NFPA 70E gives two alternative methods of determining the arc flash category of the circuit in question. One method uses a series of task-based tables provided in NFPA 70E and quick calculations based on voltage, kva, etc. The downside of these tables is that they do not identify ways that you can reduce the hazards; they simply list the hazard risk category based on the type of equipment and the task being performed.

A more thorough method – **and the one we use** – is to have a complete arc flash analysis performed at your facility. This type of analysis involves a detailed field verification of your electrical distribution system, from your utility to the equipment on the facility floors. We then use software specifically designed to calculate the arc flash hazard level. Based on the results provided by the software, we write a set of detailed instructions for reducing the hazard levels. In addition, a full arc flash analysis will often turn up situations that eliminate the need to wear as much PPE. Often, we find the tables require a hazard risk category higher than is actually necessary once the hazard risk level has been calculated.



Call us today at (502) 836-4217 for a free consultation.



## Electrical Safety, Testing, Engineering & Drawings

### Electrical Safety Training

#### NFPA 70E Training

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- NFPA 70E, "Standard for Electrical Safety in the Workplace" is the compliance standard recognized by OSHA as an effective means to ensure full compliance.
- Are your employees aware of the hazards and do they understand their responsibilities?
- Schedule an awareness training session and discover how to meet compliance objectives based on the latest edition of the standard.

#### Training Objectives

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- Understand the relationship of OSHA and NFPA 70E
- Understand shock and flash hazards
- Understand OSHA's "qualified worker" requirements
- Understand why Lock Out/Tag Out is no longer accepted as the primary method used to meet compliance
- Learn how to determine the risk associated with the task and how to create "safe working conditions"
- Learn how to identify flash and blast hazards and the purpose of approach boundaries
- Learn how and when to use energized electrical work permits
- Learn how to select and properly use the appropriate PPE

#### Common Compliance Issues

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- Failure to train the appropriate personnel
- Failure to produce adequate documentation
- Thinking outside contractors are totally responsible for their safety training when they enter your facility
- Thinking your current electrical safety program is adequate and meets the latest compliance standards
- Thinking licensed electricians are "qualified"
- Assuming labels and tables are safe work practices

Call us today to get more information on our training sessions. Typical sessions last one day and can be performed at your facility.

**Mark Mitchell**

Frankfort, KY 40601

502-682-8491

Experience

Present: Mitchell & Lindsey, LLC – Vice President

Our company is dedicated to providing professional electrical consulting and installation services. We specialize in electrical safety and compliance through comprehensive analysis of electrical distribution systems and components. Our training, reporting and review process leave our clients with a program meeting the strictest OSHA compliance guidelines.

2004-2009: Davis H Elliot Co.

Construction Manager – Responsible for all construction operations including project management and support staff along with all field personnel, materials and equipment. Projects included new construction, renovation, repair and of various sizes from multi-million dollar electrical contracts to service calls. In addition, to management of the construction department duties included personnel recruiting, employee professional development and safety training.

1998-2004 Arrow Electric Company

General Manger - Lexington Operations - Responsibility included the day to day operations of this full service electrical contractor including construction and service projects of all sizes and complexions. In addition the duties included supervision of the administrative staff along with estimating and marketing responsibilities.

1982 – 1998 Arrow Electric Company

Hired in as a journeyman electrician and climbed the ranks including the following assignments: Lead Electrician, Foreman, General Forman, Superintendent, Service Manager, Project Manager

1977 – 1982 Art's Electric Company

Started as a laborer and worked through the apprenticeship program to licensed journeyman electrician

Current Credentials

Kentucky Electrical Contractor License # CE64027  
Kentucky Master Electrician License # ME28069  
KSHE Hospital Certified Contractor  
30 Hour Program Completion # 600090849  
OSHA Authorized Outreach Trainer # C0037001  
EON US Passport # 64210 / 64174  
EE/ME Approved CEU Provider State of Kentucky  
Past Apprenticeship Instructor IEC Lexington  
Past Southside Technical School Electrical Advisory Committee  
Past Chairman IEC Education Committee

References

Upon request.

