

ENGINEERING SERVICES AGREEMENT

THIS IS AN AGREEMENT made as of January 31, 2017, between the LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (**OWNER**) , an urban county government pursuant to KRS Chapter 67A, located at 200 East Main Street, Lexington, KY 40507, and [REDACTED], located at 801 Corporate Drive, Lexington, KY 40503 (**CONSULTANT**). **OWNER** intends to proceed with the services as described in the attached Exhibit A, "Request for Qualifications for Professional Engineering Services, Contract 1, Roadway Corridor and Intersection Design Planning RFQ #38-2016." The services are to include customary civil, sanitary, mechanical, structural, storm and electrical engineering services as related to completion and submission of reports and deliverables as described in Exhibit A, which may include, among other things, detailing the findings of all field inspections, inventory and required analysis completed by the **CONSULTANT**. The services are hereinafter referred to as the **PROJECT**.

OWNER and **CONSULTANT** in consideration of their mutual covenants herein agree with respect to the performance of professional engineering services by **CONSULTANT** and the payment for those services by **OWNER** as set forth below.

CONSULTANT shall provide professional consulting services for **OWNER** in all phases of the **PROJECT** to which this Agreement applies, serve as **OWNER'S** professional engineering representative for the **PROJECT** as set forth below and shall give professional consultation and advice to **OWNER** during the performance of services hereunder.

SECTION 1 - BASIC SERVICES OF CONSULTANT

1.1. General

CONSULTANT shall perform professional services as hereinafter stated that include customary civil, structural, mechanical, storm, electrical and sanitary engineering services incidental thereto.

1.2. Project Phase

After written authorization to proceed, **CONSULTANT** shall:

- 1.2.1.** Notify the **OWNER** in writing of its authorized representative who shall act as Project Engineer and liaison representative between the **CONSULTANT** and the **OWNER**.
- 1.2.2.** The **CONSULTANT** must perform all duties necessary to fully complete the deliverables described in attached Exhibit A "Request for Proposals/Scope of Engineering Services and Related Matters, Contract 1, RFP# 38-2016", and attached Exhibit B the "Proposal of Engineering Services and Related Matters" (the **CONSULTANT'S** response to RFP# 38-2016 and a current Certificate of Insurance), and amendments to the **CONSULTANT'S** proposal

included in attached Exhibit C “Further Description of Basic Engineering Services and Related Matters.” (Project Assignment for Template).

To the extent of any conflict among the provisions of these documents and/or this Agreement, the provisions of this Agreement shall control, followed by the provisions of **EXHIBIT A**, then **EXHIBIT C**, and then **EXHIBIT B**.

- 1.2.3 The **CONSULTANT** shall provide written documentation of all meetings and be responsible for incorporating all comments and changes resulting therefrom in final work product.
- 1.2.4. The **CONSULTANT** shall submit three (3) copies (hard copies) of all initial draft final work products for this **PROJECT**. The copies of the initial draft final reports are submitted for review and comment by the **OWNER**, and should be presented in person to the **OWNER**.
- 1.2.5. After the **OWNER’S** detailed review, the **CONSULTANT** will revise the initial draft final for all work products for this **PROJECT**, and the **CONSULTANT** shall deliver five (5) copies (hard copies). One electronic copy of all work products for this **PROJECT**, including all appendices, shall be provided and prepared in such a manner that it can readily be converted to a quick-link accessible form for the **OWNER’S** Website. The **OWNER** shall have ten (10) business days within which to accept or deny each such final draft. If is denied, the **OWNER** shall provide a detailed explanation in writing for the basis of such denial. Once the **OWNER** accepts the draft as final, a total of ten (10) final copies (hard copies) are required in addition to an electronic copy.
- 1.2.6 Immediately notify **OWNER** of any delay in the delivery of a work product or deliverable, regardless of cause. Give written notice to **OWNER** within five (5) business days whenever **CONSULTANT** observes or otherwise becomes aware of any development that affects the scope or timing of **CONSULTANT'S** services, or any defect in the work of Contractor(s).

SECTION 2 - EXTRA WORK BY CONSULTANT

- 2.1. The **OWNER** may desire to have the **CONSULTANT** perform work or render services in connection with this **PROJECT** other than provided by the expressed intent of this Agreement. Such work shall be considered as "Extra Work", subject to a change order, supplemental to this Agreement, setting forth the character and scope thereof and the compensation therefore. Work under such change order shall not proceed until the **OWNER** gives written authorization. Should the **OWNER** find it desirable to have previously satisfactorily completed and accepted plans or parts thereof revised, the **CONSULTANT** shall make such revisions as directed, in writing, by the **OWNER**. This work shall be considered as "Extra Work" and shall be paid as such.
- 2.2. All "Extra Work" is subject to prior written authorization of **OWNER** and necessary appropriations made or approvals necessary by the Urban County Council.

SECTION 3 - OWNER'S RESPONSIBILITIES

OWNER shall:

- 3.1. Provide criteria and information as to **OWNER'S** requirements for the **PROJECT**, including design objectives and constraints, space, capacity and performance requirements, flexibility and expandability, and any budgetary limitations.
- 3.2. Assist **CONSULTANT** by placing at his disposal available information pertinent to the Project.
- 3.3. Examine all studies, reports, sketches, drawings, specifications, proposals and other documents presented by **CONSULTANT**, and render in writing decisions pertaining thereto within a reasonable time so as not to delay the services of **CONSULTANT**.
- 3.4. Designate in writing a person to act as **OWNER'S** representative with respect to the services to be rendered under this Agreement. Such person shall have complete authority to transmit instructions, receive information, interpret, and define **OWNER'S** policies and decisions with respect to materials, equipment, elements, and systems pertinent to **CONSULTANT'S** services.
- 3.5. Give written notice to **CONSULTANT** whenever **OWNER** observes or otherwise becomes aware of any development that affects the scope or timing of **CONSULTANT'S** services, or any defect in the work of Contractor(s).
- 3.6. Furnish or direct **CONSULTANT** to provide, necessary Extra Work as stipulated in Section Two (2) of this Agreement or other services as required.

SECTION 4 - PERIOD OF SERVICES

- 4.1. Time is of the essence in the performance of this Agreement. See attached Exhibit C "Further Description of Basic Engineering Services and Related Matters" for the project schedule. Unless otherwise stated, **CONSULTANT** shall perform the services described in Exhibit C for a period of one (1) year from the date of contract execution. **LFUCG**, at its sole discretion, shall have the option to renew this Agreement for an additional period of one (1) year.
- 4.2. The provisions of this Section Four (4) and the various rates of compensation for **CONSULTANT'S** services provided for in Section 5 of this Agreement have been agreed to in anticipation of the orderly and continuous progress of the **PROJECT** through completion.
- 4.3. If a delay results from the acts of **OWNER** or another entity that is required to permit or approve the work or services, an extension of time for such delay will be considered by **OWNER**.
 - 4.3.1. If the above type of delay occurs and **CONSULTANT** wants an extension of time, it must, within ten (10) days from the date of the delay, apply in writing to **OWNER** for an extension of time for a reasonable period, which must be agreed upon by **OWNER**.

- 4.3.2. If the extension of time is approved by **OWNER**, the **PROJECT** schedule/Final Project Assignment shall be revised to reflect the extension. Such extension of time to the completion date shall in no way be construed to operate as a waiver on the part of **OWNER** of any of its other rights in the Agreement.
- 4.3.3. If the above type of delay would prevent complete performance of the **PROJECT**/Final Project Assignment within ninety (90) days of the time specified therein, **OWNER** shall have the option of cancelling the **PROJECT**/Final Project Assignment or otherwise adjusting the scope of the services or work and any related fees.
- 4.3.4. If the parties cannot mutually agree to an extension of time or an adjustment, Section 6.5 under “DISPUTES” of this Agreement shall apply.

4.4. If delays result solely by reason of acts of the **CONSULTANT**, the **CONSULTANT** must immediately notify the **OWNER** in the event of such delay, and provide the **OWNER** a written action plan within five (5) business days on how it will reasonably attempt to resolve the delay. If the parties cannot mutually agree to an extension of time or an adjustment, Section 6.5 under “DISPUTES” of this Agreement shall apply. If the above type of delay would prevent complete performance of the **PROJECT**/Final Project Assignment within forty-five (45) days of the time specified therein, **OWNER** shall have the option of cancelling the **PROJECT**/Final Project Assignment or otherwise adjusting the scope of the services or work and any related fees.

SECTION 5 - PAYMENTS TO CONSULTANT

5.1. Methods of Payment for Services of CONSULTANT

5.1.1. For Basic Services

OWNER shall issue individual Project Assignments for each work assignment performed under this agreement by **CONSULTANT** or its sub-consultant(s). Each Project Assignment shall contain scope of work, fee and schedule for performance of the work. Individual Project Assignments shall be of the form included in Exhibit C.

- 5.1.1.a Fee payable to **CONSULTANT** under individual Project Assignments shall be developed using hourly rates included in Exhibit C or as amended in accordance with provisions herein.
- 5.1.1.b Terms of payment to **CONSULTANT** shall be specified in each Project Assignment. For assignments with defined scope, lump sum assignments shall be issued. Otherwise Project Assignments shall include time and materials payment terms.

5.1.1.c Each Project Assignment issued shall receive prior written approval of **OWNER** prior to **CONSULTANT** proceeding with said work. The **OWNER's** designated agent in Section 8.1.1 shall be the only person authorized to provide such approval.

5.2. Times of Payment

5.2.1. CONSULTANT shall submit monthly statements for Basic Services and Extra Work rendered. The Statements will be based upon **CONSULTANT'S** estimate of the proportion of the total services actually completed at the time of billing. **OWNER** shall respond to **CONSULTANT'S** monthly statements within thirty (30) days, either denying payment or making payment.

5.3. Other Provisions Concerning Payments

5.3.1. In the event the Agreement is terminated by the **OWNER** without fault on the part of the **CONSULTANT**, the **CONSULTANT** shall be paid for the work performed or services rendered for which it has not already been paid as determined by mutual agreement between the **OWNER** and the **CONSULTANT**.

5.3.2. In the event the services of the **CONSULTANT** are terminated by the **OWNER** for fault on the part of the **CONSULTANT**, the **CONSULTANT** shall be paid reasonable value of the work performed or services rendered and delivered for which it has not already been paid, and the amount to be paid shall be determined by the **OWNER**.

SECTION 6 - GENERAL CONSIDERATIONS

6.1. Termination

6.1.1. CONSULTANT may only terminate this Agreement due to **OWNER'S** material breach of the terms hereof which breach causes **CONSULTANT** to be unable to perform its duties and responsibilities under this Agreement and upon forty-five (45) days written advance notice to **OWNER**.

6.1.2. The **OWNER** may terminate this Agreement for cause upon seven (7) business days written advance notice to the **CONSULTANT**. The **OWNER** reserves the right to terminate the Agreement for any reason whatsoever, with or without cause, at any time upon thirty (30) days written advance notice to the **CONSULTANT**.

6.2 Ownership and Reuse of Documents

All documents, including raw data, reports, Drawings and Specifications, prepared by the **CONSULTANT** pursuant to this Agreement shall be delivered to and become the property of the **OWNER**. The **OWNER** shall have the right to reuse same without restriction or limitation, but without liability or legal exposure to **CONSULTANT**.

6.3. Legal Responsibilities and Legal Relations

- 6.3.1.** The **CONSULTANT** shall familiarize himself with and shall at all times comply with all federal, state, and local laws, ordinances, and regulations that in any manner affect the services of this Agreement.
- 6.3.2.** In performing the services hereunder, the **CONSULTANT** and its consultants, employees, agents and representatives shall not be deemed or construed to be employees of **OWNER** in any manner whatsoever. Except as otherwise provided in this Agreement, the **CONSULTANT** shall be acting as an independent contractor. The **CONSULTANT** shall not hold itself out as, nor claim to be, an officer or employee of **OWNER** by reason hereof and shall not make any claim, demand or application to or for any right or privilege applicable to an officer or employee of **OWNER**. The **CONSULTANT** shall be solely responsible for any claims for wages or compensation by **CONSULTANT'S** employees, agents and representatives, including consultants, and shall save and hold **OWNER** harmless therefrom.
- 6.3.3.** The parties hereto agree that causes of actions between the parties shall be governed by Kentucky law, and that venue of any legal action shall only be a court of appropriate jurisdiction in Fayette County, Kentucky. The parties further agree that Kentucky law shall apply with respect to the interpretation of any provision of this Agreement.

6.4. Successors and Assigns

- 6.4.1.** **CONSULTANT** binds itself and his partners, successors, executors, administrators, assigns and legal representatives to this Agreement in respect to all covenants, agreements, and obligations of this Agreement. **CONSULTANT** shall not assign any interest, obligation or benefit in this Agreement, nor transfer any interest in the same, whether by assignment or novation, without prior written consent of **OWNER**.
- 6.4.2.** The **CONSULTANT** shall not subcontract more than fifty percent (50%) of the work, based upon dollar value of the work. The **CONSULTANT** shall obtain written approval prior to subletting or assigning any services contained in this Agreement, and consent to sublet or assign any part of this Agreement shall not be construed to relieve the **CONSULTANT** of any responsibility for compliance with the provisions of this Agreement.

6.4.3. Nothing herein shall be construed to give any rights or benefits hereunder to anyone other than **OWNER** and **CONSULTANT**.

6.5. Disputes

Except as otherwise provided in this Agreement, any dispute hereunder may be resolved by agreement of the **OWNER'S** Agent (Section 8.1.1) and the **CONSULTANT**. In the absence of such an agreement, the dispute shall be submitted to the **OWNER'S** Commissioner, Department of Planning, Preservation & Development, whose decision shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, capricious, arbitrary, or so grossly erroneous as necessarily to imply bad faith. Pending a final decision of a dispute hereunder, the **CONSULTANT** shall proceed diligently with the performance of the Agreement in accordance with the directions of the **OWNER**.

6.6. Accuracy of CONSULTANT'S Work

The **CONSULTANT** shall be required to perform this Agreement in accordance with the degree of ordinary and reasonable skill and care usually exercised by professional engineers prevailing at the time, place and under similar conditions as the services hereunder are rendered.

The **CONSULTANT** shall be responsible for the accuracy of all work, even though raw data, reports, Drawings and Specifications have been accepted by the **OWNER**, and it shall make any necessary revisions or corrections resulting from its errors and/or omissions for no additional compensation. By submission of reports, soils and subsurface information, quantities estimates, calculations and Drawings and Specifications to the **OWNER**, the **CONSULTANT** has made an incontrovertible representation that the information is accurate within the appropriate standard of skill and care. Failure on the part of **CONSULTANT** to provide the expected level of accuracy may be grounds for the **OWNER** to terminate this Agreement.

6.7. Security Clause

The **CONSULTANT** certifies that he shall not at any time release or divulge any information concerning the services covered by this Agreement to any person or any public or private organization except the **OWNER** without prior approval of the **OWNER** unless required by law

6.8. Access to Records

The **CONSULTANT** and his sub-consultants shall maintain all books, documents, papers, and accounting records, and make such materials available at their respective offices at all reasonable times during the Agreement period and for three (3) years from the date of final payment under the Agreement for inspection by the **OWNER**, and copies thereof shall be furnished if requested. Failure to maintain such records for three (3) years after the date of final payment may be grounds

for the **OWNER** to disqualify the **CONSULTANT** from consideration for future consultant engineering agreements.

6.9. Risk Management Provisions, Insurance and Indemnification

6.9.1. Definitions

The **CONSULTANT** understands and agrees that the Risk Management Provisions of this Agreement define the responsibilities of the **CONSULTANT** to the **OWNER**.

As used in these Risk Management Provisions, the terms “**CONSULTANT**” and “**OWNER**” shall be defined as follows:

- a.** **CONSULTANT** means the consultant and its employees, agents, servants, owners, principals, licensees, assigns and subcontractors or subconsultants of any tier.
- b.** **OWNER** means the Lexington-Fayette Urban County Government and its elected and appointed officials, employees, agents, boards, assigns, volunteers, and successors in interest.

6.9.2. Indemnification and Hold Harmless Provision

- a.** It is understood and agreed by the parties that **CONSULTANT** hereby assumes the entire responsibility and liability for any and all damages to persons or property caused by or resulting from or arising out of any act or omission on the part of **CONSULTANT** under or in connection with this agreement and/or the provision of goods or services and the performance or failure to perform any work required thereby.
- b.** **CONSULTANT** shall indemnify, save, hold harmless and defend **OWNER** from and against all liability, damages, and losses, including but not limited to, demands, claims, obligations, causes of action, judgments, penalties, fines, liens, costs, expenses, interest, defense costs and reasonable attorney’s fees that are in any way incidental to or connected with, or that arise or are alleged to have arisen, directly or indirectly, from or by **CONSULTANT**’s performance or breach of the agreement and/or the provision of goods or services provided that: (a) it is attributable to personal injury, bodily injury, sickness, or death, or to injury to or destruction of property (including the loss of use resulting therefrom), or to or from the negligent acts, errors or omissions or willful misconduct of the **CONSULTANT**; and (b) not caused solely by the active negligence or willful misconduct of **OWNER**.

- c. Notwithstanding, the foregoing, with respect to any professional services performed by **CONSULTANT** hereunder (and to the fullest extent permitted by law), **CONSULTANT** shall indemnify, save, hold harmless and defend **OWNER** from and against any and all liability, damages and losses, including but not limited to, demands, claims, obligations, causes of action, judgments, penalties, fines, liens, costs, expenses, interest, defense costs and reasonable attorney's fees, for any damage due to death or injury to any person or injury to any property (including the loss of use resulting therefrom) to the extent arising out of, pertaining to or relating to the negligence, recklessness or willful misconduct of **CONSULTANT** in the performance of this agreement.
- d. In the event **OWNER** is alleged to be liable based upon the above, **CONSULTANT** shall defend such allegations and shall bear all costs, fees and expenses of such defense, including but not limited to, all reasonable attorneys' fees and expenses, court costs, and expert witness fees and expenses, using attorneys approved in writing by **OWNER**, which approval shall not be unreasonably withheld.
- e. These provisions shall in no way be limited by any financial responsibility or insurance requirements, and shall survive the termination of this agreement.
- f. **OWNER** (Lexington-Fayette Urban County Government) is a political subdivision of the Commonwealth of Kentucky. **CONSULTANT** acknowledges and agrees that **OWNER** is unable to provide indemnity or otherwise save, hold harmless, or defend the **CONSULTANT** in any manner.

6.9.3. Financial Responsibility

The **CONSULTANT** understands and agrees that the **CONSULTANT** shall, prior to final acceptance of the **CONSULTANT'S** proposal and the commencement of any work; demonstrate the ability to assure compliance with the Indemnity Agreement and other provisions of Section 6.9 of this Agreement.

6.9.4. Insurance Requirements

6.9.4.1. Required Insurance Coverage

CONSULTANT shall procure and maintain for the duration of this Agreement at its cost and expense the following or equivalent insurance policies at no less than the limits shown below and cause its subcontractors to maintain similar insurance with limits acceptable to **OWNER** in order to protect **OWNER** against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by **CONSULTANT**.

<u>Coverage</u>	<u>Limits</u>
General Liability (Insurance Services Office Form CG 00 01)	\$1 million per occurrence, \$2 million aggregate or \$2 million combined single limit
Commercial Automobile Liability (Insurance Services Office Form CA 0001)	combined single, \$1 million per occurrence
Professional Liability	\$1 million per occurrence, \$2 million aggregate
Worker's Compensation	Statutory
Employer's Liability	\$500,000.00

The policies above shall contain the following conditions:

- a. All Certificates of Insurance forms used by the insurance carrier shall be properly filed and approved by the Department of Insurance for the Commonwealth of Kentucky. **OWNER** shall be named as an additional insured in the General Liability Policy and Commercial Automobile Liability Policy using the Kentucky DOI approved forms. A copy of the certificates shall be submitted to **OWNER** and attached as **Exhibit "B"** to this Agreement.
- b. The General Liability Policy shall be primary to any insurance or self-insurance retained by **OWNER**.
- c. The General Liability Policy shall include a Products and Completed Operations endorsement or Premises and Operations Liability endorsement and a Products Liability endorsement unless they are deemed not to apply by **OWNER**.
- d. The General Liability Policy shall have a Professional Liability endorsement (including Errors and Omissions) for any services performed pursuant to the contract, and/or a separate Professional Liability Policy shall be obtained unless it is deemed not to apply by **OWNER**.
- e. The Professional Liability policy shall be maintained for a minimum of three years beyond the completion date of the project, to the extent commercially available. If not commercially available, **CONSULTANT** shall notify **OWNER** and obtain similar insurance that is commercially available and acceptable to **OWNER**.
- f. **OWNER** shall be provided at least 30 days advance written notice via certified mail, return receipt requested, in the event any of the required policies are canceled or non-renewed.

- g. Said coverage shall be written by insurers acceptable to **OWNER** and shall be in a form acceptable to **OWNER**. Insurance placed with insurers with a rating classification of no less than Excellent (A or A-) and a financial size category of no less than VIII, as defined by the most current Best's Key Rating Guide shall be deemed automatically acceptable.

6.9.4.2. Renewals

After insurance has been approved by **OWNER**, evidence of renewal of an expiring policy must be submitted to **OWNER**, and may be submitted on a manually signed renewal endorsement form. If the policy or carrier has changed, however, new evidence of coverage must be submitted in accordance with these Insurance Requirements.

6.9.4.3. Right to Review, Audit and Inspect

CONSULTANT understands and agrees that **OWNER** may review, audit and inspect any and all of **CONSULTANT'S** records and operations to insure compliance with these Insurance Requirements.

6.9.5 Safety and Loss Control

CONSULTANT understands and agrees that **OWNER** is in no way responsible for the safety and property of **CONSULTANT** or its personnel, **CONSULTANT** shall comply with all applicable federal, state and local safety standards related to the performance of its work or services under this Agreement and take reasonably necessary action to protect the life, health and safety and property of its personnel, the public and **OWNER** in the locations and areas in which **CONSULTANT** is performing services under the Agreement.

6.9.6 Definition of Default

CONSULTANT understands and agrees that the failure to comply with any of these provisions shall constitute default under this Agreement. **CONSULTANT** also agrees that **OWNER** may elect as its option any single remedy or penalty or any combination of remedies and penalties, as available, including but not limited to purchasing insurance and charging **CONSULTANT** for any such insurance premiums purchased, or suspending or terminating this Agreement.

SECTION 7 - EQUAL EMPLOYMENT OPPORTUNITY

During the performance of this Agreement, the **CONSULTANT** agrees as follows:

- 7.1. The **CONSULTANT** will not discriminate against any employee or application for employment because of race, color, religion, national origin, sex, age, or handicap. The **CONSULTANT** will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, national origin, sex, age, or handicap. Such action shall include, but not be limited to the following: employment upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeships. The **CONSULTANT** agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this non-discrimination clause.
- 7.2.1. The **CONSULTANT** will, in all solicitations or advertisements for employees placed by or on behalf of the **CONSULTANT**, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, national origin, sex, age (between forty and seventy), or handicap.

SECTION 8 - SPECIAL PROVISIONS, EXHIBITS, AND SCHEDULES

- 8.1. This Agreement is subject to the following provisions.
 - 8.1.1. Pursuant to subparagraph 3.4 of this Agreement, **OWNER** has assigned Doug Burton, P.E., Director of the Division of Engineering (the "**OWNER'S** Agent"), as the authorized agent of **OWNER**, to monitor, direct and review the performance of work of the **CONSULTANT**. Documents, data, reports, and all matters associated with carrying out this Agreement shall be addressed to the **OWNER'S** Agent or his designee. Questions by the **CONSULTANT** regarding interpretations of the terms, provisions and requirements under this Agreement shall be addressed to the **OWNER'S** Agent or his designee. The **CONSULTANT** shall look only to the **OWNER'S** Agent or his designee for direction in its performance under this Agreement; no other direction shall be binding upon **OWNER**. **OWNER** shall respond to written requests by **CONSULTANT** within thirty (30) days.
- 8.2. This Agreement, together with the Incorporated Documents (Section 1.2) constitutes the entire Agreement between **OWNER** and **CONSULTANT** and supersedes all prior written or oral understandings. This Agreement and **EXHIBITS A, B, C and D** and any related schedules or documents may only be amended, supplemented, modified or canceled by a duly executed written instrument.

- 8.3. NO THIRD PARTY RIGHTS.** This agreement does not create a contractual relationship with or right of action in favor of a third party against either **OWNER** or **CONSULTANT**.
- 8.4 UNENFORCEABLE TERMS/SURVIVABILITY.** If any term or provision of this Agreement shall be found to be illegal or unenforceable, this Agreement shall remain in full force and such term or provision shall be deemed stricken. The provisions of Section 6 of this Agreement shall survive its termination.
- 8.5. NON-WAIVER.** The failure of either party to enforce any right reserved to it in this Agreement shall not be a waiver of any such right to which the party is entitled.

IN WITNESS WHEREOF, the parties hereto have made and executed this Agreement as of the day and year first above written.

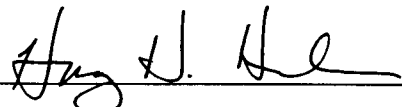
OWNER:


CONSULTANT:

LEXINGTON-FAYETTE URBAN
COUNTY GOVERNMENT

GRW
801 CORPORATE DRIVE
LEXINGTON, KY 40503

BY: 
JIM GRAY, MAYOR

BY: 
HARVEY H. HELM
Print name
VICE PRESIDENT
Print title

ATTEST:

URBAN COUNTY COUNCIL CLERK
COMMONWEALTH OF KENTUCKY)
)
COUNTY OF FAYETTE)

The foregoing Agreement was subscribed, sworn to and acknowledged before me by Harvey H. Helm, as the duly authorized representative for and on behalf of GRW, on this the 5 day of January, 2017.

My commission expires: 12/21/2020.

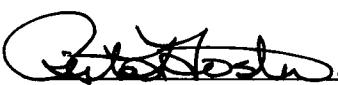
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NOTARY PUBLIC

EXHIBIT A

**REQUEST FOR PROPOSALS/
SCOPE OF ENGINEERING SERVICES
AND RELATED MATTERS**

RFP# 38- 2016



Lexington-Fayette Urban County Government

Request for Qualifications

The Lexington-Fayette Urban County Government hereby requests proposals for **RFQ #38-2016 Professional Engineering Services Contract 1 - Roadway Corridor and Intersection Design Planning** to be provided in accordance with terms, conditions and specifications established herein.

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 **November 10, 2016**.

Proposals received after the date and time set for opening proposals will not be considered for award of a contract and will be returned unopened to the Proposer. It is the sole responsibility of the Proposer to assure that his/her proposal is received by the Division of Central Purchasing before the date and time set for opening proposals.

Proposals must be sealed in an envelope and the envelope prominently marked:

RFQ #38-2016 Professional Engineering Services Contract 1 - Roadway Corridor and Intersection Design Planning

If mailed, the envelope must be addressed to:

Todd Slatin – Purchasing Director
Lexington-Fayette Urban County Government
Room 338, Government Center
200 East Main Street
Lexington, KY 40507

Additional copies of this Request For Qualifications are available from the Division of Central Purchasing, Room 338 Government Center, 200 East Main Street, Lexington, KY 40507, (859)-258-3320, at no charge.

Proposals, once submitted, may not be withdrawn for a period of sixty (60) calendar days.

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.

The Lexington-Fayette Urban County Government reserves the right to reject any or all proposals, and to waive technicalities and informalities when such waiver is determined by the Lexington-Fayette Urban County Government to be in its best interest.

Signature of this proposal by the Proposer constitutes acceptance by the Proposer of terms, conditions and requirements set forth herein.

Minor exceptions may not eliminate the proposal. Any exceptions to the specifications established herein shall be listed in detail on a separate sheet and attached hereto. The Lexington-Fayette Urban County Government shall determine whether any exception is minor.

The Lexington-Fayette Urban County Government encourages the participation of minority- and women-owned businesses in Lexington-Fayette Urban County Government contracts. This proposal is subject to Affirmative Action requirements attached hereto.

Please do not contact any LFUCG staff member or any other person involved in the selection process other than the designated contact person(s) regarding the project contemplated under this RFP while this RFP is open and a selection has not been finalized. Any attempt to do so may result in disqualification of the firm's submittal for consideration.

Laws and Regulations

All applicable state laws, municipal ordinances and regulations of all authorities having jurisdiction over the project shall apply to the contract, and shall be deemed to be incorporated herein by reference.

Equal Employment Opportunity

The Entity (regardless of whether construction contractor, non-construction contractor or supplier) agrees to provide equal opportunity in employment for all qualified persons, to prohibit discrimination in employment because of race, color, creed, national origin, sex or age, and to promote equal employment through a positive, continuing program from itself and each of its subcontracting agents. This program of equal employment opportunity shall apply to every aspect of its employment policies and practices.

Kentucky Equal Employment Opportunity Act

The Kentucky Equal Employment Opportunity Act of 1978 (KRS 45.560-45.640) requires that any "county, city, town, school district, water district, hospital district, or other political subdivision of the state shall include in directly or indirectly publicly funded contracts for supplies, materials, services, or equipment hereinafter entered into the following provisions:

"During the performance of this contract, the contractor agrees as follows:

- (1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, age, or national origin;
- (2) The contractor will state in all solicitations or advertisements for employees placed by or on behalf of the contractors that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, age, or national origin;
- (3) The contractor will post notices in conspicuous places, available to employees and applicants for employment, setting forth the provision of the nondiscrimination clauses required by this section; and
- (4) The contractor will send a notice to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding advising the labor union or workers' representative of the contractor's commitments under the nondiscrimination clauses."

The Act further provides:

"KRS 45.610. Hiring minorities -- Information required

- (1) For the length of the contract, each contractor shall hire minorities from other sources within the drawing area, should the union with which he has collective bargaining agreements be unwilling to supply sufficient minorities to satisfy the agreed upon goals and timetables.
- (2) Each contractor shall, for the length of the contract, furnish such information as required by KRS 45.560 to KRS 45.640 and by such rules, regulations and orders issued pursuant thereto and will permit access to all books and records pertaining to his employment practices and work sites by the contracting agency and the department for purposes of investigation to ascertain compliance with KRS 45.560 to 45.640 and such rules, regulations and orders issued pursuant thereto.

KRS 45.620. Action against contractor -- Hiring of minority contractor or subcontractor

(1) If any contractor is found by the department to have engaged in an unlawful practice under this chapter during the course of performing under a contract or subcontract covered under KRS 45.560 to 45.640, the department shall so certify to the contracting agency and such certification shall be binding upon the contracting agency unless it is reversed in the course of judicial review.

(2) If the contractor is found to have committed an unlawful practice under KRS 45.560 to 45.640, the contracting agency may cancel or terminate the contract, conditioned upon a program for future compliance approved by the contracting agency and the department. The contracting agency may declare such a contractor ineligible to bid on further contracts with that agency until such time as the contractor complies in full with the requirements of KRS 45.560 to 45.640.

(3) The equal employment provisions of KRS 45.560 to 45.640 may be met in part by a contractor by subcontracting to a minority contractor or subcontractor. For the provisions of KRS 45.560 to 45.640, a minority contractor or subcontractor shall mean a business that is owned and controlled by one or more persons disadvantaged by racial or ethnic circumstances.

KRS 45.630 Termination of existing employee not required, when

Any provision of KRS 45.560 to 45.640 notwithstanding, no contractor shall be required to terminate an existing employee upon proof that employee was employed prior to the date of the contract.

KRS 45.640 Minimum skills

Nothing in KRS 45.560 to 45.640 shall require a contractor to hire anyone who fails to demonstrate the minimum skills required to perform a particular job."

It is recommended that all of the provisions above quoted be included as special conditions in each contract. In the case of a contract exceeding \$250,000, the contractor is required to furnish evidence that his workforce in Kentucky is representative of the available work-force in the area from which he draws employees, or to supply an Affirmative Action plan which will achieve such representation during the life of the contract.

LFUCG Non-Appropriation Clause

Contractor acknowledges that the LFUCG is a governmental entity, and the contract validity is based upon the availability of public funding under the authority of its statutory mandate.

In the event that public funds are unavailable and not appropriated for the performance of the LFUCG's obligations under this contract, then this contract shall automatically expire without penalty to the LFUCG thirty (30) days after written notice to Contractor of the unavailability and non-appropriation of public funds. It is expressly agreed that the LFUCG shall not activate this non-appropriation provision for its convenience or to circumvent the requirements of this contract, but only as an emergency fiscal measure during a substantial fiscal crisis, which affects generally its governmental operations.

In the event of a change in the LFUCG's statutory authority, mandate and mandated functions, by state and federal legislative or regulatory action, which adversely affects the LFUCG's authority to continue its obligations under this contract, then this contract shall automatically terminate without penalty to the LFUCG upon written notice to Contractor of such limitation or change in the LFUCG's legal authority.

Contention Process

Vendors who respond to this invitation have the right to file a notice of contention associated with the RFP process or to file a notice of appeal of the recommendation made by the Director of Central Purchasing resulting from this invitation.

Notice of contention with the RFP process must be filed within 3 business days of the bid/proposal opening by (1) sending a written notice, including sufficient documentation to support contention, to the Director of the Division of Central Purchasing or (2) submitting a written request for a meeting with the Director of Central Purchasing to explain his/her contention with the RFP process. After consulting with the Commissioner of Finance the Chief Administrative Officer and reviewing the documentation and/or hearing the vendor, the Director of Central Purchasing shall promptly respond in writing findings as to the compliance with RFP processes. If, based on this review, a RFP process irregularity is deemed to have occurred the Director of Central Purchasing will consult with the Commissioner of Finance, the Chief Administrative Officer and the Department of Law as to the appropriate remedy.

Notice of appeal of a RFP recommendation must be filed within 3 business days of the RFP recommendation by (1) sending a written notice, including sufficient documentation to support appeal, to the Director, Division of Central Purchasing or (2) submitting a written request for a meeting with the Director of Central Purchasing to explain his appeal. After reviewing the documentation and/or hearing the vendor and consulting with the Commissioner of Finance and the Chief Administrative Officer, the Director of Central Purchasing shall in writing, affirm or withdraw the recommendation.

SELECTION CRITERIA:

1. Overall expertise of the firm in project category 20 points
2. Overall expertise of the Team members in project category 25 points
3. Past performance in the project category 25 points
4. Project Manager Qualifications 10 points
5. Office status and location of employees 20 points

Proposals shall contain the appropriate information necessary to evaluate based on these criteria. A committee composed of government employees as well as representatives of relevant user groups will evaluate the proposals.

Questions regarding this RFP shall be addressed to:

Sondra Stone, Buyer Senior
Division of Central Purchasing
sstone@lexingtonky.gov

Affirmative Action Plan

All vendors must submit as a part of the proposal package the following items to the Urban County Government:

1. Affirmative Action Plan for his/her firm;
2. Current Work Force Analysis Form;

Failure to submit these items as required may result in disqualification of the submitter from award of the contract. All submissions should be directed to:

Director, Division of Central Purchasing
Lexington-Fayette Urban County Government
200 East Main Street, 3rd Floor
Lexington, Kentucky 40507

All questions regarding this proposal must be directed to the Division of Central Purchasing, (859)-258-3320.

AFFIDAVIT

Comes the Affiant, _____, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is _____ and he/she is the individual submitting the proposal or is the authorized representative of _____, 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.

STATE OF _____

COUNTY OF _____

The foregoing instrument was subscribed, sworn to and acknowledged before me
by _____ on this the _____ day
of _____, 2016.

My Commission expires: _____

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

Name of Business

WORKFORCE ANALYSIS FORM

Name of Organization: _____

Categories	Total	White (Not Hispanic or Latino)		Hispanic or Latino		Black or African-American (Not Hispanic or Latino)		Native Hawaiian and Other Pacific Islander (Not Hispanic or Latino)		Asian (Not Hispanic or Latino)		American Indian or Alaskan Native (not Hispanic or Latino)		Two or more races (Not Hispanic or Latino)		Total	
		M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Administrators																	
Professionals																	
Superintendents																	
Supervisors																	
Foremen																	
Technicians																	
Protective Service																	
Para-Professionals																	
Office/Clerical																	
Skilled Craft																	
Service/Maintenance																	
Total:																	

Prepared by: _____ Date: ____/____/____

(Name and Title)

Revised 2015-Dec-15

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

**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 Lexington Fayette Urban County Government also has set a goal that not less than three percent (3%) of the total value of this Contract be subcontracted to Veteran-owned Small Businesses. The goal for the utilization of Disadvantaged Business Enterprises as well Veteran -owned Small Businesses 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, MPA, Division of Central Purchasing
Lexington-Fayette Urban County Government
200 East Main Street, 3rd Floor, Room 338
Lexington, Kentucky 40507
smiller@lexingtonky.gov**

Lexington-Fayette Urban County Government
MWDBE PARTICIPATION GOALS

A. GENERAL

- 1) The LFUCG request all potential contractors to make a concerted effort to include Minority-Owned (MBE), Woman-Owned (WBE), Disadvantaged (DBE) Business Enterprises and Veteran-Owned Small Businesses as subcontractors or suppliers in their bids.
- 2) Toward that end, the LFUCG has established 10% of total procurement costs as a Goal for participation of Minority-Owned, Woman-Owned and Disadvantaged Businesses on this contract.
- 3) The LFUCG has also established a 3% of total procurement costs as a Goal for participation of Veteran-Owned Small Businesses (VOSB).
- 4) **It is therefore a request of each Bidder to include in its bid, the same goal (10%) for MWDBE participation and other requirements as outlined in this section.**

B. PROCEDURES

- 1) The successful bidder will be required to report to the LFUCG, the dollar amounts of all payments submitted to Minority-Owned, Woman-Owned or Veteran-Owned subcontractors and suppliers for work done or materials purchased for this contract. (See Subcontractor Monthly Payment Report)
- 2) Replacement of a Minority-Owned, Woman-Owned or Veteran-Owned subcontractor or supplier listed in the original submittal must be requested in writing and must be accompanied by documentation of Good Faith Efforts to replace the subcontractor / supplier with another MWDBE Firm; this is subject to approval by the LFUCG. (See LFUCG MWDBE Substitution Form)
- 3) For assistance in identifying qualified, certified businesses to solicit for potential contracting opportunities, bidders may contact:
 - a) The Lexington-Fayette Urban County Government, Division of Central Purchasing (859-258-3320)
- 4) The LFUCG will make every effort to notify interested MWDBE and Veteran subcontractors and suppliers of each Bid Package, including information on the scope of work, the pre-bid meeting time and location, the bid date, and all other pertinent information regarding the project.

C. DEFINITIONS

- 1) A Minority-Owned Business Enterprise (MBE) is defined as a business which is certified as being at least 51% owned and operated by persons of African American, Hispanic, Asian, Pacific Islander, American Indian or Alaskan Native Heritage.
- 2) A Woman-Owned Business Enterprise (WBE) is defined as a business which is certified as being at least 51% owned and operated by one or more Non-Minority Females.
- 3) A Disadvantaged Business (DBE) is defined as a business which is certified as being at least 51% owned and operated by a person(s) that are economically and socially disadvantaged.
- 4) A Veteran-Owned Small Business (VOSB) is defined as a business which is certified as being at least 51% owned and operated by a veteran and/or a service disabled veteran.
- 5) Good Faith Efforts are efforts that, given all relevant circumstances, a bidder or proposer actively and aggressively seeking to meet the goals, can reasonably be expected to make. In evaluating good faith efforts made toward achieving the goals, whether the bidder or proposer has performed the efforts outlined in the Obligations of Bidder for Good Faith Efforts outlined in this document will be considered, along with any other relevant factors.

D. OBLIGATION OF BIDDER FOR GOOD FAITH EFFORTS

- 1) **The bidder shall make a Good Faith Effort to achieve the Participation Goal for MWDBE and Veteran-Owned subcontractors/suppliers. The failure to meet the goal shall not necessarily be cause for disqualification of the bidder; however, bidders not meeting the goal are required to furnish with their bids written documentation of their Good Faith Efforts to do so.**
- 2) Award of Contract shall be conditioned upon satisfaction of the requirements set forth herein.
- 3) The Form of Proposal includes a section entitled "MWDBE Participation Form". The applicable information must be completed and submitted as outlined below.
- 4) **Failure to submit this information as requested may be cause for rejection of bid or delay in contract award.**

E. DOCUMENTATION REQUIRED FOR GOOD FAITH EFFORTS

- 1) Bidders reaching the Goal are required to submit only the MWDBE Participation Form." The form must be fully completed including names and telephone number of participating MWDBE firm(s); type of work to be performed;

estimated value of the contract and value expressed as a percentage of the total Lump Sum Bid Price. The form must be signed and dated, and is to be submitted with the bid.

- 2) Bidders not reaching the Goal must submit the "MWDBE Participation Form", the "Quote Summary Form" and a written statement documenting their Good Faith Effort to do so. If bid includes no MWDBE and/or Veteran participation, bidder shall enter "None" on the subcontractor / supplier form). In addition, the bidder must submit written proof of their Good Faith Efforts to meet the Participation Goal:
 - a. 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 and Veteran-Owned businesses to participate.
 - b. Included documentation of advertising in the above publications with the bidders good faith efforts package
 - c. Attended LFUCG Central Purchasing Economic Inclusion Outreach event
 - d. Attended pre-bid meetings that were scheduled by LFUCG to inform MWDBEs and/or Veteran-Owned businesses of subcontracting opportunities
 - e. Sponsored Economic Inclusion event to provide networking opportunities for prime contractors and MWDBE firms and Veteran-Owned businesses.
 - f. Requested a list of MWDBE and/or Veteran subcontractors or suppliers from LFUCG and showed evidence of contacting the companies on the list(s).
 - g. Contacted organizations that work with MWDBE companies for assistance in finding certified MWDBE firms and Veteran-Owned businesses to work on this project. Those contacted and their responses should be a part of the bidder's good faith efforts documentation.
 - h. 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.
 - i. Followed up initial solicitations by contacting MWDBEs and Veteran-Owned Businesses to determine their level of interest.

- j. Provided the interested MWDBE firm and/or Veteran-Owned business with adequate and timely information about the plans, specifications, and requirements of the contract.
- k. Selected portions of the work to be performed by MWDBE firms and/or Veteran-Owned businesses 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 and Veteran participation, even when the prime contractor may otherwise perform these work items with its own workforce
- l. Negotiated in good faith with interested MWDBE firms and Veteran-Owned businesses 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.
- m. Included documentation of quotations received from interested MWDBE firms and Veteran-Owned businesses 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.
- n. 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 and/or Veteran-Owned business's quote. Nothing in this provision shall be construed to require the bidder to accept unreasonable quotes in order to satisfy MWDBE and Veteran goals.
- o. Made an effort to offer assistance to or refer interested MWDBE firms and Veteran-Owned businesses to obtain the necessary equipment, supplies, materials, insurance and/or bonding to satisfy the work requirements of the bid proposal
- p. Made efforts to expand the search for MWBE firms and Veteran-Owned businesses beyond the usual geographic boundaries.
- q. Other--any other evidence that the bidder submits which may show that the bidder has made reasonable good faith efforts to include MWDBE and Veteran participation.

Note: 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 which is subject to review by the MBE Liaison. Documentation of Good Faith Efforts must be submitted with the Bid, if the participation Goal is not met.



MINORITY BUSINESS ENTERPRISE PROGRAM

Sherita Miller, MPA
Minority Business Enterprise Liaison
Division of Central Purchasing
Lexington-Fayette Urban County Government
200 East Main Street
Lexington, KY 40507
smiller@lexingtonky.gov
859-258-3323

OUR MISSION: The mission of the Minority Business Enterprise Program is to facilitate the full participation of minority and women owned businesses in the procurement process and to promote economic inclusion as a business imperative essential to the long term economic viability of Lexington-Fayette Urban County Government.

To that end the city council adopted and implemented resolution 167-91—Disadvantaged Business Enterprise (DBE) 10% Goal Plan in July of 1991. The resolution states in part (a full copy is available in Central Purchasing):

“A Resolution supporting adoption of the administrative plan for a ten percent (10%) Minimum goal for disadvantaged business enterprise participation in Lexington-Fayette Urban County Government construction and professional services contracts; Providing that as part of their bids on LFUCG construction contracts, general Contractors shall make a good faith effort to award at least ten percent (10%) of All subcontracts to disadvantaged business enterprises; providing that divisions of LFUCG shall make a good faith effort to award at least ten percent of their Professional services and other contracts to disadvantaged business enterprises...”

A Disadvantaged Business Enterprise is defined as a business that has been certified as being at least 51% owned, operated and managed by a U.S. Citizen of the following groups:

- African-American
- Hispanic-American
- Asian/Pacific Islander
- Native American/Native Alaskan
- Non-Minority Female
- Economically and Socially Disadvantaged

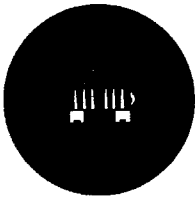
In addition, to that end the city council also adopted and implemented resolution 167-91—Veteran-owned Businesses, 3% Goal Plan in July of 2015. The resolution states in part (a full copy is available in Central Purchasing):

“A resolution adopting a three percent (3%) minimum goal for certified veteran-owned small businesses and service disabled veteran-owned businesses for certain of those Lexington-Fayette Urban County contracts related to

construction for professional services, and authorizing the Division of Purchasing to adopt and implement guidelines and/or policies consistent with the provisions and intent of this resolution by no later than July 1, 2015.”

We have compiled the list below to help you locate certified MBE, WBE and DBE certified businesses. Below is a listing of contacts for LFUCG Certified MWDBEs and Veteran-Owned Small Businesses in (<https://lexingtonky.ionwave.net>)

Business	Contact	Email Address	Phone
LFUCG	Sherita Miller	smiller@lexingtonky.gov	859-258-3323
Commerce Lexington – Minority Business Development	Tyrone Tyra	ttyra@commercelexington.com	859-226-1625
Tri-State Minority Supplier Diversity Council	Susan Marston	smarston@tsmsdc.com	502-365-9762
Small Business Development Council	Shirie Hawkins UK SBDC	smack@uky.edu	859-257-7666
Community Ventures Corporation	Phyllis Alcorn	palcorn@cvky.org	859-231-0054
KY Transportation Cabinet (KYTC)	Melvin Byne	Melvin.bynes2@ky.gov	502-564-3601
KYTC Pre-Qualification	Shella Eagle	Shella.Eagle@ky.gov	502-782-4815
Ohio River Valley Women’s Business Council (WBENC)	Sheila Mixon	smixon@orvwbc.org	513-487-6537
Kentucky MWBE Certification Program	Yvette Smith, Kentucky Finance Cabinet	Yvette.Smith@ky.gov	502-564-8099
National Women Business Owner’s Council (NWBOC)	Janet Harris-Lange	janet@nwbo.org	800-675-5066
Small Business Administration	Robert Coffey	robertcoffey@sba.gov	502-582-5971
LaVoz de Kentucky	Andres Cruz	lavozdeky@yahoo.com	859-621-2106
The Key News Journal	Patrice Muhammad	paatricem@keynewsjournal.com	859-373-9428



LFUCG MWDBE PARTICIPATION FORM

Bid/RFP/Quote Reference # _____

The MWDBE and/or veteran 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. **Failure to submit a completed form may cause rejection of the bid.**

MWDBE Company, Name, Address, Phone, Email	MBE WBE or DBE	Work to be Performed	Total Dollar Value of the Work	% Value of Total Contract
1.				
2.				
3.				
4.				

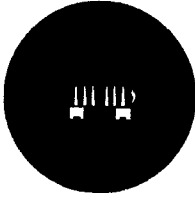
The undersigned company representative submits the above list of MWDBE firms to be used in accomplishing the work contained in this Bid/RFP/Quote. Any misrepresentation may result in the termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and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

Company

Company Representative

Date

Title



LFUCG MWDBE SUBSTITUTION FORM

Bid/RFP/Quote Reference # _____

The substituted MWDBE and/or veteran 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.					
4.					

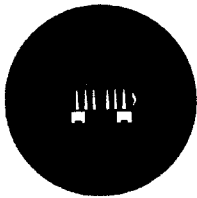
The undersigned acknowledges that any misrepresentation may result in termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and false claims.

Company

Company Representative

Date

Title



MWDBE QUOTE SUMMARY FORM

Bid/RFP/Quote Reference # _____

The undersigned acknowledges that the minority and/or veteran subcontractors listed on this form did submit a quote to participate on this project. Failure to submit this form may cause rejection of the bid.

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	Veteran

(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.

Company

Date

Company Representative

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. The LFUCG also has a 3% goal plan adopted by cited council to increase the participation of veteran owned businesses in the procurement process. In order to measure that goal LFUCG will track spending with MWDBE and Veteran contractors 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 # _____

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

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 # _____

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 and Veteran-Owned 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 and Veteran-Owned businesses 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 and/or Veteran-Owned Businesses of subcontracting opportunities

_____ Sponsored Economic Inclusion event to provide networking opportunities for prime contractors and MWDBE firms and Veteran-Owned businesses

_____ Requested a list of MWDBE and/or Veteran subcontractors or suppliers from LFUCG and showed evidence of contacting the companies on the list(s).

_____ Contacted organizations that work with MWDBE companies for assistance in finding certified MWDBE firms and Veteran-Owned businesses 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 and Veteran-Owned businesses to determine their level of interest.

_____ Provided the interested MWDBE firm and/or Veteran-Owned business 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 and/or Veteran-Owned businesses 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 and Veteran participation, even when the prime contractor may otherwise perform these work items with its own workforce

_____ Negotiated in good faith with interested MWDBE firms and Veteran-Owned businesses 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 and Veteran-Owned businesses 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 and/or Veteran-Owned business's quote. Nothing in this provision shall be construed to require the bidder to accept unreasonable quotes in order to satisfy MWDBE and Veteran goals.

_____ Made an effort to offer assistance to or refer interested MWDBE firms and Veteran-Owned businesses 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 and Veteran-Owned businesses beyond the usual geographic boundaries.

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

NOTE: 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 which is subject to approval by the MBE Liaison. Documentation of Good Faith Efforts must 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.

Company

Date

Company Representative

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.

Signature

Date

**RISK MANAGEMENT PROVISIONS
INSURANCE AND INDEMNIFICATION**

INDEMNIFICATION AND HOLD HARMLESS PROVISION

- (1) It is understood and agreed by the parties that Consultant hereby assumes the entire responsibility and liability for any and all damages to persons or property caused by or resulting from or arising out of any act or omission on the part of Consultant or its employees, agents, servants, owners, principals, licensees, assigns or subcontractors of any tier (hereinafter "Consultant") under or in connection with this agreement and/or the provision of goods or services and the performance or failure to perform any work required thereby.
- (2) Consultant shall indemnify, save, hold harmless and defend the Lexington-Fayette Urban County Government and its elected and appointed officials, employees, agents, volunteers, and successors in interest (hereinafter "LFUCG") from and against all liability, damages, and losses, including but not limited to, demands, claims, obligations, causes of action, judgments, penalties, fines, liens, costs, expenses, interest, defense costs and reasonable attorney's fees that are in any way incidental to or connected with, or that arise or are alleged to have arisen, directly or indirectly, from or by Consultant's performance or breach of the agreement and/or the provision of goods or services provided that: (a) it is attributable to personal injury, bodily injury, sickness, or death, or to injury to or destruction of property (including the loss of use resulting therefrom), or to or from the negligent acts, errors or omissions or willful misconduct of the Consultant; and (b) not caused solely by the active negligence or willful misconduct of LFUCG.
- (3) Notwithstanding, the foregoing, with respect to any professional services performed by Consultant hereunder (and to the fullest extent permitted by law), Consultant shall indemnify, save, hold harmless and defend LFUCG from and against any and all liability, damages and losses, including but not limited to, demands, claims, obligations, causes of action, judgments, penalties, fines, liens, costs, expenses, interest, defense costs and reasonable attorney's fees, for any damage due to death or injury to any person or injury to any property (including the loss of use resulting therefrom) to the extent arising out of, pertaining to or relating to the negligence, recklessness or willful misconduct of Consultant in the performance of this agreement.
- (4) In the event LFUCG is alleged to be liable based upon the above, Consultant shall defend such allegations and shall bear all costs, fees and expenses of such defense, including but not limited to, all reasonable attorneys' fees and expenses, court costs, and expert witness fees and expenses, using attorneys approved in writing by LFUCG, which approval shall not be unreasonably withheld.
- (5) These provisions shall in no way be limited by any financial responsibility or insurance requirements, and shall survive the termination of this agreement.
- (6) LFUCG is a political subdivision of the Commonwealth of Kentucky. CONSULTANT acknowledges and agrees that LFUCG is unable to provide indemnity or otherwise save, hold harmless, or defend the CONSULTANT in any manner.

FINANCIAL RESPONSIBILITY

CONSULTANT understands and agrees that it shall, prior to final acceptance of its proposal and the commencement of any work or services, demonstrate the ability to assure compliance with the above Indemnity provisions and these other risk management provisions.

INSURANCE REQUIREMENTS

YOUR ATTENTION IS DIRECTED TO THE INSURANCE REQUIREMENTS BELOW, AND YOU MAY NEED TO CONFER WITH YOUR INSURANCE AGENTS, BROKERS, OR CARRIERS TO DETERMINE IN ADVANCE OF SUBMISSION OF A RESPONSE THE AVAILABILITY OF THE INSURANCE COVERAGES AND ENDORSEMENTS REQUIRED HEREIN. IF YOU FAIL TO COMPLY WITH THE INSURANCE REQUIREMENTS BELOW, YOU MAY BE DISQUALIFIED FROM AWARD OF THE CONTRACT.

Required Insurance Coverage

CONSULTANT shall procure and maintain for the duration of this contract the following or equivalent insurance policies at no less than the limits shown below and cause its subcontractors to maintain similar insurance with limits acceptable to LFUCG in order to protect LFUCG against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work or services hereunder by CONSULTANT. The cost of such insurance shall be included in any bid:

<u>Coverage</u>	<u>Limits</u>
General Liability (Insurance Services Office Form CG 00 01)	\$1 million per occurrence, \$2 million aggregate or \$2 million combined single limit
Commercial Automobile Liability (Insurance Services Office Form CA 0001)	combined single, \$1 million per occurrence
Professional Liability aggregate	\$1 million per occurrence, \$2 million
Worker's Compensation	Statutory
Employer's Liability	\$500,000.00

The policies above shall contain the following conditions:

- a. All Certificates of Insurance forms used by the insurance carrier shall be properly filed and approved by the Department of Insurance for the Commonwealth of Kentucky. LFUCG shall be named as an additional insured in the General Liability Policy and Commercial Automobile Liability Policy using the Kentucky DOI approved forms.
- b. The General Liability Policy shall be primary to any insurance or self-insurance retained by LFUCG.
- c. The General Liability Policy shall include a Products and Completed Operations endorsement or Premises and Operations Liability endorsement and a Products Liability endorsement unless they are deemed not to apply by LFUCG.
- d. The General Liability Policy shall have a Professional Liability endorsement (including Errors and Omissions) for any services performed pursuant to the contract, and/or a separate Professional Liability Policy shall be obtained unless it is deemed not to apply by LFUCG.
- e. The Professional Liability policy shall be maintained for a minimum of three years beyond the completion date of the project, to the extent commercially available. If not commercially available, CONSULTANT shall notify LFUCG and obtain similar insurance that is commercially available and acceptable to LFUCG.

- f. LFUCG shall be provided at least 30 days advance written notice via certified mail, return receipt requested, in the event any of the required policies are canceled or non-renewed.
- g. Said coverage shall be written by insurers acceptable to LFUCG and shall be in a form acceptable to LFUCG. Insurance placed with insurers with a rating classification of no less than Excellent (A or A-) and a financial size category of no less than VIII, as defined by the most current Best's Key Rating Guide shall be deemed automatically acceptable.

Renewals

After insurance has been approved by LFUCG, evidence of renewal of an expiring policy must be submitted to LFUCG, and may be submitted on a manually signed renewal endorsement form. If the policy or carrier has changed, however, new evidence of coverage must be submitted in accordance with these Insurance Requirements.

Deductibles and Self-Insured Programs

IF YOU INTEND TO SUBMIT A SELF-INSURANCE PLAN IT MUST BE FORWARDED TO LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT, DIVISION OF RISK MANAGEMENT, 200 EAST MAIN STREET, LEXINGTON, KENTUCKY 40507 NO LATER THAN A MINIMUM OF FIVE (5) WORKING DAYS PRIOR TO THE RESPONSE DATE. Self-insurance programs, deductibles, and self-insured retentions in insurance policies are subject to separate approval by Lexington-Fayette Urban County Government's Division of Risk Management, upon review of evidence of CONSULTANT's financial capacity to respond to claims. Any such programs or retentions must provide LFUCG with at least the same protection from liability and defense of suits as would be afforded by first-dollar insurance coverage. If CONSULTANT satisfies any portion of the insurance requirements through deductibles, self-insurance programs, or self-insured retentions, CONSULTANT agrees to provide Lexington-Fayette Urban County Government, Division of Risk Management, the following data prior to the final acceptance of bid and the commencement of any work:

- a. Latest audited financial statement, including auditor's notes.
- b. Any records of any self-insured trust fund plan or policy and related accounting statements.
- c. Actuarial funding reports or retained losses.
- d. Risk Management Manual or a description of the self-insurance and risk management program.
- e. A claim loss run summary for the previous five (5) years.
- f. Self-Insured Associations will be considered.

Safety and Loss Control

CONSULTANT shall comply with all applicable federal, state, and local safety standards related to the performance of its works or services under this Agreement and take necessary action to protect the life, health and safety and property of all of its personnel on the job site, the public, and LFUCG.

Verification of Coverage

CONSULTANT agrees to furnish LFUCG with all applicable Certificates of Insurance signed by a person authorized by the insurer to bind coverage on its behalf prior to final award, and if requested, shall provide LFUCG copies of all insurance policies, including all endorsements.

Right to Review, Audit and Inspect

CONSULTANT understands and agrees that LFUCG may review, audit and inspect any and all of its records and operations to insure compliance with these Insurance Requirements.

DEFAULT

CONSULTANT understands and agrees that the failure to comply with any of these insurance, safety, or loss control provisions shall constitute default and that LFUCG may elect at its option any single remedy or penalty or any combination of remedies and penalties, as available, including but not limited to purchasing insurance and charging CONSULTANT for any such insurance premiums purchased, or suspending or terminating the work.

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Request for Qualifications (RFQ) for Professional Engineering Services Contract 1 – Roadway Corridor and Intersection Design/Planning

1. Background

Lexington-Fayette Urban County Government (LFUCG) is accepting Statements of Qualifications (SOQs) from interested consulting engineering firms for professional engineering services, including design, bidding assistance and construction administration for infrastructure improvements. This RFQ shall serve as the initial step in solicitations for specific projects. Prequalification of firms will be followed by solicitation of design fee bids for specific projects from select firms. Prequalification of consultants does not constitute a guarantee of being awarded projects at any point in the future; **there will be no guarantee of work for any firm or firms.**

Currently there are eight (8) active prequalification categories, as listed below. Historically, only Contract 1: *Roadway Corridor and Intersection Design/Planning* has been significantly utilized. Current Contracts 2-8 are being renewed, per terms of the 2014 contract. Therefore, **this Request for Qualifications shall only address Contract 1.** The current Contract 1 will expire upon passage of new Contract 1; therefore, all firms interested in Contract 1 will have to re-submit for this RFQ. The possible number of firms that will be prequalified in this process shall be increased from six (6) to ten (10).

Contract 1 - Roadway corridor and intersection design/planning – re-bid in this RFQ package.

Contract 2 - Right-Of-Way or easement acquisition – renewed.

Contract 3 - Construction drawings review for DOE manual compliance – renewed.

Contract 4 - Structures or bridge design – renewed.

Contract 5 - Pedestrian, bike, or multimodal trail design/planning – renewed.

Contract 6 - Traffic signal design – renewed.

Contract 7 - Geotechnical testing, analysis and design (subgrade improvements, foundations, pavement design or rehabilitation, etc.) – renewed.

Contract 8 - Construction inspection – renewed.

Engineering services for other disciplines not detailed above may be solicited in a separate procurement.

The Urban County Government reserves the right to periodically re-solicit for qualifications. Furthermore, if a firm that submitted qualifications in response to this solicitation experiences a change in staffing or expertise that substantially changes their qualifications to perform work under this program, they must communicate the change in qualifications to LFUCG in written addenda.

2. Contracting Process

Each prequalified firm shall be awarded with an indefinite service delivery contract. Projects assigned to prequalified consultants shall be completed on a fee basis, authorized in an approved Project Assignment. Only the approval of a project-specific Project Assignment shall constitute a notice to proceed on specific projects.

The intent of this procurement process is to assign projects to contracted firms on a rotational basis. LFUCG will rank proposers and select a specified number of qualified consultants in each project category for design work for a 365 day period beginning from contract execution date. LFUCG will have the option to renew the indefinite delivery contracts on an annual basis, at its sole discretion. LFUCG will also reserve the option to add additional qualified firms using another, identical RFQ process.

Once selections are made for the specified number of qualified consultants, the firms will be ranked as follows: The firm with the highest total dollar value of Division of Engineering (DOE) contracts or additions to existing contracts over the last 24 months (from the date of advertisement of this RFQ) will be placed at the bottom of the list for new project work. The process will continue until all firms with recent DOE work have been ranked from highest value of DOE contracts to the lowest value of DOE contracts over the last 24 months. The remaining firms that have not been awarded any DOE contracts over the last 24 months will then be ranked according to their point totals from the initial rankings with the highest scored team being the number one firm on the list.

When LFUCG initiates a particular project, the three highest ranked firms in that particular category of project will be asked to submit a fee proposal to perform the engineering services described by LFUCG, which will generally include the provisions of Section 3 below. Exhibit 1 is a template for a typical fee proposal. In addition to furnishing lump sum line items costs, the consultant shall address DBE utilization, current qualification status, and shall acknowledge receipt of addenda.

The firm submitting the lowest cost proposal will be offered a written Project Assignment. If for any reason the firm currently under consideration rejects the project assignment, the firm submitting the next lowest fee may be offered the project assignment. If the second firm does not accept the project assignment, DOE may then offer the project assignment to the third firm. If that offer does not result in an accepted project assignment, DOE may solicit cost proposals from the next three ranked firms. The cycle will continue until the project is assigned or canceled. Any firms who provided written cost proposals and were offered a project assignment that was then rejected, will be placed at the bottom of the list. Firms that provide a written cost proposal but are not offered a project assignment shall not lose their place on the consideration list. For project categories with three or less pre-qualified firms, all firms will be asked to submit a fee proposal each time.

As each firm is issued a Project Assignment for a specific project, they will then be moved to the bottom of the list, giving the next three highest ranked firms the opportunity to provide bids for the next project. When LFUCG initiates a particular project, any of the current highest ranked firms may choose not to submit pricing if they do not have current capacity to complete the work. A firm may decline up to two projects without being moved to the bottom of that category's list. After declining a third project, the firm will then be moved to the bottom of the list. Excessively high fee proposals (more than twice the lowest proposal) may be counted as declined bids for this purpose.

3. General Project Description

The Consultant shall perform professional services as hereinafter stated which include customary civil, mechanical, structural, electrical, storm, and sanitary engineering services as related to the design, bidding, and construction administration of LFUCG projects. All work shall be conducted in accordance with the LFUCG DOE Manuals, to the best extent practical. Services during design may include:

- Review of DOE/LFUCG supplied or referenced information related to the project, including the latest photographic mapping and digital information that is available.
- Preparation of and adherence to a specific project schedule that ensures compliance with required project completion deadlines.
- Field and cadastral surveying.
- Deed research / easement preparation as required. Easements may be in the form of metes and bounds, centerline, or platted as directed by DOE/LFUCG. If easement acquisition is included in the scope of services of the design consultant, easement negotiations with property owners will be the responsibility of the consultant.
- Preparation of detailed design for new installations, replacement projects, or site specific specification of rehabilitation requirements and methods.
- Preparation of all permit applications (Corps of Engineers (COE), Division of Water (DOW), Kentucky Department of Highways (KDOH), LFUCG, Federal Emergency Management Agency (FEMA), railroad, other).
- Preparation of Storm Water Pollution Prevention Plans (SWPPPs) and/or Erosion and Sediment Control Plans as required.
- Preparation of Contract Documents (Plans and Specifications) in a suitable format for bidding and consistent with all DOE/Division of Traffic Engineering (DOTE)/LFUCG standards. (NOTE: DOE/DOTE may provide each consultant standard front end and technical specifications for their use. However, the consultant shall be responsible for reviewing the documents and incorporating project-specific elements as necessary for each project.)
- Preparation of Engineer's pre-bid Opinion of Project Costs.
 - Attendance at design meetings: kick-off, progress at 30% and 75% complete, final review.

Services during Bidding, including but not limited to the following, may or may not be included in an approved project assignment:

- Conduct pre-bid conference
- Respond to questions and issue addenda as necessary
- Bid review and evaluation and provide recommendation of award
- Enter quantities into Unit Price Contract spreadsheet and solicit the UPC contractors

Services during Construction, including but not limited to the following, may or may not be included in the Scope of Services for specific task orders:

- Contract administration
- Review and approval of shop drawings
- Responses to contractor requests for information (RFIs)
- Review and approval of pay requests and change order requests
- Preparation of Record Drawings/as-builts in hard copy and electronic formats, as directed by the DOE.
- Provide Global Positioning Systems (GPS) coordinates for all constructed features in accordance with LFUCG standards
- Final Inspection and preparation of punchlist
- Project start-up and preparation of operations and maintenance manuals (pumpstations)
- Project Certification
- Meetings – consultant will be responsible for agenda and preparation of meeting summary
 - Preconstruction
 - Monthly progress meetings
 - Project closeout meeting
- Resident Observation – full-time, on-site, including preparation of record drawings

4. Submittals

Each firm responding to this RFQ shall submit an SOQ for Contract 1 prequalification. SOQ's should be spiral or comb bound to allow ease for archiving (no 3-ring binders). Each firm must submit one (1) master hardcopy, (1) electronic version in PDF format on a flash drive or CD and seven (7) duplicates (hardcopies). Statements of Qualification shall be structured as follows:

Section

1. Letter of Transmittal (**one page maximum**)
2. Firm Qualifications (**two pages maximum**)
 - Provide an executive summary explaining why the firm should be selected to provide services for DOE projects, along with general information about the firm (and subconsultants) related to their history and general qualifications specific to Contract 1.
3. Project Team (**six pages maximum**)
 - Provide an organizational chart for identifying project manager, project engineers, surveyors, Disadvantaged Business Enterprise (DBE) Firm / Minority Business Enterprise Firm (MBE), and others as required. The identified team members must have measurable experience and contributions associated with the projects identified in Item 5 below. The organizational chart should clearly indicate the services to be provided by all sub-consultant firms. Include office locations and one-page resumes of key project team individuals that will be providing substantial contributions to work products.
4. List of Clients for Which Similar Work has Been Performed (**one page maximum**)
 - Provide client name, contact person, contact phone number and email address, and

identify by name similar projects completed for each client.

5. List of Similar Projects Within the Desired Category (**two pages maximum**)
 - Provide the project name, date, services provided, and a project description detailing the scope of the project and project construction cost. List only those projects where a key member of the project team provided a substantive contribution to the project completion. .
6. Local Office (**one page maximum**)
 - Statement of presence of local office(s) for all firms comprising a Project Team, when the local office was established, local office staffing (number in each local office), and local office utilization (estimated percent of potential project services to be performed by the local offices). "Local office" shall be defined as being located in counties served by the Bluegrass Area Development District (see BGADD.org for a complete list). The attached form (Attachment 1) shall be used for this information.
7. Disadvantaged Business Enterprise (DBE) Involvement (**one page maximum**)
 - Provide a statement regarding the commitment to meeting the goals of LFUCG's DBE program (see below).

5. Disadvantaged Business Enterprise (DBE) Notice

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

The Lexington-Fayette Urban County Government has set a goal that not less than ten percent (10%) of the total value of work conducted in this program be subcontracted to DBEs. The goals for the utilization of certified DBEs as subcontractors are recommended goals. Consultants who fail to meet such goals will be expected to provide written explanation to the EEO Officer and the Director of the Division of Purchasing of efforts they have made to accomplish the recommended goals, and the extent to which they are successful in accomplishing the recommended goals will be a consideration in the procurement process. For assistance in locating DBE subcontractors contact the following Urban County Government agency:

Sherita Miller, Division of Central Purchasing
Lexington-Fayette Urban County Government
200 East Main Street
Lexington, KY 40507
(859) 258-3323

Note: Consultants may, but are not required to identify specific DBE subconsultants in their Pre-qualifications submittal. However, they must indicate their status of DBE utilization on the fee proposal, and furnish supporting documentation for each project assignment they are awarded. A sample Fee Proposal is provided as Exhibit 1.

6. Selection Criteria (Attachment 2)

Firms will be individually ranked for each category included in their proposals. The following criteria will be used by the evaluation committee to rank prospective firms:

Overall expertise of the firm in project category ⁽¹⁾	20 points
Overall expertise of the Team members in project category ⁽¹⁾	25 points
Past performance in the project category ⁽²⁾	25 points
Project Manager Qualifications ⁽³⁾	10 points
Office status and location of employees ⁽⁴⁾	20 points
TOTAL:	100 points

Notes:

1. Firms must have relevant experience in at least three similar projects to be rated as “acceptable”. Individual Project Team members should demonstrate significant experience in at least two similar projects in the last three years to be rated as “acceptable”.
2. Past performance on infrastructure projects completed under a government contract or government specifications.
3. Project Manager must have relevant experience with at least three projects in the last three years to receive maximum points.
4. Factors considered: Fayette County headquarters; Fayette County office established more than 12 months prior to issuance of this RFQ; office established in Bluegrass Area Development District counties more than 12 months prior to issuance of this RFQ. Project Manager must be located in the local office to be rated as “acceptable”. Proposals should clearly present all information regarding all firms submitting as a “team”.

Attachment 1

Project Team Location(s)

Headquarters				
Local Office				
PM Location				
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.

EXHIBIT 1

**TEMPLATE FOR PROFESSIONAL ENGINEERING SERVICES CONTRACTS
UTILIZING PREQUALIFIED FIRMS ON A FEE BASIS**

Fee Proposal

Project Name

Lump Sum Fee Components

Task No. 1 — Description	\$ _____
Task No. 2 — Description	_____
Task No. 3 — Description	_____
Task No. 4 — Description	_____
Total (Basis of Contact Award)	\$ _____

DBE Utilization – Check Applicable Box Below

A DBE firm will be utilized on this project.

DBE Name _____

Total \$ _____

Percent Utilization _____

A DBE firm will not be utilized on this project. *Note: Attach a written explanation describing your efforts to secure a DBE and furnish supporting documentation.*

Qualification Certification

Have the firm's qualifications significantly changed since submittal of their Statement of Qualifications?

No

Yes *If yes, provide supporting documentation explaining the change(s) and demonstrating the firm's currently ability to perform the work.*

Acknowledge Receipt of Addendum No.#

Dated xx/xx/xx _____

Signed: _____

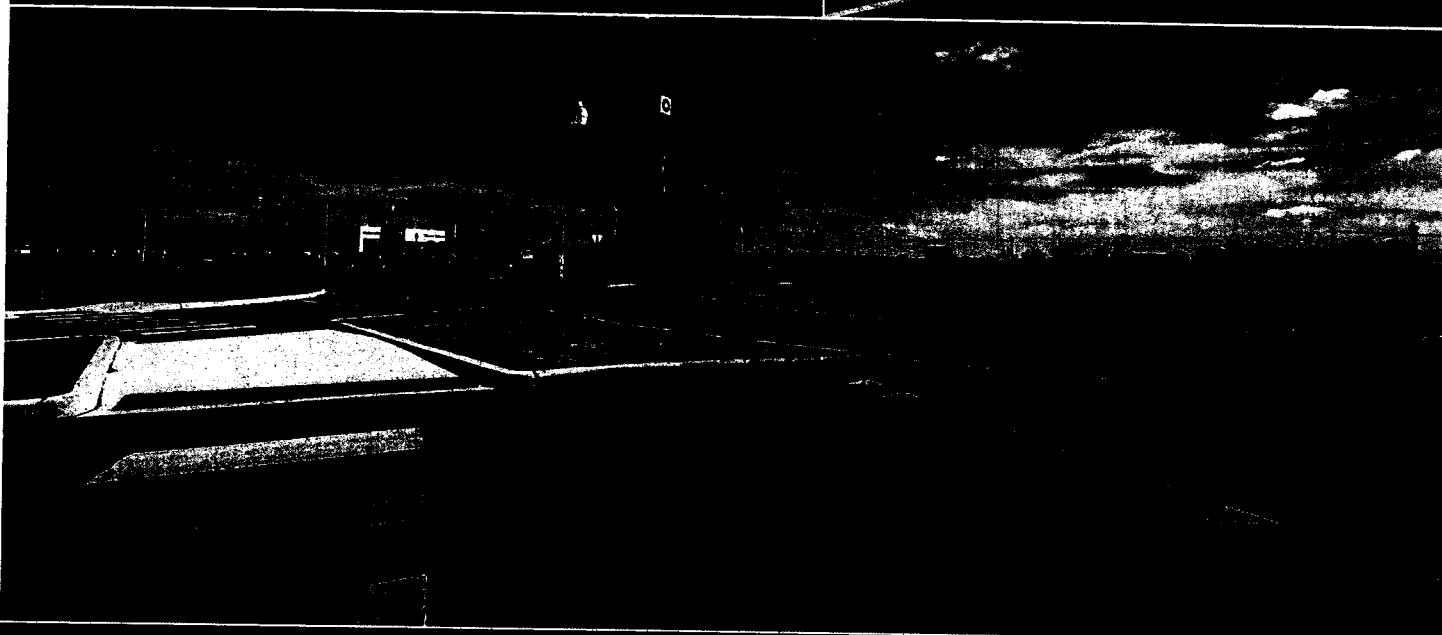
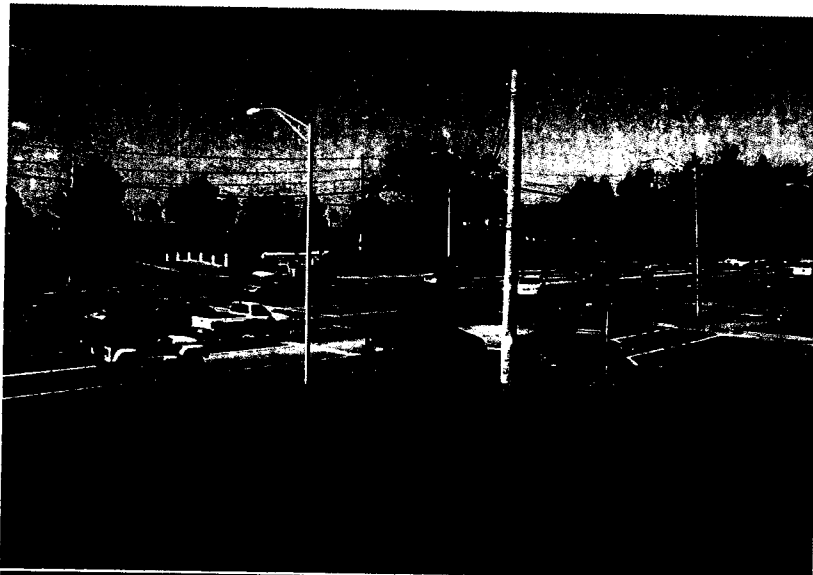
Firm Name: _____

Date: _____

EXHIBIT B

**PROPOSAL OF ENGINEERING SERVICES
AND RELATED MATTERS**

- 1. Proposal of Engineering Services**
- 2. Certificate of Insurance**



RFQ #38-2016
Professional Engineering Services
Contract 1 – Roadway Corridor
and Intersection Design Planning

Lexington-Fayette Urban
County Government
Lexington, KY



engineering | architecture | geospatial



engineering | architecture | geospatial

Statement of Qualifications

Professional Engineering Services RFP #38-2016 Contract 1 – Roadway Corridor and Intersection Design/Planning Lexington-Fayette Urban County Government

Table of Contents

Section 1.0	Transmittal Letter
Section 2.0	Firm Qualifications
Section 3.0	Project Team
Section 4.0	Client List Past Performance
Section 5.0	Similar Projects
Section 6.0	Local Office
Section 7.0	Disadvantaged Business Enterprise Involvement
Section 8.0	LFUCG Proposal Forms
	<ul style="list-style-type: none">▪ Proposal Form and Addenda Acknowledgement▪ General Provisions Form▪ Affidavit▪ Equal Opportunity Agreement▪ Workforce Analysis Form▪ Good Faith Efforts Form▪ GRW Affirmative Action Plan▪ GRW Certificate of Liability Insurance



GRW | engineering | architecture | geospatial
801 Corporate Drive • Lexington, KY 40503
859.223.3999 • www.grwinc.com

November 10, 2016

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

**Re: RFP #38-2016: Request for Qualifications for Professional Engineering Services
Contract 1 – Roadway Corridor and Intersection Design Planning**

Dear Mr. Slatin and Selection Committee Members:

Working with clients like the Lexington-Fayette Urban County Government that have set important goals for maintaining their roadway corridors and intersections for those who travel them every day is exactly the kind of consulting GRW has been providing for more than 50 years. We appreciate the opportunity to respond to your Request for Qualifications to provide you with professional engineering services for upcoming projects. We are ready to begin working with LFUCG staff and stakeholders.

GRW has a long history of providing planning, design, construction administration and inspection services for municipal infrastructure projects including many for LFUCG. In addition, most of our team members are long-time members of the Lexington community. The attached SOQ summarizes GRW's applicable experience for Contract 1 – Roadway Corridor and Intersection Design/Planning

We appreciate the opportunity to respond to your RFQ – and we have the experience, dedication, interest, and capacity you are looking for. Please contact me if you have any questions regarding our experience or qualifications document. GRW certainly looks forward to continuing our 40+ year working relationship with LFUCG.

Sincerely,

A handwritten signature in black ink that reads "Harvey H. Helm".

Harvey H. Helm, PE, LEED AP, PLS
GRW Vice President

SECTION 2.0 | Firm Qualifications

2.0 Firm Qualifications

GRW has completed large roadway and bridge construction projects and federal aid-funded Local Public Agency projects, such as multi-use trails and sidewalks. Our Kentucky Transportation Cabinet experience includes the design of hundreds of miles of streets, roads, and highways, as well as associated sidewalks, bike lanes, and drainage features, bridges and interchanges. Our clients include the Kentucky, Indiana, Ohio, Tennessee, and Minnesota Departments of Transportation.

GRW is prequalified with KYTC to perform the following services:

- Traffic Engineering
- Electrical Engineering
Roadway Lighting
- Construction Project
Supervision
- Rural Roadway Design
- Urban Roadway Design
- Surveying
- Pedestrian and Bicycle Facility
Planning & Design
- Preliminary Site Assessment
- Road Centerline Data
Collection
- Highway Planning
- Structural Design spans under
500 feet
- EIS Writing and Coordination
- Highway Noise
- UST & HAZMAT Site
Assessment
- Aviation Systems Planning
- Aviation Master Planning
- Airport Design
- Airport Project Inspection

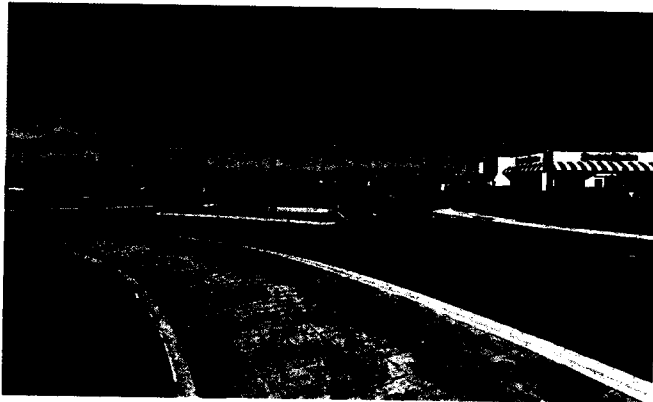
Multidiscipline In-House Services

Our professional staff includes engineers and technicians with specialized training and experience in the use of the latest techniques and equipment used in transportation design, and we can provide clients with finished plans and specifications in most current electronic formats including AutoCAD and MicroStation. Over the past ten years, GRW has completed over \$300 million in transportation projects. Our performance ratings from both the Indiana Department of Transportation and the Kentucky Transportation Cabinet are consistently higher than the comparable averages of other consultants' performance evaluations.

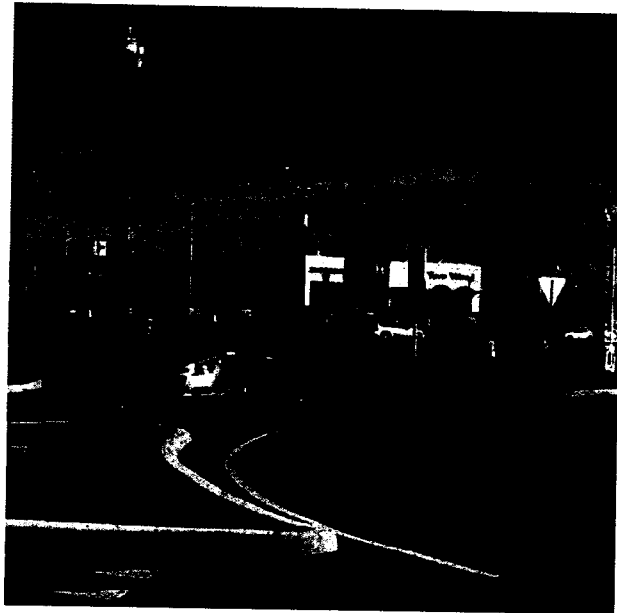


Services Offered

- Road and Highway
Geometric Design
- Alternative Intersection
Design (Roundabouts)
- Simple and Complex
Interchange Design
(Multi-Level)
- Bridge Design
- Structural Analysis of
Bridges
- Corridor Studies
- Guide Signage Design
- Drainage and Stormwater
Management
- Lighting Design
- Ground Surveys
- Pavement Design and
Program Development
- Traffic Signal Design
- Electronic Highway and
Road Inventory Programs
- Design-Build/Fast Track
Transportation Projects
- Engineering Reports and
Estimates
- Intelligent Transportation
Systems (ITS) Programs
- Warrant Studies
- Capacity Analysis
- Traffic Analysis
- Aerial Mapping
- Environmental Studies
- Construction Plans / Specs



GRW's project teams have been working with communities in Indiana on alternative intersection design, primarily roundabouts. Shown here is one an example from the Town of Anderson, IN.



Subconsultants

Abbie Jones Consulting (AJC) is a certified women-owned business enterprise (**WBE**) based in Lexington, Kentucky. AJC specializes in land surveying, traffic counts, and civil engineering. AJC provides boundary, topographic, aerial control, airfield, subsurface utility engineering (SUE), geodetic control, mapping, asbuilts, ALTA/ACSM, and construction staking land survey services. AJC is KYTC-prequalified in Surveying, Traffic Data Collection, Bicycle & Pedestrian Design, Rural Highway Design, and Urban Highway Design. Examples of a few **recent projects of interest** include:

- LFUCG As-Needed Survey Services Contract
- 1315 West Main St, Lexington, KY, Topographic Survey, Consolidation Minor Plat, Development Plan
- 2189 Versailles Rd, Lexington, KY, Topographic Survey for Encroachment Agreement
- Old Frankfort Pike Scenic Corridor Viewing Area, Lexington, KY, Erosion Control Plan
- Peoples Bank Relocation, Lexington, KY, Topo and Boundary of Rupp parking lot for relocated building.

Third Rock Consultants, LLC, is a certified woman-owned business enterprise (**WBE**) with offices in Lexington and Louisville, Kentucky; and Nashville and Knoxville, Tennessee. Established in 2000, Third Rock is recognized as a leading environmental firm in the region, achieving this distinction through a combination of superior technical skills and commitment to meeting clients' needs. Third Rock's services include environmental engineering design, biological and ecological analyses, environmental permitting and mitigation, and NEPA documentation, as well as construction management and landscape architecture services.

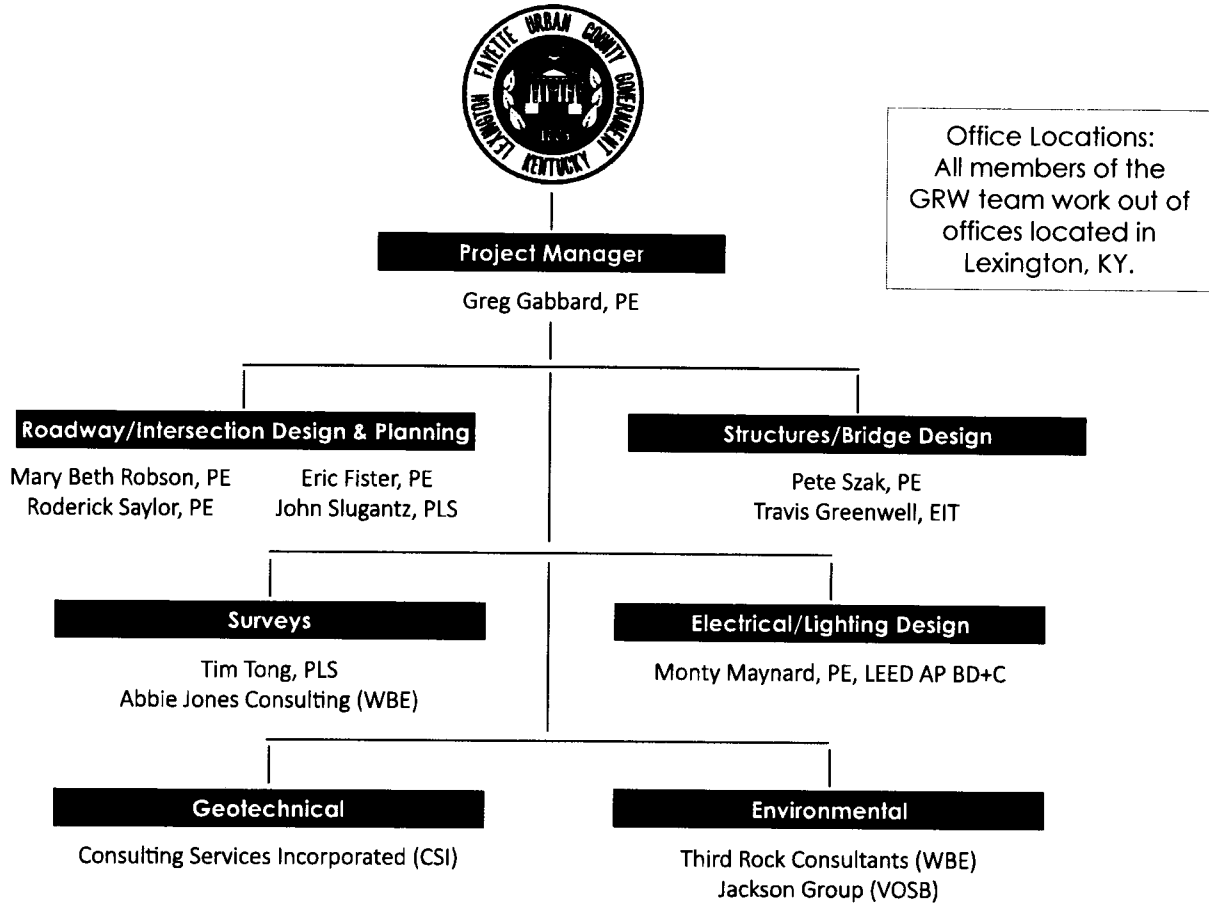
Consulting Services Incorporated, a designated Small Business by the SBA, is locally owned and headquartered in Lexington. CSI provides the following geotechnical and engineering services: geotechnical exploration/soils reports; site assessments for permitting/civil design; pavement studies and design; site specific seismic studies for International Building Code (IBC); geophysical studies; and soil and rock drilling/sampling. CSI's in-house materials laboratory is AASHTO (AMRL/AAP R-18), US Army Corp of Engineers and Kentucky Transportation Cabinet certified to provide testing for concrete, soils, aggregates, masonry, asphalt and steel.

Jackson Group is a certified service-disabled Veteran-owned small business (**VSOB**) with headquarters in Richmond, KY. A full-service, environmental sciences and engineering consulting firm, their professionals provide services to private and public sector clients including energy companies, commercial and pipeline developers, government agencies and contractors, design and construction firms, and utility companies.

SECTION 3.0 | Project Team

3.0 Project Team

For this contract, we have selected GRW staff members based on their related experience in the services required. Below is our organizational chart illustrating GRW team members, as well as DBE subconsultants.



The remaining pages of this section include key project team member resumes. The year of project completion is listed at the end of each project example provided on GRW’s resumes. The matrix below highlights their relevant experience, according to the notes in your selection criteria:

Firm Project Team Experience	Project Manager Greg Gabbard	Mary Beth Robson	Roderick Saylor	Eric Fister	John Slugantz	Pete Szak	Tim Tong
Man O' War Intersection Improvements	X	X	X				X
Lane Allen Road Intersection Improvements		X					X
Polo Club Boulevard Connection (Lexington)	X	X	X		X	X	
Liberty/Todds Road (KY 1927) Section 2	X	X		X	X	X	
KY 146 Safety Improvements (Clay County)	X	X				X	X
US 421 Urban/Rural Safety/Service Imprvts. (Clay Co.)	X	X		X	X	X	

Greg Gabbard, PE, LSIT

GRW Project Manager

Office Location: Lexington

Years of Experience/Years with GRW: 30/20

Education

B.S., Civil Engineering, 1986, University of Kentucky

Registration

Professional Engineer: KY, WV, GA, OH

Licensed Surveyor in Training: KY

Qualifications and Similar Project Experience

Greg is a Senior Highway Engineer and Project Manager at GRW. His responsibilities include all highway design elements, survey coordination and client communication. He leads the design team and makes the critical decisions for geometrics, drainage, right of way, traffic control, pavement design, utilities, and other features.

Lexington Liberty/Todds Road (KY 1927)

Section 2, Lexington, KY - Project Manager. Final design services for widening to three lanes of a 1.6-mile section 2 of KY 1927 Liberty/Todds Road in Fayette County from I-75 to Andover Forest Drive. Closely coordinated with LFUCG Division of Engineering and KY Department of Highways, the project reduces congestion and improves safety and includes a typical three-lane urban roadway section with bicycle lanes, sidewalks and handicap ramps; center two-way left turn lane and additional travel lanes and right turn lanes; curb and gutters, and roadway drainage primarily via storm sewers. (2016)

Lexington Polo Club Boulevard Connection, Lexington, KY - Project Manager. Survey and final design services for connection of two pieces of Polo Club Boulevard in Fayette County from Deer Haven Lane to Todds Road. Project, including 200'-long, double 8' x 4' box culvert, new curb/gutter and landscaping will complete critical section of boulevard roadway system. (2014)

Kentucky Transportation Cabinet KY 2335 (Ware Road) - Fayette County, Lexington, KY - Project Manager. Improve roadway typical section and pavement on KY 2335 (Ware Road) from KY 57 (Briar Hill Road) to northern entrance to Lexington Bluegrass Army Depot (Under Design).

Kentucky Transportation Cabinet KY 146 - Henry County, Louisville, KY - Project Manager. Design for 8-mile corridor to improve safety. Completed accident analysis and multiple alternatives. Selected typical includes 12-foot travel lanes and 8-foot paved shoulders. (2018)

Kentucky Transportation Cabinet US 421 (KY 80 to KY 11), Clay County, KY

- Project Engineer. Design of critically needed improvements to improve safety along 4-mile-long section of heavily traveled, three- and two-lane roadway. Final design provided five-lane urban section and a three-lane rural section of highway, increasing safety and level of service. (Design Complete)

Versailles Crossfield Drive Extension, Versailles, KY

- Project Manager. Corridor planning and design for an approximately 0.5-mile connector road between Lexington Street and US 60 Bypass in Versailles to relieve nearby congestion and create opportunities for infill development. Documents included typical sections and details, right-of-way plans and acquisition, plans and profiles, hydraulics, cross sections, cost estimates, surveying, specifications and bidding documents. (2012)

Kentucky Transportation Cabinet The Ohio River Bridges Project East End Kentucky Approach, Louisville, KY

- Project Engineer. Work included: geometric layout of Wolf Pen Branch Road Bridge over proposed corridor (included a temporary diversion and offset structure designed to allow construction of permanent bridge on existing centerline); TSIS-CORSIM traffic model depicting traffic flow patterns along KY 841 at the US 42 partial interchange; grade drain and surfacing plans for Springdale and Wolf Pen Branch Roads. (2016)

Mary Beth Robson, PE

GRW Environmental Engineer

Office Location: Lexington

Years of Experience/Years with GRW: 28/11

Education

B.S., Chemical Engineering, 1988, University of Cincinnati

M.S., Environmental Engineering, 1990, University of Notre Dame

Registration

Professional Engineer: KY

Qualifications and Similar Project Experience

Mary Beth has managed numerous projects from small, quick-turn around projects to large, complex Environmental Impact Statements with multiple subcontractors. She has served clients in the public sector, such as the Army Corps of Engineers and Kentucky Transportation Cabinet, as well as private sector clients and other engineering firms. She is prequalified by the Kentucky Transportation Cabinet in the area of noise analysis. She also has extensive expertise with federal and state stormwater regulations including FEMA floodplain regulations, and Clean Water Act Section A 401 and 404 permits.

Lexington Man O' War Boulevard Intersection Improvements, Lexington, KY - Civil Engineer.

Preliminary and final design, survey, contract documents, and cost estimates for improvements at three intersections: Pink Pigeon Parkway, Richmond Road, and Alumni Drive. Project adds turn lanes from and onto Man 'O War. Includes sidewalks, striping, erosion control, and maintenance of traffic. (2016/2017)

Lexington Intersection Improvements at Lane Allen Road, Lexington, KY - Project Manager. Intersection improvements at Lane Allen and Harrodsburg Roads, and Lane Allen Road and Alexandria Drive to meet current ADA regulations regarding handicap ramps and related pedestrian signalization. (2017)

Lexington Polo Club Boulevard Connection, Lexington, KY - Project Engineer. Survey and final design services for connection of two pieces of Polo Club Boulevard. includes 200-long, double 8' x 4' box culvert, curb/gutter and landscaping enhancements, will complete critical section of boulevard roadway system. (Design Complete)

Versailles Crossfield Drive Extension, Versailles, KY - Environmental Engineer. Corridor planning and design for an approximately 0.5-mile connector road to relieve nearby congestion and create opportunities for infill development. (2012)

Keeneland Old Clubhouse Lane Improvements, Lexington, KY - Project Engineer. Upgrade of one of Keeneland's main access roads through property providing access to barn area. (2013)

Lexington Liberty/Todds Road (KY 1927) Section 2, Lexington, KY - Environmental Engineer. Final design services for the widening to three lanes of a 1.6-mile section 2 of KY 1927 Liberty/Todds Road. Project reduces congestion and improves safety and includes a typical three-lane urban roadway section with bicycle lanes, sidewalks and handicap ramps; center two-way left turn lane and additional travel lanes and right turn lanes; curb and gutters, and roadway drainage primarily via storm sewers. (2016)

Kentucky Transportation Cabinet KY 146 - Henry County, Louisville, KY - Environmental Engineer. Design for 8-mile corridor to improve safety. Completed accident analysis and multiple alternatives. Selected typical includes 12-foot travel lanes and 8-foot paved shoulders. (2018)

Kentucky Transportation Cabinet US 421 (KY 80 to KY 11), Clay County, KY - Project Engineer. Design of critically needed improvements to improve safety along 4-mile-long section of heavily traveled, three- and two-lane roadway. Final design provided five-lane urban section and a three-lane rural section of highway, increasing safety and level of service. (Design Complete)

Roderick Saylor, PE

GRW Civil Engineer

Office Location: Lexington

Experience Total/ GRW: 11/11

Education: B.S., Civil Eng., University of Kentucky

Professional Engineer: KY, FL

Qualifications and Similar Project Experience

Roderick's services regularly encompass all facets of site development, zoning and permitting assistance, construction plans, stormwater drainage, utilities, access roads, and grading.

Lexington Man O' War Boulevard Intersection Improvements, Lexington, KY - Civil Engineer.

Improvements at three intersections: Pink Pigeon Parkway, Richmond Road, and Alumni Drive. Project adds turn lanes from and onto Man 'O War. Includes sidewalks, striping, erosion control, and maintenance of traffic. (2016/2017)

Lexington Polo Club Boulevard Connection, Lexington, KY - Civil Engineer. Includes new 200-long, double 8' x 4' box culvert, curb/gutter and landscaping enhancements, will complete critical section of boulevard roadway system. (Design Complete)

Blue Grass Army Depot Main Entry Control Facility and Battlefield Memorial Highway Revisions, Richmond, KY - Project Manager/Project Engineer. Design and construction administration services for design-build project at main entry control facility (ECF). Revisions at main ECF involve removing, closing, and relocating it to current parking lot entrance, as well as widening and providing KYTC-required improvements, such as new traffic signals, warning signals, and revised signage to U.S. 421 at new entrance. ECF structures, signage, fencing, utilities, pavement, and pedestrian facilities improvements are also included. (2017 estimate)

Asbury Theological Seminary Student Housing Complex, Wilmore, KY - Civil Engineer. Site design services for Asbury Theological Seminary's new multi-phase North Campus Housing Project located on a 31-acre site. Included design charrette and design of the roadway alignments, water mains, and storm and sanitary sewers. (2012)

Eric Fister, PE

GRW Transportation Engineer

Office Location: Lexington

Experience Total/GRW: 15/15

Education: B.S., Civil Eng., University of Kentucky

Professional Engineer: KY

Qualifications and Similar Project Experience

Eric's experience in civil engineering and highway design projects involving designing horizontal and vertical alignments, drainage, entrances, erosion control, and pavement, working closely with highway engineers and other lead designers.

Lexington Liberty/Todds Road (KY 1927) Section 2, Lexington, KY - Project Engineer. Final design services for the widening to three lanes of a 1.6-mile section 2 of KY 1927 Liberty/Todds Road in Fayette County from I-75 to Andover Forest Drive. Closely coordinated with the LFUCG Division of Engineering and the Kentucky Department of Highways. (2016)

Kentucky Transportation Cabinet KY 2335 (Ware Road) - Fayette County, Lexington, KY - Project Engineer. Improve roadway typical section and pavement on KY 2335 (Ware Road) from KY 57 (Briar Hill Road) to northern entrance to Lexington Bluegrass Army Depot (Under Design).

Kentucky Transportation Cabinet US 421 (KY 80 to KY 11), Clay County, KY - Project Engineer. Design of improvements to safety along 4-mile-long section of heavily traveled, three- and two-lane roadway. Final design provided three-lane rural section and five-lane urban section. (Design Complete).

Kentucky Transportation Cabinet The Ohio River Bridges Project East End Kentucky Approach, Louisville, KY - Project Engineer. Work included geometric layout of Wolf Pen Branch Road Bridge over proposed corridor; TSIS-CORSIM traffic model depicting traffic flow patterns along KY 841 at the US 42 partial interchange; grade drain and surfacing plans for Springdale and Wolf Pen Branch Roads; and numerous other services (2016)

Versailles Crossfield Drive Extension, Versailles, KY - Project Engineer. Corridor planning and design for an approximately 0.5-mile connector road to relieve nearby congestion and create opportunities for infill development. (2012)

John Slugantz, PLS GRW Sr. Highway Designer

Office Location: Lexington

Experience Total/GRW: 33/30

Education: A.S., Civil Eng. Tech., Lexington Community College

Professional Surveyor: KY

Qualifications and Similar Project Experience

John has extensive knowledge of the Kentucky Department of Highways Design and Drainage Manuals and Memorandums, the Standard Drawings, AASHTO guidelines, KYCOGO, and KTDID. He has been instrumental in the development of GRW's standard procedures regarding the setup and management of each highway project's KYCOGO and CADD files.

Lexington Liberty/Todds Road (KY 1927) Section 2, Lexington, KY - Sr. Highway Designer. Final design services for the widening to three lanes of a 1.6-mile section 2 of KY 1927 Liberty/Todds Road in Fayette County from I-75 to Andover Forest Drive. Included field data collection and survey work. (2016)

Lexington Polo Club Boulevard Connection, Lexington, KY - Sr. Highway Designer. Survey and final design services for connection of two pieces of Polo Club Boulevard in Fayette County completes critical section of boulevard roadway system. (Design Complete)

Kentucky Transportation Cabinet US 421 (KY 80 to KY 11), Clay County, KY - Sr. Highway Designer. Design of improvements to safety along 4-mile-long section of heavily traveled, three- and two-lane roadway. Final design provided three-lane rural section and five-lane urban section. (Design Complete).

Kentucky Transportation Cabinet KY 69 Relocation, Hawesville, KY - Sr. Highway Designer. Phase 1 design for new 0.8-mile route for heavy truck traffic and congestion out of downtown Hawesville. Proposed improvements consist of a new rural / urban route developed with design speed of 45 / 35 mph, respectively. (2008)

Kentucky Transportation Cabinet U.S. 27, Garrard County, KY - Sr. Highway Designer. Design for Phase I of 6 alternate alignments for improvement of 5.2 miles of the US 27 corridor, involving over 300 parcels researched for right of way assessment for four lanes with a 40' depressed median. (2012)

Pete Szak, PE, SE GRW Structural Engineer

Office Location: Lexington

Experience Total/GRW: 31/2

Education: M.S., Structural Eng., University of KY; B.S., Eng., University of Illinois

Professional Engineer: KY (and 11 other states)

NBIS Licensed Bridge Inspector: KY

Qualifications and Similar Project Experience

Pete responsible for the design and management of bridge and roadway projects starting with initial alignment studies and possible bridge types and locations, to production of final plans. Pete is thoroughly familiar with AASHTO LRFD Bridge Design, ACI 318, AISC Manual of Steel Construction, ASCE/SEI 7-10, IBC 2012, and numerous state building codes.

Lexington Polo Club Boulevard Connection, Lexington, KY - Structural Engineer. Survey and final design services for connection of two pieces of Polo Club Boulevard, including new 200-long, double 8' x 4' box culvert, curb/gutter and landscaping enhancements to complete critical section of boulevard roadway system. (Design Complete)

Lexington Liberty/Todds Road (KY 1927) Section 2, Lexington, KY - Structural Engineer. Final design services for the widening to three lanes of a 1.6-mile section 2 of KY 1927 Liberty/Todds Road. Project reduces congestion and improves safety and includes a typical three-lane urban roadway section with bicycle lanes, sidewalks and handicap ramps; center two-way left turn lane and additional travel lanes and right turn lanes; curb and gutters, and roadway drainage primarily via storm sewers. (2016)

Kentucky Transportation Cabinet KY 146 - Henry County, Louisville, KY - Structural Engineer. Design for 8-mile corridor to improve safety. Completed accident analysis and multiple alternatives. Selected typical includes 12-foot travel lanes and 8-foot paved shoulders. (2018)

Kentucky Transportation Cabinet US 421 (KY 80 to KY 11), Clay County, KY - Structural Engineer. Design of improvements to safety along 4-mile-long section of heavily traveled, three- and two-lane roadway. Final design provided three-lane rural section and five-lane urban section. (Design Complete).

Monty Maynard PE, LEED AP BD+C GRW Electrical Engineer

Office Location: Lexington

Experience Total/ GRW: 39/20

Education: B.S., Electrical Eng., University of KY
Professional Engineer: KY (and 12 other states)

Qualifications and Similar Project Experience

Monty's areas of technical expertise include electrical power distribution, substation design, alarm systems, communications, lighting, lightning protection, instrumentation/controls/telemetry, power quality, energy efficiency and code compliance.

Kentucky Transportation Cabinet Ohio River Bridges

Project Downtown Crossing, Louisville, KY - Lead Electrical Engineer. Part of engineering team for design-build of cable stayed bridge spanning Ohio River to link Louisville, KY, and Jeffersonville, IN. GRW's responsibilities included all electrical engineering on Downtown Bridge and Kentucky side of project; communication facility services; and oversight of electrical engineers working on other parts of project. Bridge features LED lighting in most areas. (2016)

Hamburg Pavilion Village Shoppes Electrical System

Conditions Assessment, Lexington, KY - Principal. Involved four retail buildings, gazebo, and a long landscape island separating parking areas. Areas of study focused on exterior buildings and ground-mounted lighting elements. (2012)

Lexington Phoenix Building and Police Headquarters Elevator System Repair and Upgrade, Lexington, KY - Electrical Engineer. (2013)

Murray State University Highway 121 Street Lighting,

Murray, KY - Principal. Highway lighting (LED style luminaire with frangible couplings at the base of each pole) to meet AASHTO requirement for KYTC's KY 121 widening project adjacent to campus. (2013)

Indiana DOT State Route 32 Reconstruction and Streetscape Project, Yorktown, IN

- Electrical Engineer. Survey, planning, design, utility coordination and construction phase services for downtown revitalization. Involved traffic signal and overhead signage system, streetlights with break away pole bases and power distribution sufficient for holiday lighting, and other services. (2008)

Tim Tong, PLS GRW Survey Manager

Office Location: Lexington

Experience Total/GRW: 17/3

Education: Undergraduate Studies, Land Surveying/Geomatics, Austin Community College and University of Southern Indiana
Professional Land Surveyor: KY

Qualifications and Similar Project Experience

Tim provides project management and crew coordination for GRW's Survey Division. His survey expertise includes transportation and right of way, planimetric, topographic, boundary, geodetic, monumentation, construction, and others.

Lexington Man O' War Boulevard Intersection Improvements, Lexington, KY

- Survey Manager. Improvements at three intersections: Pink Pigeon Parkway, Richmond Road, and Alumni Drive. Project adds turn lanes from and onto Man 'O War. Includes sidewalks, striping, erosion control, and maintenance of traffic. (2016/2017)

Lexington Intersection Improvements at Lane Allen Road, Lexington, KY

- Survey Manager. Intersection improvements at Lane Allen and Harrodsburg Roads, and Lane Allen Road and Alexandria Drive to meet current ADA regulations regarding handicap ramps and related pedestrian signalization. (2017)

Kentucky Transportation Cabinet KY 146 - Henry County, Louisville, KY

- Environmental Engineer. Design for 8-mile corridor to improve safety. Completed accident analysis and multiple alternatives. (2018)

Kentucky Transportation Cabinet, KY 864 (Beulah Church Road), Jefferson County, KY

- Survey Manager. Reconstruction/relocation narrow 2-lane urban collector with numerous access points and carries traffic from growing residential suburbs to I-265 (Gene Snyder Freeway) and downtown. Existing rural roadway replaced with curb and gutter section including turning lanes and sidewalks. (Under Design)

Kentucky Transportation Cabinet Hurstbourne and Breckinridge Sidewalk Improvements, Louisville, KY

- Survey Manager. Planning and design for 4,000 LF of sidewalk along busy commercial area in Louisville, KY.. Funding associated with the Kentucky Transportation Cabinet's LPA program. (2016)

SECTION 4.0 | **Client List |
Past Performance**

4.0 Client List | Past Performance

These references may be contacted to verify the quality of our work and their satisfaction with our performance. With repeat clients, such as the Lexington-Fayette Urban County Government, the Kentucky Transportation Cabinet and others, providing more than 90 percent of GRW's current workload, we believe this is a testament to our business philosophy of providing high-quality, close, personal service.

Lexington-Fayette Urban County Government

- Liberty/Todds Road (KY 1927) Section 2
- Polo Club Boulevard Connection
- Man O' War Boulevard Intersection Improvements
- Intersection Improvements at Lane Allen Road

Keith Lovan

(859) 258-3478 | klovan@lexingtonky.gov

Robert Bayert

(859) 258-3410 | rbayert@lexingtonky.gov

Mark Feibes

(859) 258-3410 | mfeibes@lexingtonky.gov

Boone County Fiscal Court / Department of Public Works

- KY 18-Burlington Elementary Safe Routes to School Sidewalks, Burlington, KY
- Cayton Road Extension, Boone County, KY

Jeff Earlywine, County Administrator

(859) 334-2242, jearlywine@boonecountyky.org

Scott Pennington, County Eng./Dir. of Public Works

(859) 334-3600, SPennington@boonecountyky.org

City of Versailles, KY

- Crossfield Drive Extension

Bart Miller, Public Works Director

(859) 873-2245, bmiller@versaillesky.com

Paul Simmons, Assistant Public Works Director

(859) 873-2245, psimmons@versaillesky.com

City of Hodgenville, KY

- Downtown Revitalization/Roundabout (ACEC Engineering Excellence Honor Award)
- College Street Drainage Basin Stormwater Improvements

Kenny DeVore, Mayor, (270) 358-3832,
hodgenvillemayor@windstream.net

City of Jeffersonton, KY

- Bluegrass Parkway Bicycle and Pedestrian Trail Phases I & II
- Bluegrass Commerce Park Infrastructure Improvements

Matt Meunier, Assistant to the Mayor

(502) 267-8333 | mmeunier@jeffersontownky.com

Kentucky Transportation Cabinet

- Bypass Extension, Flemingsburg, KY
- Hurstbourne and Breckinridge Sidewalk Improvements, Louisville, KY
- US 421 (KY 80 to KY 11), Clay County, KY
- Signalization Replacement Project, Nicholasville, KY
- KY 146, Henry County, KY

Matt Bullock, Chief District Engineer (District 5)

(502) 210-5400 | matt.bullock.ky.gov

Kim Tompkins, Office of Local Programs

(502) 782-4737 | kimj.tompkins@ky.gov

Adam Ulrich (District 5)

(502) 210-5484 | adam.ulrich2@ky.gov

Shane Tucker (District 7)

(859) 246-2355 | shane.tucker@ky.gov

SECTION 5.0 | Similar Projects

5.0 Similar Projects

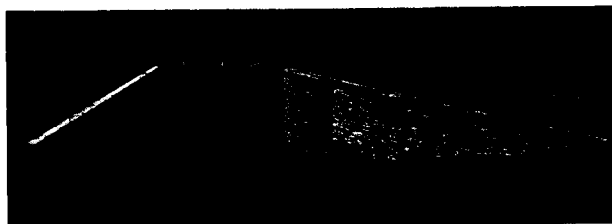
This section highlights a few examples of GRW's accomplishments with projects similar to yours.

Lexington Liberty/Todds Road (KY 1927) Section 2

GRW provided design services for the widening of Section 2 of KY 1927 Liberty/Todds Road in Fayette County from I-75 to Andover Forest Drive. The 1.6-mile section was widened to three lanes, including bicycle lanes, sidewalks and handicap ramps, to reduce congestion and improve safety. The center two-way left turn lane provides storage for left turn movements throughout the corridor and additional travel lanes and right turn lanes are provided where possible at congested areas and major intersections. The existing two-lane bridge over I-75 was replaced with a five-lane PCI-beam bridge. Curb and gutters were included and roadway drainage is primarily be accommodated in storm sewers. This project also includes a large stream crossing that discharges across the Andover Country Club golf course. Coordination with LFUCG and the KYTC Drainage Division revealed the existing structure and the preliminary design structure were severely undersized. Careful consideration of floodplain issues as well as and construction impacts and aesthetics resulted in selection structures that blend well with suburban surroundings.

Project Cost: \$9,500,000 **Completion Date:** 2015

Key Team Members: Greg Gabbard, Eric Fister, John Slugantz, Mary Beth Robson, Pete Szak



Recently constructed Andover Country Club golf cart tunnel (top) and bridge over I-75.

Lexington Polo Club Boulevard Connection

GRW is providing survey and final design services for the connection of two pieces of Polo Club Boulevard in Fayette County from Deer Haven Lane to Todds Road. The work is being done in close coordination with the LFUCG Division of Engineering and the Kentucky Department of Highways. This project includes a new 200-long, double 8' x 4' box culvert, curb/gutter and landscaping enhancements. GRW provided conventional field work alongside state-of-the-art LiDAR survey techniques to expedite the mapping delivery. The final engineering design for the two remaining sections of Polo Club Boulevard includes careful establishment of appropriate geometry to tie into the existing roadway and make the most of what has already been built. Spotty existing sidewalk construction were connected throughout with the application of current ADA standards. Existing utilities have been investigated and mapped to minimize impacts.

Project Cost: \$1,800,000 **Completion Date:** 2014

Key Team Members: Greg Gabbard, Mary Beth Robson, John Slugantz

Lexington Intersection Improvements | Lane Allen Road

GRW is designing intersection improvements at Lane Allen and Harrodsburg Roads, and Lane Allen Road and Alexandria Drive to meet current ADA regulations regarding handicap ramps and related pedestrian signalization. Our scope of services for these LFUCG projects includes topographic and boundary surveys, preliminary and final design, and easement description preparation. GRW's work has included ADA compliance evaluations and upgrade, rebuilding islands as needed, relocating light poles as needed, desining new crosswalk and pedestrian signalization, evaluating and addressing poor roadway drainage, and converting asphalt median to planted

Project Cost: N/A **Completion Date:** 2017

Key Team Members: Mary Beth Robson

Lexington Man O' War Boulevard Intersection Improvements

GRW is designing improvements at three intersections of Man O' War Boulevard: Pink Pigeon Parkway, Richmond Road, and Alumni Drive. Services include preliminary and final design, survey, contract documents, and cost estimates. Improvements add turn lanes from and onto Man 'O War. Design includes sidewalks, striping, erosion control, and traffic maintenance.

Estimated Project Cost: \$1.47 million

Estimated Completion Dates: 2016/2017

Key Team Members: Greg Gabbard, Mary Beth Robson, Roderick Saylor, Tim Tong

Versailles Crossfield Drive Extension

GRW completed corridor planning and design for an approximately 0.5-mile connector road between Lexington Street and US 60 Bypass in Versailles to relieve congestion at the nearby intersection and create opportunities for infill development at this gateway to the City. The project included coordination with existing and proposed adjacent land uses, the City of Versailles, the land owners, and the Kentucky Transportation Cabinet. The project affects major intersections of the two main arterials south of Versailles and includes a stream crossing and associated environmental permitting. Documents developed include typical sections and details, right-of-way plans and acquisition, plans and profiles, hydraulics, cross sections, cost estimates, surveying, specifications and bidding documents, construction administration and inspection.

Project Cost: \$2,000,000 **Completion Date:** 2012

Key Team Members: Eric Fister, Greg Gabbard, Mary Beth Robson

Kentucky Transportation Cabinet US 421 (KY 80 to KY 11)

This 4-mile-long project is a heavily traveled, mostly two-lane, urban/rural arterial has a starting point in a heavily commercial area of Manchester as a three-lane roadway that meandered south as a two-lane rural arterial crossing twice over bridges in poor condition. The lack of turning lanes caused numerous rear-end collisions. GRW has worked closely with District 11, the public, and KYTC central offices to deliver an environmentally successful Phase 1 Design. The final design provided a five-lane urban section and a three-lane rural section of highway, greatly increasing safety and level of service. Special consideration was given to the maintenance of traffic in order to not aggravate the existing dangerous driving environment.

Estimated Project Cost: \$21.6 million

Completion Date: Design Complete

Key Team Members: Greg Gabbard, Mary Beth Robson, Eric Fister, John Sluganz, Pete Szak

Kentucky Transportation Cabinet KY 146 - Henry County

This eight-mile safety improvement project begins at the intersection of KY 153 in Pendleton. The existing corridor includes numerous farm and residential properties as it continues east towards New Castle. The vertical geometry approaching the city, where more dense development exists, is substandard. GRW completed an accident analysis that showed crash rates well above the statewide averages. The proposed typical roadway sections, selected at the first stakeholder meeting, include 12-foot travel lanes and 8-foot paved shoulders. In town, two lanes with on-street parking were preferred over a three-lane section with a center two-way turn lane. Three alternates were developed and presented to the public; all are within the existing corridor and use as much of the existing right of way as possible.

Estimate Project Cost: \$24 million

Estimated Completion Date: 2018

Key Team Members: Greg Gabbard, Mary Beth Robson, Eric Fister, John Sluganz, Pete Szak

6.0 Local Office

As shown in Attachment 1, below, GRW and three of our proposed subconsultants have headquarters in Lexington, KY, and all are local. For your projects, 100 percent of our team’s work will be performed by local staff.

Attachment 1

Project Team Location(s)

GRW

Headquarters	Lexington, KY	1964	221 (corporate wide)	9
Local Office	Lexington, KY	1964	120 (Lexington)	9
PM Location	Lexington, KY			
Name:	Abbie Jones Consulting	2011	6	4
Service Provided	Surveys			
Headquarters	Lexington, KY	2011	6	4
Local Office	Lexington, KY	2011	6	4
Name:	Third Rock Consultants	2000	17	7
Service Provided	Environmental			
Headquarters	Lexington, KY	2000	17	7
Local Office	Lexington, KY	2000	17	7
Name:	Consulting Services, Inc.	2009	63	9
Service Provided	Geotechnical			
Headquarters	Lexington, KY	2009	34	9
Local Office	Lexington, KY	2009	34	9

See below for Jackson Group

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.

Jackson Group

Services Provided | Assistance with environmental surveys and permitting

Headquarters | Richmond, KY | Date Office Established: 2006 | Total Employees: 10 | Work with DOE: 6

Local Office | Richmond, KY | Date Office Established: 2006 | Total Employees: 10 | Work with DOE: 6

**SECTION 7.0 | Disadvantaged Business
Enterprise Involvement**

7.0 Disadvantaged Business Enterprise (DBE) Involvement

GRW understands and agrees with LFUCG’s 10% MWDBE and 3% VOSB goals. For this contract, we propose to use Abbie Jones Consulting and Third Rock Consultants (WBEs), and Jackson Group (VOSB), to meet your goals.



LFUCG MWDBE PARTICIPATION FORM

Bid/RFP/Quote Reference # 38-2016 Engineering Services / Contract 1
Roadway Corridor & Intersections

The MWDBE and/or veteran 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. Failure to submit a completed form may cause rejection of the bid.

MWDBE Company, Name, Address, Phone, Email	MBE WBE or DBE	Work to be Performed	Total Dollar Value of the Work	% Value of Total Contract
1. Abbie Jones Consulting Abbie Jones, PE, PLS, CFM 1022 Fontaine Road Lexington, KY 40502 859-559-3443 abbie@abbie-jones.com	WBE (also a DBE)	Surveys	TBD	TBD (GRW intends to allocate percentage that allows LFUCG to meet 10% goal)
2. Third Rock Consultants Molly Foree, JD 2526 Regency Rd, Ste 180 Lexington, KY, 40503 859-977-2000 mforee@thirdrockconsultants.com	WBE (also a DBE)	Environmental Services	TBD	TBD (GRW intends to allocate percentage that allows LFUCG to meet 10% goal)
3. Jackson Group Jeremy L. Jackson 3945 Simpson Lane Richmond, KY 40475 859-623-0499 info@jacksongroupco.com	VOSB	Assistance with environmental surveys and permitting	TBD	TBD (GRW intends to allocate percentage that assists LFUCG in meeting 3% goal)
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.

GRW

 Company

Harvey Helm, PE

 Company Representative

11/9/2016

 Date

GRW Vice President

 Title

SECTION 8.0 | LFUCG Proposal Forms

8.0 LFUCG Proposal Forms

This section contains the required LFUCG forms as follows:

- Proposal Form
- Affidavit
- General Provisions Form
- Good Faith Efforts Form
- MWDBE Participation Form
- Equal Opportunity Agreement
- Workforce Analysis Form
- GRW Affirmative Action Plan
- GRW Certificate of Liability Insurance

Firm Submitting Proposal: GRW

Complete Address: 801 Corporate Drive, Lexington, KY 40503
Street City Zip

Contact Name: Greg Gabbard, PE Title: Project Manager / Transportation Engineer

Telephone Number: 859-223-3999 Fax Number: 859-223-8917
extension 221

Email address: ggabbard@grwinc.com

AFFIDAVIT

Comes the Affiant, Brad Montgomery, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Brad Montgomery and he/she is the individual submitting the proposal or is the authorized representative of GRW, 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.

Brad Montgomery
STATE OF Kentucky
COUNTY OF Shelby

The foregoing instrument was subscribed, sworn to and acknowledged before me
by Brad Montgomery on this the 9th day
of November, 2016.

My Commission expires: July 6, 2018

David Marshall
NOTARY PUBLIC, STATE AT LARGE



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

11/9/2016

Date

LFUCG STATEMENT OF GOOD FAITH EFFORTS

Bid/RFP/Quote # 38-2016 Engineering Services/Contract 1/ Roadway Corridor & Intersections

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 and Veteran-Owned 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 and Veteran-Owned businesses 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 and/or Veteran-Owned Businesses of subcontracting opportunities

Sponsored Economic Inclusion event to provide networking opportunities for prime contractors and MWDBE firms and Veteran-Owned businesses

Requested a list of MWDBE and/or Veteran subcontractors or suppliers from LFUCG and showed evidence of contacting the companies on the list(s).

Contacted organizations that work with MWDBE companies for assistance in finding certified MWDBE firms and Veteran-Owned businesses 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 and Veteran-Owned businesses to determine their level of interest.

Provided the interested MWDBE firm and/or Veteran-Owned business 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 and/or Veteran-Owned businesses 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 and Veteran participation, even when the prime contractor may otherwise perform these work items with its own workforce

_____ Negotiated in good faith with interested MWDBE firms and Veteran-Owned businesses 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 and Veteran-Owned businesses 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 and/or Veteran-Owned business's quote. Nothing in this provision shall be construed to require the bidder to accept unreasonable quotes in order to satisfy MWDBE and Veteran goals.

_____ Made an effort to offer assistance to or refer interested MWDBE firms and Veteran-Owned businesses 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 and Veteran-Owned businesses beyond the usual geographic boundaries.

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

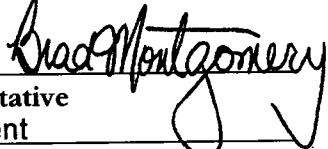
NOTE: Failure to submit any of the documentation requested in this section may be cause for rejection of bid. Bidders may include any other documentation deemed relevant to this requirement which is subject to approval by the MBE Liaison. Documentation of Good Faith Efforts must be submitted with the 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.

GRW

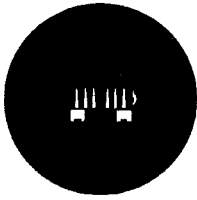
Company
11/9/2016

Date

Brad Montgomery 

Company Representative
President

Title



LFUCG MWDBE PARTICIPATION FORM

**Bid/RFP/Quote Reference # 38-2016 Engineering Services / Contract 1
Roadway Corridor & Intersections**

The MWDBE and/or veteran 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. **Failure to submit a completed form may cause rejection of the bid.**

MWDBE Company, Name, Address, Phone, Email	MBE WBE or DBE	Work to be Performed	Total Dollar Value of the Work	% Value of Total Contract
1. Abbie Jones Consulting Abbie Jones, PE, PLS, CFM 1022 Fontaine Road Lexington, KY 40502 859-559-3443 abbie@abbie-jones.com	WBE (also a DBE)	Surveys	TBD	TBD (GRW intends to allocate percentage that allows LFUCG to meet 10% goal)
2. Third Rock Consultants Molly Foree, JD 2526 Regency Rd, Ste 180 Lexington, KY, 40503 859-977-2000 mforee@thirdrockconsultants.com	WBE (also a DBE)	Environmental Services	TBD	TBD (GRW intends to allocate percentage that allows LFUCG to meet 10% goal)
3. Jackson Group Jeremy L. Jackson 3945 Simpson Lane Richmond, KY 40475 859-623-0499 info@jacksongroupco.com	VOSB	Assistance with environmental surveys and permitting	TBD	TBD (GRW intends to allocate percentage that assists LFUCG in meeting 3% goal)
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.

GRW

Company
 11/9/2016

Date

Harvey Helm, PE

Company Representative
 GRW Vice President

Title

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

GRW

Name of Business

WORKFORCE ANALYSIS FORM

Name of Organization: GRW

Categories	Total	White (Not Hispanic or Latino)		Hispanic or Latino		Black or African-American (Not Hispanic or Latino)		Native Hawaiian and Other Pacific Islander (Not Hispanic or Latino)		Asian (Not Hispanic or Latino)		American Indian or Alaskan Native (not Hispanic or Latino)		Two or more races (Not Hispanic or Latino)		Total	
		M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Administrators	18	2	13	--	1	--	1	--	--	--	--	--	--	1	--	3	15
Professionals	132	118	12	--	1	--	--	--	--	--	1	--	--	--	--	118	14
Superintendents	N/A																
Supervisors	N/A																
Foremen	N/A																
Technicians	40	31	8	--	--	--	--	--	--	--	--	--	--	1	--	32	8
Protective Service	N/A																
Para-Professionals	N/A																
Office/Clerical	Counted under Administrators																
Skilled Craft	31	30	1	--	--	--	--	--	--	--	--	--	--	--	--	30	1
Service/Maintenance	N/A																
Total:	221	181	34	--	2	--	1	--	--	--	1	--	--	2	--	183	38

Prepared by: Gayla Szak, PHR, SHRM-CP Date: 11 / 9 / 2016
 Human Resources Manager *(Name and Title)*

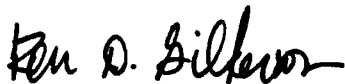
Revised 2015-Dec-15

AFFIRMATIVE ACTION PLAN
INDIVIDUALS WITH DISABILITIES
AND
COVERED VETERANS & DISABLED VETERANS

GRW ENGINEERS, INC.
801 CORPORATE DRIVE
LEXINGTON, KY 40503

Revised and Updated Annually

February 1, 2016 – January 31, 2017

Approved by: 
Ron Gilkerson
President

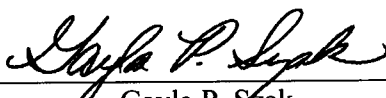
Approved by: 
Gayla P. Szak
Human Resources
Equal Employment Opportunity Officer
Phone Number: 859-223-3999

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Accommodation of Physical and Mental Limitations of Employees

Development and Execution of Affirmative Action Programs

Confidentiality Statement

This Affirmative Action Plan contains confidential information subject to the provisions of Title 18 U.S.C. §1905.

GRW Engineers, Inc. does not consent to the release of any confidential information whatsoever contained in the Affirmative Action Plan under the Freedom of Information Act or otherwise. If the Government, or any agency or division thereof, is considering a request for release of this Program under the Freedom of Information Act, we hereby request that the Government immediately notify GRW Engineers, Inc. of any and all Freedom of Information Act requests and any contemplated release of this Plan by the Government.

The Organization further requests that everyone who has any contact with this Affirmative Action Plan, or its supporting appendices, documents, and other data, treat such information as totally confidential and that such information not be released to any person whatsoever.

Statement of Purpose

This plan is written with the intention of meeting the requirements of a contractor's obligations with Section 503 of the Rehabilitation Act of 1973, as amended.

This plan is presented in recognition of the rights of employees and applicants for employment to be treated on a nondiscriminatory basis. The Organization recognizes its obligation to take affirmative action to employ and advance qualified disabled individuals. The Organization's purpose in adopting this Affirmative Action Plan is to utilize persons with disabilities to their full potential in all levels of the organization.

Affirmative Action Policy

It is the policy of GRW Engineers, Inc. not to discriminate against any employee or applicant for employment because he or she has a physical or mental disability in regard to any position for which the employee or applicant for employment is qualified. The Organization agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified individuals without discrimination based upon their physical or mental disability in all employment practices including the following: employment, promotion, termination, compensation, demotion or transfer, recruiting, advertising, layoff or termination, and selection for training. In carrying out this Affirmative Action Program, the Organization will make a good faith effort to reasonably accommodate the physical or mental limitations of any employee or applicant for employment unless such accommodation would impose undue hardship on the conduct of the business.

An "individual with disabilities" is defined to be a person who:

- Has a physical or mental impairment which substantially limits one or more of his or her major life activities,

- Has a record of such impairment, or
- Is regarded as having such impairment.

For purposes of this definition, an individual with disabilities is substantially limited if he or she is likely to experience difficulty in securing, retaining, or advancing employment because of a disability.

The terms "handicapped" and "disabled" are intended to have the same meaning within this Plan.

The Equal Employment Opportunity Officer has the ultimate responsibility for ensuring that equal employment opportunity and affirmative action receive the high level of priority due this activity.

To carry out the letter as well as the spirit of our Equal Employment Opportunity / Affirmative Action Program, the Organization has appointed Gayla P. Szak as the Equal Employment Opportunity Officer. She will spearhead the commitment to maximize equal employment opportunity and affirmative action at GRW Engineers, Inc. The EEO Officer has the full support of the President in carrying out these duties.

Specifically, the EEO Officer is responsible for ensuring that the following activities are carried out:

- Keeping management up-to-date concerning new developments in the EEO field.
- Providing technical assistance in response to questions and concerns of employees and supervisors, and, as needed, acting as liaison with appropriate agencies.
- Coordinating investigations and making recommendations concerning any allegations of discrimination both internally and in connection with enforcement agencies.
- Conducting periodic audits and holding regular discussions with supervisors and managers to ensure that organization policy is implemented.
- Encouraging involvement with organizations and community action groups.
- Assisting in the identification of problem areas through review of policies and procedures and conducting periodic utilization studies.
- Reporting periodically to the Senior Official on the affirmative action effort.
- Developing education programs to provide managers and supervisors with pertinent equal employment opportunity information to assist them in their compliance efforts.

It is further the policy of the Organization that employees and applicants shall not be subjected to harassment, intimidation, threats, coercion or discrimination because they have engaged in, or may engage, in any of the following activities:

- Filing a complaint;
- Assisting or participating in an investigation, compliance review, hearing, or any other activity related to the administration of Section 503 of the Rehabilitation Act of 1973, as amended (Section 503) or any other Federal, State or local law requiring equal opportunity for disabled persons;
- Opposing any act or practice made unlawful by Section 503 or its implementing regulations in this part or any other Federal, State or local law requiring equal opportunity for disabled persons; or
- Exercising any other right protected by Section 503 or its implementing regulations in this part.

Consistent with GRW Engineers, Inc.'s non-discrimination policy, harassment in the workplace in any form is not tolerated. Harassment of any kind, including sexual harassment, whether physical, verbal, visual or written, is strictly prohibited. Improper interference with the ability of GRW Engineers, Inc.'s employees to perform their expected job duties is not tolerated. Examples of unlawful employee harassment include jokes, slurs, sexually explicit or racially derogatory material, in addition to commentary that would offend others on the basis of race, color, religion, sex, national origin, disability, age, marital status, citizen status, sexual orientation, genetics, status as a disabled veteran or veteran of the wars, including Vietnam, or any other non-job-related protected characteristic or feature. Furthermore, the use of the Organization's internet or e-mail system for the purposes of displaying or transmitting offensive material is strictly prohibited.

Sexual harassment may also include unwelcome sexual advances, offensive touching, requests for sexual favors, showing sexually suggestive or explicit photos or objects, and all other conduct of a sexual or otherwise offensive nature, especially when:

- Submission to or rejection of such conduct is used as a factor in employment decisions (e.g. hiring, evaluation, promotion) affecting such individual; or
- Such conduct has the purpose or effect of interfering unreasonably with an individual's employment or creating an intimidating, hostile, or offensive working environment.

Employees who violate this policy are subject to disciplinary action up to and including immediate termination from employment with GRW Engineers, Inc.

Employees who believe that they are being harassed or discriminated against in any manner prohibited by this policy are encouraged to bring the matter directly to the attention of a member of management or the Human Resources Department. Management must immediately report any discrimination/harassment complaint or observation to the Human Resources Department.

The Organization will conduct an investigation of any complaint of inappropriate discrimination or harassment, and will take prompt remedial action where necessary. Confidentiality will be maintained throughout the investigation to the extent practical and appropriate under the circumstances.

The Organization will not retaliate against employees who make complaints or participate in investigations about workplace harassment or other discrimination. Retaliation is a form of discrimination and is strictly prohibited.

Affirmative Action Plan Coverage

Applicants and employees who believe themselves covered under this Affirmative Action Program for disabled individuals may advise the Organization at any time that they wish to benefit under this program.

This information will be used solely for the purpose of affirmative action and proper job placement. This information will not be used to exclude or otherwise limit the employment opportunities of qualified disabled individuals.

The Equal Employment Opportunity Officer is responsible for implementation of the EEO policy within the Organization. Gayla P. Szak has been assigned the day-to-day responsibility for implementing the policy regarding individuals with disabilities. She has management's support to carry out the following responsibilities:

- Developing policy statements, Affirmative Action Programs, and internal and external communication techniques.
- Discussing with managers, supervisors, and employees the policy regarding individuals with disabilities to make certain that it is being followed.
- Advising managers and supervisors that they are obligated to prevent harassment of employees placed through affirmative action efforts and that their work performance is being evaluated on the basis of their affirmative action efforts and results, as well as on other criteria.

- Assisting in the identification of problem areas in the implementation of Affirmative Action Programs for individuals with disabilities and in the development of solutions, paying particular attention to the accommodation requirements.
- Designing and implementing an audit and reporting system that will measure the effectiveness of the Organization's program, determining the degree to which objectives have been accomplished, and indicating the need for remedial action.
- Determining whether employees with a known disability have had an opportunity to participate in Organization-sponsored activities.
- Serving as a liaison between GRW Engineers, Inc. and responsible organizations concerned with employment opportunities for individuals with disabilities.
- Serving as a liaison between GRW Engineers, Inc. and enforcement agencies.

Communication of Policy

The Organization takes the following steps to disseminate information on the Organization's policy on employment of disabled individuals to recruiting sources, applicants, supervisory and management personnel, and other employees:

- The Organization's policy is contained in the Policy & Procedure Manual and distributed to all employees.
- The EEO Officer holds periodic meetings with management and supervisory personnel to discuss the Organization's policy.
- Prospective employees are informed of the Organization's commitment to increase employment opportunities for qualified individuals with disabilities.
- Employees are made aware of the Organization's policy through a written policy statement posted throughout the Organization's facilities.
- The Organization has informed recruiting sources of this policy.
- Written notification of the Organization's policy of affirmative action to increase employment opportunities for qualified individuals with disabilities is sent to subcontractors, vendors, and suppliers, requesting appropriate action on their part.

Recruitment

The State Employment Service will be informed of the Organization's policy of nondiscrimination and affirmative action.

Personnel involved in the recruitment, screening, selection, promotion, disciplinary, and related employment processes are aware of the Organization's commitment to affirmative action.

GRW Engineers, Inc. recruits applicants for employment on the basis of their demonstrated abilities and competence.

This policy is discussed in employee orientation and management meetings.

Compensation

When offering employment or promotions to an individual with disabilities, the Organization will not consider disability income, pension income, or other benefits received by the applicant or employee as relevant to determination of his/her salary. No deductions from Organization pay will be made for any other income of that nature.

Policy of Nondiscrimination

The Organization does not discriminate against any applicant or employee because of physical or mental disability provided that the applicant or employee is qualified for the position. The Organization's commitment to equal employment opportunity includes, but is not limited to the following areas: hiring, upgrading, transfer, recruitment or recruitment advertising, layoff or termination, all forms of compensation, selection for training, education or tuition assistance, seniority, and leaves of absence.

The Organization will ensure that the physical and mental job qualification requirements are related to the specific job or jobs for which the person is being considered and are consistent with business necessity and safe performance of the job.

Proper Consideration of Qualifications

All applicants applying for employment with the organization are invited to voluntarily identify themselves as disabled and indicate any reasonable accommodation that can be made to enable them to perform a job that they would not otherwise be able to do.

If a disabled applicant or employee is not selected for employment, promotion, or training, the reason for the non-selection is documented and maintained in the personnel file or with the application.

Whenever an accommodation is made for the hire, promotion, or training of a disabled individual, a description of the accommodation is documented and kept with the personnel file or with the application.

Accommodation of Physical and Mental Limitations of Employees

GRW Engineers, Inc. will try to reasonably accommodate the physical and mental limitations of qualified, disabled applicants or employees so as to ensure that each one is afforded equal opportunity for employment and advancement. In determining the degree of accommodations that may be reasonably undertaken, business necessity and expenses will be considered with such other related factors as: efficiency, health and safety, the essential functions of each specific job, etc. Each decision regarding accommodations will be determined on an individual basis.

The Organization will consider the following types of accommodation:

- Architectural Modifications: curb accessibility, entrance door accessibility, ramps, distance from parking lot to building entrance, restroom facilities which accommodate wheelchairs.
- Work Environment Modifications: lowered or raised work surfaces, special lighting, rearranged shelves, and hand-free phones.
- Job Task Modifications: sequencing changes, functional arrangements.
- Equipment Modifications: telephone equipped with amplifiers, altered controls to accommodate left or right hand or foot operation.

Development and Execution of Affirmative Action Programs

The Organization is committed to developing, executing, and maintaining an effective Affirmative Action Plan. In order to ensure this result, the Organization will use the following procedures:

- The Affirmative Action Plan for individuals with disabilities is made available to current and prospective employees.
- The total selection process including training and promotion is reviewed on an on-going basis to ensure freedom from bias regarding individuals with disabilities that limit their access to all jobs for which they are qualified.
- Review of applicable personnel processes to ensure they provide for a thorough consideration of the job qualifications of applicants and employees for job vacancies. Perform periodic evaluations and reviews of all physical and mental job qualification standards and ensure that those standards are job-related for the position in question and consistent with business necessity.

- Approved position specifications are made available to all members of management involved in the recruiting, screening, selection, and promotion process. Pertinent information is also distributed to all recruiting sources.
- All employees significantly involved in recruitment, selection, promotion, disciplinary and related personnel practices are carefully selected and trained to ensure that the commitments in the Affirmative Action Plan are implemented.
- State Employment Services and other recruiting sources are encouraged to refer qualified individuals with disabilities.
- Include the affirmative action clause in covered government contracts and subcontracts.

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Confidentiality Statement

This Affirmative Action Plan contains confidential information that is subject to the provisions of Title 18 U.S.C. §1905.

GRW Engineers, Inc. does not consent to the release of any confidential information whatsoever contained in the Affirmative Action Plan under the Freedom of Information Act or otherwise. If the Government, or any agency or division thereof, is considering a request for release of this Program under the Freedom of Information Act, we hereby request that the Government immediately notify GRW Engineers, Inc. of any and all Freedom of Information Act requests and any contemplated release of this Plan by the Government.

The Organization further requests that everyone who has any contact with this Affirmative Action Plan, or its supporting appendices, documents, and other data, treat such information as totally confidential and that such information not be released to any person whatsoever.

Statement of Purpose

This plan is written with the intention of meeting the requirements of a contractor's obligations with Section 402, Vietnam Era Veterans Readjustment Act of 1974, as amended.

The plan is presented in recognition of the rights of employees and applicants for employment to be treated on a nondiscriminatory basis. The Organization recognizes its obligation to take affirmative action to employ and advance qualified Covered Veterans and Disabled Veterans. The purpose in adopting this Affirmative Action Plan is to utilize Covered Veterans and Disabled Veterans to their full potential in all levels of the organization.

Affirmative Action Policy

It is the policy of the Organization not to discriminate against any employee or applicant for employment because he or she is a Covered Veterans and Disabled Veterans in regard to any position for which the employee or applicant for employment is qualified. The Organization agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified individuals without discrimination based upon their disability or veteran's status in all employment practices including the following: employment, promotion, termination, compensation, demotion or transfer, recruiting, advertising, layoff or termination, and selection for training. In carrying out this Affirmative Action Program, GRW Engineers, Inc. will make a good faith effort to reasonably accommodate the physical or mental limitations of any employee or applicant for employment unless such accommodation would impose undue hardship on the conduct of the business.

Affirmative Action Plan Coverage

Applicants and employees who believe themselves covered under this Affirmative Action Program for Covered Veterans and Disabled Veterans may advise the Organization at any time that they wish to benefit under this program.

This information will be used solely for the purpose of affirmative action and proper job placement. This information will not be used to exclude or otherwise limit the employment opportunities of qualified Covered Veterans and Disabled Veterans.

The Equal Employment Opportunity Officer is responsible for implementation of the EEO policy within the Organization. Gayla P. Szak has been assigned the day-to-day responsibility for implementing the policy regarding Covered Veterans and Disabled Veterans. She has management's support to carry out the following responsibilities:

- Developing policy statements, Affirmative Action Programs, and internal and external communications regarding affirmative action for these protected classes.
- Discussing with managers, supervisors, and employees the policy regarding Covered Veterans and Disabled Veterans to make certain that it is being followed.
- Advising managers and supervisors that they are obligated to prevent harassment of employees placed through affirmative action efforts and that their work performance is being evaluated on the basis of their affirmative action efforts and results, as well as on other criteria.
- Assisting in the identification of problem areas in the implementation of Affirmative Action Programs for Covered Veterans and Disabled Veterans, and the development of solutions, paying particular attention to the accommodation requirements.
- Designing and implementing an audit and reporting system that will:
 - Measure the effectiveness of the Organization's program and determine the degree to which objectives have been accomplished.
 - Indicate the need for remedial action.
- Determining whether known Covered Veterans and Disabled Veterans have had an opportunity to participate in the Organization-sponsored activities.
- Serving as liaison between GRW Engineers, Inc. and responsible organizations concerned with employment opportunities for Covered Veterans and Disabled Veterans.
- Serving as liaison between GRW Engineers, Inc. and enforcement agencies.

Communication of Policy

The Organization takes the following steps to disseminate information on the Organization's policy on employment of Covered Veterans and Disabled Veterans to recruiting sources, vendors, subcontractors, applicants, supervisory and management personnel, and other employees:

- The Organization's policy is contained in the Policy & Procedure Manual and is distributed to all employees.
- The EEO Officer holds periodic meetings with all management and supervisory personnel to discuss the Organization's policy.
- Employees are made aware of the Organization's policy through a written policy statement posted throughout the Organization's facilities.
- Bulletin boards bear the appropriate federal and state EEO posters.
- Recruitment sources are informed of the Organization's Equal Employment Opportunity Policy and are requested to recruit and refer in a manner that represents the Organization's policy.
- An Equal Employment Opportunity clause is included in all purchase orders.

Recruitment

When hiring opportunities occur, GRW Engineers, Inc. requests that employment agencies and other sources refer qualified Covered Veterans and Disabled Veterans for consideration.

Recruiting sources have been informed of the Organization's policy of nondiscrimination and affirmative action.

Personnel involved in the recruitment, screening, selection, promotion, disciplinary, and related employment processes are aware of the Organization's commitment to affirmative action.

The Organization recruits applicants for employment on the basis of demonstrated ability and competence.

Sources likely to yield qualified Covered Veterans and Disabled Veterans as applicants are identified and included in our recruiting efforts. All open positions are posted with the local State Employment Services office except executive and top management positions, positions that will be filled from within the Organization, and positions lasting three (3) days or less.

The policy is discussed in employee orientation and management meetings.

Compensation

When offering employment or promotions to Covered Veterans and Disabled Veterans, the Organization will not consider disability income, pension income, or other benefits received by the applicant or employee as relevant to determination of his/her salary. No deduction from Organization pay will be made for any other income of that nature.

Policy of Nondiscrimination

The Organization does not discriminate against any applicant or employee because of disability or veteran status, provided the applicant or employee is qualified for the position. The Organization's commitment to equal employment opportunity includes, but is not limited to, the following areas: hiring, upgrading, transfer, recruitment or recruitment advertising, layoff or termination, all forms of compensation, selection for training, education or tuition assistance, seniority, and leaves of absence.

GRW Engineers, Inc. will ensure the physical and mental job qualification requirements are related to the specific job or jobs for which the person is being considered and are consistent with business necessity and safe performance of the job.

Proper Consideration of Qualifications

All applicants applying for employment with the Organization will be invited to voluntarily identify themselves as Covered Veterans and Disabled Veterans and to indicate any reasonable accommodation that can be made to enable them to perform a job that they would not otherwise be able to do.

Whenever Covered Veterans and Disabled Veterans are considered for employment, the employment applications are annotated to identify positions for which they are considered.

If a Covered Veterans and Disabled Veterans is not selected for employment, promotion, or training, the reason for the non-selection is documented and maintained in the personnel file or with the application.

Whenever an accommodation is made for the hire, promotion, or training of a disabled individual, a description of the accommodation is documented and kept with the personnel file or with the application.

Accommodation of Physical and Mental Limitations of Employees

GRW Engineers, Inc. is prepared to make reasonable accommodations to the physical and mental limitations of a disabled veteran unless such accommodation would impose an undue hardship on the conduct of our business. The extent to which accommodations will be made will be a function of several factors including business necessity and cost.

Development and Execution of Affirmative Action Programs

The Organization is committed to developing, executing, and maintaining an effective Affirmative Action Plan. To ensure this result, the Organization uses the following procedures:

- The Affirmative Action Plan for Covered Veterans and Disabled Veterans is made available to current and prospective employees. They are invited to declare their veteran's status and their desire to be covered under the provisions of the plan.
- The total selection process is reviewed on an on-going basis to ensure freedom from bias regarding Covered Veterans and Disabled Veterans which might otherwise limit their access to all jobs for which they are qualified.
- Review of applicable personnel processes to ensure they provide for a thorough consideration of the job qualifications of applicants and employees for job vacancies. Perform periodic evaluations and reviews of all physical and mental job qualification standards and ensure that those standards are job-related for the position in question and consistent with business necessity.
- Approved position specifications are made available to all members of management involved in the recruiting, screening, selection, and promotion process. Pertinent information is also distributed to all recruiting sources.
- All employees significantly involved in recruitment, selection, promotion, disciplinary, and related personnel practices will be carefully selected and trained to ensure that the commitments in the Affirmative Action Plan are implemented.
- State Employment Services and other recruiting sources are encouraged to refer qualified Covered Veterans and Disabled Veterans.
- The affirmative action clause is included in covered government contracts and sub-contracts.

GRW Engineers, Inc. will meet its annual obligation to file a VETS-100A reporting form showing the number of veterans in our workforce.



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

04/05/2016

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).

PRODUCER The Underwriters Group, Inc. 1700 Eastpoint Parkway P.O. Box 23790 Louisville, KY 40223	CONTACT NAME: PHONE (A/C, No, Ext): 502-244-1343 E-MAIL ADDRESS:	FAX (A/C, No): 502-244-1411													
	<table border="1"> <thead> <tr> <th>INSURER(S) AFFORDING COVERAGE</th> <th>NAIC #</th> </tr> </thead> <tbody> <tr> <td>INSURER A: Charter Oak Fire Insurance Company</td> <td>25615</td> </tr> <tr> <td>INSURER B: Travelers Indemnity Company</td> <td>25658</td> </tr> <tr> <td>INSURER C: Cincinnati Insurance Company</td> <td>10677</td> </tr> <tr> <td>INSURER D: Kentucky Employers' Mutual Insurance</td> <td>10320</td> </tr> <tr> <td>INSURER E: XL Specialty Insurance Company</td> <td>37885</td> </tr> <tr> <td>INSURER F:</td> <td></td> </tr> </tbody> </table>		INSURER(S) AFFORDING COVERAGE	NAIC #	INSURER A: Charter Oak Fire Insurance Company	25615	INSURER B: Travelers Indemnity Company	25658	INSURER C: Cincinnati Insurance Company	10677	INSURER D: Kentucky Employers' Mutual Insurance	10320	INSURER E: XL Specialty Insurance Company	37885	INSURER F:
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INSURER E: XL Specialty Insurance Company	37885														
INSURER F:															
INSURED GRW Engineers Inc. GRW Aerial Surveys Inc. 801 Corporate Drive Lexington, KY 40503															

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 WVP	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	GENERAL LIABILITY	X	X	6808803L858COF16	03/01/2016	03/01/2017	EACH OCCURRENCE \$1,000,000
	<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 checked="" type="checkbox"/> PROJECT <input type="checkbox"/> LOC						DAMAGE TO RENTED PREMISES (Ea occurrence) \$1,000,000 MED EXP (Any one person) \$10,000 PERSONAL & ADV INJURY \$1,000,000 GENERAL AGGREGATE \$2,000,000 PRODUCTS - COM/POP AGG \$
B	AUTOMOBILE LIABILITY	X	X	BA8805L39116GRP	03/01/2016	03/01/2017	COMBINED SINGLE LIMIT (Ea accident) \$1,000,000
	<input checked="" type="checkbox"/> ANY AUTO ALL OWNED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS						BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$
B C	UMBRELLA LIAB	X	X	CUP3458T0031647	03/01/2016	03/01/2017	EACH OCCURRENCE \$5,000,000
	<input checked="" type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$ 10,000			EXS0065793	03/01/2016	03/01/2017	AGGREGATE \$5,000,000
D B	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY		X	361580 (KY ONLY) XV2KUB6127Y97A16	03/01/2016	03/01/2017	<input checked="" type="checkbox"/> WC STATUTORY LIMITS <input type="checkbox"/> OTH-ER
	<input type="checkbox"/> ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below		N/A				E.L. EACH ACCIDENT \$1,000,000 E.L. DISEASE - EA EMPLOYEE \$1,000,000 E.L. DISEASE - POLICY LIMIT \$1,000,000
E	Professional Liability		X	DPR9802226	03/01/2016	03/01/2017	Per Claim: 5,000,000 Aggregate: 5,000,000

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

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CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
08/23/2017

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).

PRODUCER The Underwriters Group, Inc. 1700 Eastpoint Parkway P.O. Box 23790 Louisville, KY 40223	CONTACT NAME: PHONE (A/C No. Ext): 502-244-1343 FAX (A/C No.): 502-244-1411 E-MAIL ADDRESS:														
	<table border="1"> <thead> <tr> <th>INSURER(S) AFFORDING COVERAGE</th> <th>NAIC#</th> </tr> </thead> <tbody> <tr> <td>INSURER A: Hartford Casualty Insurance Company</td> <td>29424</td> </tr> <tr> <td>INSURER B: Hartford Fire Insurance Company</td> <td>19682</td> </tr> <tr> <td>INSURER C: Hartford Casualty Insurance Company</td> <td>29424</td> </tr> <tr> <td>INSURER D: Sentinel Insurance Company Ltd</td> <td>11000</td> </tr> <tr> <td>INSURER E: XL Specialty Insurance Company</td> <td>37885</td> </tr> <tr> <td>INSURER F: Kentucky Employers' Mutual Insurance</td> <td>10320</td> </tr> </tbody> </table>		INSURER(S) AFFORDING COVERAGE	NAIC#	INSURER A: Hartford Casualty Insurance Company	29424	INSURER B: Hartford Fire Insurance Company	19682	INSURER C: Hartford Casualty Insurance Company	29424	INSURER D: Sentinel Insurance Company Ltd	11000	INSURER E: XL Specialty Insurance Company	37885	INSURER F: Kentucky Employers' Mutual Insurance
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INSURED GRW Engineers Inc. GRW Aerial Surveys Inc. 801 Corporate Drive Lexington, KY 40503															

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 INSD	SUBR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<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 checked="" type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:	X	X	33UUNZB9755g1	03/01/2017	03/01/2018	EACH OCCURRENCE \$1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$300,000 MED EXP (Any one person) \$10,000 PERSONAL & ADV INJURY \$1,000,000 GENERAL AGGREGATE \$2,000,000 PRODUCTS - COMP/OP AGG \$2,000,000 \$
B	<input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input checked="" type="checkbox"/> ALL OWNED AUTOS <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input checked="" type="checkbox"/> NON-OWNED AUTOS	X	X	33UUNZB9755	03/01/2017	03/01/2018	COMBINED SINGLE LIMIT (Ea accident) \$1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
C	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$ 10,000	X	X	33RHUZB9558	03/01/2017	03/01/2018	EACH OCCURRENCE \$10,000,000 AGGREGATE \$10,000,000 \$
D	<input checked="" type="checkbox"/> WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below			33WEIC7873 361580 (Kentucky)	03/01/2017 03/01/2017	03/01/2018 03/01/2018	<input checked="" type="checkbox"/> PER STATUTE <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
E	Professional Liability		X	DPR9911711	03/01/2017	03/01/2018	Per Claim: 5,000,000 Aggregate: 5,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)
RE: Professional Engineering Services Contract 1

CERTIFICATE HOLDER

CANCELLATION

LFUCG
200 E Main St
Lexington, KY 40507

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
Bruce W Ferguson

EXHIBIT C

**FURTHER DESCRIPTION OF BASIC
ENGINEERING SERVICES AND
RELATED MATTERS**

1. Project Assignment Form Template

LFUCG PROJECT ASSIGNMENT NO. _____
UNDER LFUCG AGREEMENT WITH _____ FOR

CONSULTANT

OWNER

Name		Lexington Fayette Urban County Government
Street Address		200 East Main Street
City, State, Zip		Lexington, KY 40507
Contact Person		
Telephone		859-258-3410
Fax		859-258-3458
E-Mail		

Project Assignment Date: _____

Task Name: _____

Task ID: _____

SCOPE OF WORK/DELIVERABLES

SCHEDULE OF WORK

FEE

ACCEPTED BY:

AUTHORIZED BY:

Consultant's Authorized Signature

Owner's Authorized Signature

Date Signed

Date Signed

Two originals of this work order shall be executed by the Owner and returned to _____. A fully executed copy will be returned to the Owner.