



Kentucky 40507. Bids shall be submitted in a sealed envelope no later than 2:00 p.m. (local time) on November 2, 2017. Sealed proposals shall be marked clearly on the outside of the container "Sealed Proposal for: **WH7 Wet Weather Storage Facilities Improvements; Contract No. 2 – Pump Station and Wet Weather Storage Tank** to be opened at 2:00 p.m. Local Time. Bids received after the scheduled closing time for receipt of Bids will not be considered and will be returned unopened."

- A. Section 00100, Advertisement for Bids, Article 1.12 State Revolving Loan Requirements shall be deleted.
- B. Section 00810, Supplemental General Conditions for Clean Water State Revolving Fund shall be deleted in its entirety.
- C. Section 00815, Guidance for the Implementation of American Iron and Steel Provisions shall be deleted in its entirety.
- D. Section 00820, Wage Determination Schedule shall be deleted in its entirety.
- E. Section 00890 Permits. Add KYTC Encroachment Permit #07-2017-00288. See attached.
- F. Section 00890 Permits. Add Kentucky Division of Water approval letter dated October 11, 2017. See attached.

Accession No. 2

Todd Slatin, Director
Division of Central Purchasing

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

COMPANY NAME: SMITH CONTRACTORS, INC.

ADDRESS: P.O. Box 980, 1241 Bypass N., Lawrenceburg, Ky 40342

SIGNATURE OF BIDDER: *Kerry Smith*
Kerry Smith



- H. Section 09961, High Performance Paints and Coatings – Wastewater shall be deleted in its entirety and replaced. See Attached.
- I. Section 13209, Chemical Feed System, Part 1 – General, Subpart 1.1 Work Included, Paragraph C. shall be added as follows:
 - “C. The Contractor shall provide 200 gallons of chemical (100 gallons in each 3,000 gallon tank) to be used for testing of all chemical odor control equipment which shall be included in the bid price. The cost of topping off the two (2) 3,000 gallon chemical tanks will be covered through LFUCG’s chemical vendor contract once the equipment has passed testing and Beneficial Occupancy of the project has been issued.”
- J. Section 13252, Activated Carbon Adsorber Odor Control System shall be deleted in its entirety and replaced. See Attached.

ADDENDUM No. 3

Todd Slatin, Director
Division of Central Purchasing

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

COMPANY NAME: SMITH CONTRACTORS, INC.

ADDRESS: P.O. Box 480, 1341 Bypass North, Lawrenceburg, Ky 40342

SIGNATURE OF BIDDER: *Kerry Smith*
Kerry Smith



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Note: A second redundant unit is required at the Diversion Structure and Storage Tank."

Appendum No. 4

Todd Slatin, Director
Division of Central Purchasing

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

COMPANY NAME: SMITH CONTRACTORS, INC.

ADDRESS: P.O. Box 480, 1241 Bypass N., Lawrenceburg, Ky 40343

SIGNATURE OF BIDDER: *Kerry Smith*
Kerry Smith

SECTION 00410 – BID FORM

West Hickman 7 Wet Weather Storage Facilities Improvements:
Contract No. 2 – Pump Station and Wet Weather Storage Tank

Division of Water Quality
Lexington-Fayette Urban County Government

LFUCG Bid No. ~~14032017~~

1.01 GENERAL

Place: Lexington, Kentucky

Date: 11-2-17

The following Bid Form shall be followed exactly in submitting a Bid for this Work.

This Bid Form Submitted by SMITH CONTRACTORS, INC.
P.O. Box 980
LAWRENCEBURG, KY 40342
(Name and Address of Bidder)

(Hereinafter called "Bidder"), organized and existing under the laws of the State of Kentucky, doing business as "A CORPORATION"
"a corporation," "a partnership", or an "individual" as applicable

To: Lexington-Fayette Urban County Government
(Hereinafter called "Owner")
Office of the Director of Central Purchasing
200 East Main Street, Room 338
Lexington, KY 40507

The Bidder, in compliance with your Advertisement for Bids for the **West Hickman 7 Wet Weather Storage Facilities Improvements: Contract No. 2 – Pump Station and Wet Weather Storage Tank**; Lexington, Kentucky, having examined the Contract Documents including the Plans and Specifications with related documents, having examined the site for proposed Work, and being familiar with all of the conditions and any and all addendums surrounding the construction of the proposed Project, including the availability of materials and labor, hereby proposes to furnish all labor, materials, and supplies, and to construct the Project in accordance with the Contract Documents, within the time set forth therein, and at the lump sum stated hereinafter. These prices are to cover all expenses incurred in performing the Work required under the Contract Documents, of which this Bid is a part.

The Bidder hereby agrees to commence Work under this Contract on a date to be specified in a written "Notice to Proceed" of the Owner and to substantially complete the Project within 380 consecutive calendar days. Bidder further agrees to pay liquidated damages, the sum of eight hundred dollars and no cents (\$800.00) for each consecutive day thereafter.

The Bidder hereby acknowledges receipt of the following addenda:

Addendum No. 1 Date 10-9-17; Addendum No. _____ Date _____
Addendum No. 2 Date 10-11-17; Addendum No. _____ Date _____
Addendum No. 3 Date 10-19-17; Addendum No. _____ Date _____
Addendum No. 4 Date 10-26-17; Addendum No. _____ Date _____

Insert above the number and the date of any Addendum issued and received. If none has been issued and received, the word "NONE" should be inserted.

1.02 LEGAL STATUS OF BIDDER

Bidder SMITH CONTRACTORS, INC.

Date 11-2-17

*A. A corporation duly organized and doing business under the laws of the State of Kentucky, for whom KERRY SMITH, bearing the official title of PRESIDENT, whose signature is affixed to this Bid is duly authorized to execute contracts.

*B. A Partnership, all of the members of which, with addresses are: (Designate general partners as such)

~~_____~~
~~_____~~
~~_____~~

*C. An individual, whose signature is affixed to this Bid. (Print name)

~~_____~~
~~_____~~

* The Bidder shall fill out the appropriate form and strike out the other two.

1.03 BIDDERS AFFIDAVIT

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

- A. His/her name is KERRY SMITH and he is the individual submitting the Bid or is the authorized representative of SMITH CONTRACTORS, INC., the entity submitting the Bid (hereinafter referred to as "Bidder").
- B. Bidder will pay all taxes and fees, which are owed to the Lexington-Fayette Urban County Government at the time the Bid is submitted, prior to award of the Agreement and will maintain a "current" status in regard to those taxes and fees during the life of the Agreement.
- C. Bidder will obtain a Lexington-Fayette Urban County Government business license, if applicable, prior to award of the Agreement.
- D. Bidder 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.
- E. Bidder 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 an Agreement to the Bidder will not violate any provision of the campaign finance laws of the Commonwealth.
- F. Bidder has not knowingly violated any provision of Chapter 25 of the Lexington-Fayette Urban County Government Code of Ordinances, known as the "Ethics Act."
- G. Bidder 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/her conduct is of that nature or that the circumstance exists.

Further, Affiant sayeth naught.

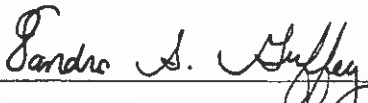

Affiant Signature KERRY SMITH

STATE OF KENTUCKY
COUNTY OF ANDERSON

The foregoing instrument was subscribed, sworn to and acknowledged before me by

KERRY SMITH on this the 2nd day of Nov., 2017.

My Commission expires: 7-16-18


NOTARY PUBLIC, STATE AT LARGE

1.04 BID SCHEDULE

The Bidder agrees to perform all the Work described in the Specifications and shown on the Plans for the following proposed lump sum and/or unit prices, if applicable, which shall include the furnishing of all labor, materials, supplies, equipment and/or vehicle usage, services, all items of cost, overhead, taxes (federal, state, local), and profit for the Contractor and any Subcontractor involved, within the time set forth herein. If unit prices are applicable, Bidder must make the extensions and additions showing the total amount of Bid. In all cases of discrepancies or math errors the amount written in for the unit price of an item shall govern.

If a discrepancy between the unit price and the item total exists, the unit price prevails except:

If the unit price is illegible, omitted, or the same as the item total, item total prevails and the unit price is the quotient of the item total and the quantity.

If the unit price and the item total are illegible or are omitted, the bid may be determined nonresponsive. If a lump sum total price is illegible or is omitted, the bid may be determined nonresponsive.

For a lump sum based bid, the item total is the bid amount the Owner uses for bid comparison.

For a unit price based bid, the sum of the item totals is the bid amount the Owner uses for bid comparison.

The Owner's decision on the bid amount is final.

BID SCHEDULE - CONTRACT NO. 2

BID SCHEDULE - CONTRACT NO. 2				
A.	WH7 Pump Station and Wet Weather Storage Tank:			
A1	Base Bid for Construction of the Pump Station & Wet Weather Storage Tank and all improvements associated with work on both sites per the contract documents, exclusive of the following items:	1	LS	\$ 9,202,600. ⁰⁰
B.	Allowances:			
B1	Control Touch SCADA Integration	1	LS	\$50,000
B2	Project Video Monitoring	1	LS	\$25,000
B3	Miscellaneous Site Improvements	1	LS	\$1,000,000
B4	Emergency Generator Fuel Tank Permit	1	LS	\$400
B5	Electrical Service	1	LS	\$40,000
B6	Water Service	1	LS	\$15,000
B7	Below Grade Debris (Concrete Slabs, Footers, Foundations) Removal	1	LS	\$20,000
B8	Fencing and Landscaping	1	LS	\$100,000
TOTAL BID (Items A and B)				

TOTAL BID AMOUNT:

Ten million four hundred + fifty three thousand ^{no/10}

Dollars (\$ 10,453,000.⁰⁰)

Respectfully Submitted,

FIRM: SMITH CONTRACTORS, Inc.
ADDRESS: P.O. Box 480, 1241 Bypass North
CITY/STATE/ZIP: Lawrenceburg, Ky 40340
DATE: 11-2-17
BY: Kerby Smith (must be original signature)
TITLE: PRESIDENT
PHONE: 502-839-4196 (area code, number & extension) FAX: 502-839-8318
EMAIL ADDRESS: KS@sci82.com

OFFICIAL ADDRESS AND PHONE:

P.O. Box 480, 1241 Bypass North
Lawrenceburg, Ky 40340
502-839-4196 (Seal if Bid is by Corporation)

By signing this form you agree to all of the terms and associated forms.

1.05 STATEMENT OF BIDDER'S QUALIFICATIONS


The following statement of the Bidder's qualifications is required to be filled in, executed, and submitted with the Bid:

- A. Name of Bidder: SMITH CONTRACTORS, Inc.
- B. Permanent Place of Business: P.O. Box 480, 1241 Bypass N., Lawrenceburg, Ky
- C. When Organized: JANUARY 27, 1982
- D. Where Incorporated: KENTUCKY
- E. Financial Condition:

If specifically requested by the Owner, the apparent low Bidder is required to submit its latest three (3) years audited financial statements to the Owner's Division of Central Purchasing within seven (7) calendar days following the Bid opening.

- F. In the event the Agreement is awarded to the undersigned, Performance, Payment, Erosion and Sediment Control, and Warranty bonds will be furnished by:

Liberty Mutual Insurance Company (Surety)

Signed:  (Representative of Surety)
 Christopher A Cytorski

- G. The following is a list of similar projects performed by the Bidder: (Attach separate sheet if necessary). (ATTACHED)

<u>NAME</u>	<u>LOCATION</u>	<u>CONTRACT SUM</u>

- H. The Bidder has now under contract and bonded the following projects:

<u>NAME</u> <u>(ATTACHED)</u>	<u>LOCATION</u>	<u>CONTRACT SUM</u>

- I. List Key Bidder Personnel who will work on this Project.

<u>NAME</u>	<u>POSITION DESCRIPTION</u>	<u>NO. OF YEARS</u>

		<u>WITH BIDDER</u>
<u>Kerry SMITH</u>	<u>PRESIDENT</u>	<u>35</u>
<u>Joe SMITH</u>	<u>Vice - PRESIDENT</u>	<u>18</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

J. MWDBE Participation on current bonded projects under contract: ATTACHED

<u>SUBCONTRACTORS</u> (LIST)	<u>PROJECT</u> (SPECIFIC TYPE)	<u>MWDBE</u>	<u>% of WORK</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(USE ADDITIONAL SHEETS IF NECESSARY)

K. We acknowledge that, if we are the apparent low Bidder, we may be required to submit to the Owner within seven (7) calendar days following the Bid Opening, a sworn statement regarding all office management and field management personnel. Additionally, if requested by the Owner, we will within seven (7) days following the request submit audited financial statements and loss history for insurance claims for the three (3) most recent years (or a lesser period if stipulated by the Owner)

SMITH CONTRACTORS, INC.

TEN YEAR PROJECT HISTORY

SCHEDULE B

Project Name & Location	Owner	Design Engineer	Date Complete	Contract Amount	References
<i>Barren Reservoir WTP</i> Glasgow, KY	Glasgow Water Company	J.V. Engineering	March, 2007	\$ 6,003,767.95	Jeff Vaughan 615-781-8725 5100 Linbar Drive, Ste 106, Nashville, TN 37211
<i>Contract A - Sewage Transfer PS</i> Burnside, KY	City of Burnside	GRW Engineers	March, 2007	\$ 1,915,351.12	Alan Bryan 859-223-3999 801 Corporate Drive, Lexington, KY 40503
<i>Contract 2 - Pump Station, Force Main</i> Cynthiana, KY	City of Cynthiana	Quest Engineers	Sept., 2007	\$ 2,354,416.10	Rob Williams 859-223-3755 2517 Sir Barton Way, Lexington, KY 40509
<i>Shayler Run Segment "C"</i> Clermont County, OH	Clermont Co. Sewer District	Clermont Co. Sewer District	July, 2007	\$ 6,436,222.64	Lyle Bloom 513-732-8860 2379 Clermont Center Dr., Batavia, OH 45103
<i>College Hill WTP Improvements/New Raw Water Intake</i> Richmond, KY	Richmond Utilities	Bell Engineering	Sept., 2008	\$ 18,292,358.49	James Roberts 859-278-5412 P.O. Box 546, Lexington, KY 40588
<i>Contract 14 - County Water Expansion</i> Springfield, KY	Springfield Water & Sewer Commission	Strand Associates	Oct., 2007	\$ 1,475,387.60	Tony Harover 502-583-7020 325 W. Main St., Ste 710, Louisville, KY 40202
<i>Lake Cumberland Emergency Water Intake</i> Jamestown, KY	City of Jamestown	Kenvirons, Inc.	May, 2008	\$ 1,964,921.88	Vaughn Williams 502-695-4357 452 Versailles Road, Frankfort, KY 40601
<i>5.0 MGD Water Treatment Plant</i> Columbia, KY	Columbia/Adair Co Water Commission	Monarch Engineers	May, 2008	\$ 11,103,907.00	David Bowles 502-839-1310 556 Carlton Drive, Lawrenceburg, KY 40342

SMITH CONTRACTORS, INC.

TEN YEAR PROJECT HISTORY

SCHEDULE B

Project Name & Location	Owner	Design Engineer	Date Complete	Contract Amount	References
<i>Alex-Licking Force Main & Gravity Sewer</i> Alexandria, KY	Sanitation District No. 1	Tetra Tech, Inc.	July 2008	\$ 3,059,353.58	Paul Trepancy Suite 290, Cincinnati, OH 45241 513-772-4660
<i>Jessamine Creek Env. Control</i> Nicholasville, KY	City of Nicholasville	Tetra Tech, Inc.	Oct., 2008	\$ 5,278,831.58	Morey Lampson 800 Corporate Drive, Lexington, KY 40503 859-223-8000
<i>Town Fork Interceptor - Contract 3</i> Nicholasville, KY	City of Nicholasville	Tetra Tech, Inc.	June, 2009	\$ 5,608,540.00	Morey Lampson 800 Corporate Drive, Lexington, KY 40503 859-223-8000
<i>Contract 1 - WWTP</i> Whitesburg, KY	City of Whitesburg	Summit Engineering	March, 2009	\$ 5,800,543.70	Kevin Howard 120 Prosperous Place, Ste 101, Lexington, KY 859-264-9860
<i>Bath County Industrial Park WWTF</i> Owingsville, KY	City of Owingsville	Bell Engineering	June 2009	\$ 3,551,695.83	Ron Rogers P.O. Box 546, Lexington, KY 40588 859-278-5412
<i>Brightleaf Pump Stations, Force Mains</i> Harrodsburg, KY	Mercer Co. Sanitation District	Strand Associates	Sept 2009	\$ 1,021,636.00	Mike Davis 1525 Bull Lea Road, Lexington, KY 40511 859-225-8501
<i>Manchester 4.0 MGD WTP</i> Manchester, KY	City of Manchester	Cann Tech, LLC	Dec 2010	\$ 6,580,433.00	Matt Baker 11100 Glensboro Rd, Ste 9, Lawrenceburg, KY 502-859-0907
<i>Ashland Riverfront Improvements</i> Ashland, KY	City of Ashland	City of Ashland	Dec 2010	\$ 8,076,402.88	Ryan Eastwood 1700 Greenup Ave., Ashland, KY 41101 606-327-2008

SMITH CONTRACTORS, INC.

TEN YEAR PROJECT HISTORY

SCHEDULE B

Project Name & Location	Owner	Design Engineer	Date Complete	Contract Amount	References
<i>Contract 207 - WWTP Expansion</i> Gallatin, TN	City of Gallatin	James C. Hailey & Co.	April 2012	\$ 23,472,935.44	James Hailey 615-883-4933 7518 Hwy 70 S, Ste 100, Nashville, TN 37221
<i>Moss WTP Expansion</i> Hopkinsville, KY	Hopkinsville Water Environmental Authority	JR Wauford	April 2012	\$ 9,704,456.32	Greg Davenport 615-883-3243 P.O. Box 140350, Nashville, TN 37214
<i>Campton Water Treatment Plant</i> Campton, KY	City of Campton	Bell Engineering	March, 2012	\$ 6,076,787.12	Mike Wilmoth 859-278-5412 P.O. Box 546, Lexington, KY 40588
<i>Biosolids Facility</i> Gallatin, TN	City of Gallatin	James C. Hailey & Co.	April, 2012	\$ 6,340,000.00	James Hailey 615-883-4933 7518 Hwy 70 S, Ste 100, Nashville, TN 37221
<i>Louisville Hill Road Stormwater Separation Project</i> Frankfort, KY	City of Frankfort	Qk4 Engineers	Dec., 2012	\$ 1,323,110.69	Rob Campbell 502-719-7941 1046 E. Chestnut St, Louisville, KY 40204
<i>Clarksville Water Distribution System</i> Clarksville, TN	Clarksville Gas & Water	Rye Engineering	May, 2012	\$ 4,138,391.25	Seth Rye 931-289-2300 4210 West Main St., Erin, TN 37061
<i>Rattlesnake Ridge Water Treatment Plant Expansion</i> Grayson, KY	Rattlesnake Ridge Water District	Sister-Maggard Engr.	Dec., 2012	\$ 4,081,850.40	Joc Sister 859-271-2978 P.O. Box 23279, Lexington, KY 40517
<i>Barkley Lake Water Treatment Plant</i> Cadiz, KY	Barkley Lake Water District	GRW Engineers	May, 2012	\$ 5,735,035.00	Louis Robbins 615-366-1600 404 BNA Drive, Ste 201, Nashville, TN 37217

SMITH CONTRACTORS, INC.

TEN YEAR PROJECT HISTORY

SCHEDULE B

Project Name & Location	Owner	Design Engineer	Date Complete	Contract Amount	References
<i>Lower Howards Creek Influent PS & WWTP</i> Winchester, KY	Winchester Municipal Utilities	Palmer Engineering	July, 2013	\$ 28,178,980.00	Brian Ward P.O. Box 747, Winchester, KY 40392
<i>Buechel Basin WW System</i> Louisville, KY	Louisville Jefferson MSD	Louisville Jefferson MSD	Dec., 2012	\$ 2,453,582.42	Eric Brady 700 West Liberty Street, Louisville, KY 40203
<i>Dover Water Treatment Plant</i> Dover, TN	North Stewart Utility District	James C. Hailey	July, 2013	\$ 3,855,750.00	Neal Westerman 7518 Hwy 70S, Nashville, TN 37221
<i>Raw Water Intake</i> Dover, TN	North Stewart Utility District	James C. Hailey	July, 2013	\$ 2,046,000.00	Neal Westerman 7518 Hwy 70S, Nashville, TN 37221
<i>Lexington Expansion Area 2AA - Force Main</i> Lexington, KY	Lexington Fayette Urban Govt.	GRW Engineers	Aug., 2013	\$ 1,084,002.41	Joe Henry 801 Corporate Dr., Lexington, KY 40503
<i>Red River WWTP</i> Stanton, KY	Red River WW Authority	Bell Engineering	March, 2014	\$ 9,266,870.95	Ron Rogers 2480 Fortune Dr., Ste 301, Lexington, KY 40509
<i>Lexington Expansion Area 2AA - Pump Station</i> Lexington, KY	Lexington Fayette Urban Govt.	GRW Engineers	June, 2014	\$ 4,861,000.00	Joe Henry 801 Corporate Dr., Lexington, KY 40503
<i>Owensboro Cargo Dock</i> Owensboro, KY	Owensboro Riverport Authority	W.R. Coles	Oct., 2014	\$ 6,517,000.00	Ron Coles P.O. Box 159266, Nashville, TN 37215

SMITH CONTRACTORS, INC.

TEN YEAR PROJECT HISTORY

SCHEDULE B

Project Name & Location	Owner	Design Engineer	Date Complete	Contract Amount	References
<i>Monticello WWTP</i> Monticello, KY	City of Monticello	Bell Engineering	Dec., 2014	\$ 7,054,447.19	Ron Rogers 859-278-5412 2480 Fortune Dr., Ste 301, Lexington, KY 40509
<i>Carr Creek WTP Expansion</i> Vlcco, KY	Knott Co Water & Sewer	R.M. Johnson Engineering	Aug., 2014	\$ 2,254,000.00	Jared Salmons 606-785-5926 P.O. Box 444, Hindman, KY 41822
<i>Jonesborough WWTP</i> Jonesborough, TN	Town of Jonesborough	GRW Engineers	Oct., 2014	\$ 1,987,205.11	Robert Threadgill, P.E. 615-366-1600 404 BNA Drive, Ste 201, Nashville, TN 37217
<i>Town Branch Vector Truck</i> Lexington, KY	Lexington Fayette Urban Gov't	Lexington Fayette Urban Govt.	Nov., 2014	\$ 391,998.00	Chase Azevedo 859-258-3425 125 Industrial Avenue, Lexington, KY 40511
<i>Monticello WTP</i> Monticello, KY	City of Monticello	Bell Engineering	May, 2015	\$ 10,910,695.00	David Schrader 859-278-5412 2480 Fortune Dr., Ste 301, Lexington, KY 40509
<i>Owensboro Riverfront Pavilion</i> Owensboro, KY	City of Owensboro	City of Owensboro	July, 2015	\$ 1,713,651.00	Bailey Bennett 270-687-8641 P.O. Box 10003, Owensboro, KY 42302
<i>Bon Air Lift Station</i> Frankfort, KY	Frankfort Sewer Plant Board	Kenvirons, Inc.	Oct., 2015	\$ 1,430,729.82	Phil Meador 502-695-4357 452 Versailles Road, Frankfort, KY 40601
<i>Two Creeks Sanitary Sewer Collection Sys</i> Frankfort, KY	Frankfort Sewer Plant Board	Jacobus Engineering Group	Oct., 2015	\$ 3,335,943.54	Dinesh Palaniswamy 513-595-7429 1880 Waycross Road, Cincinnati, OH 45240

SMITH CONTRACTORS, INC.

TEN YEAR PROJECT HISTORY

SCHEDULE B

Project Name & Location	Owner	Design Engineer	Date Complete	Contract Amount	References
<i>New Water Treatment Plant</i> Greensburg, KY	City of Greensburg	Bell Engineers	May, 2016	\$ 6,271,809.00	Mike Wilmoth 859-278-5412 2480 Fortune Drive, Lexington, KY 40509
<i>Lebanon WTP</i> Lebanon, TN	City of Lebanon	Water Management Services	June 2015	\$ 7,761,742.80	Joe Hinkle 615-366-6088 2 International Plaza, Nashville, TN 37217
<i>Water Street Storm Sewer</i> Richmond, KY	City of Richmond	Integrated Engineering	Sept., 2016	\$ 5,946,520.83	Steve Garland 859-368-0145 166 Prosperous Place, Lexington, KY 40509
<i>Ross's Landing Riverfront Improvements</i> Chattanooga, TN	City of Chattanooga	HDR Engineering, Inc.	April, 2016	\$ 6,278,943.06	Dan Garza 361-696-3300 1201 Market Street, Ste C, Chattanooga, TN 37402
<i>Hite Creek WQTC</i> Louisville, KY	Metropolitan Sewer District	Metropolitan Sewer District	Aug., 2016	\$ 9,074,751.37	Steven Leong 502-540-6637 700 West Liberty Street, Louisville, KY 40203
<i>Moccasin Bend WWTP Effluent Disinfection</i> Chattanooga, TN	City of Chattanooga	Barge Waggoner Sumner & Cannon	May 2016	\$ 8,043,733.86	David Bible 423-756-3025 1110 Market St, Ste 200, Chattanooga, TN 37402
<i>Hartsville WWTP Improvements</i> Hartsville, TN	Hartsville/Trousdale Water & Sewer	Barge Waggoner Sumner & Cannon	May 2017	\$ 6,200,899.00	Luke Burris 615-254-1500 211 Commerce St., Ste 600, Nashville, TN 37201

Smith Contractors, Inc.

Current Projects

Schedule A

Project Name & Location	Owner	Engineer	Contract		Percent Complete	Scheduled Completion	Reference Including Address & Phone #
			Amount				
<i>Harrodsburg WWT Expansion</i> Harrodsburg, Kentucky	City of Harrodsburg	GRW Engineers	\$ 15,608,517.00		83%	900 days	Bob Smallwood, P.E. 859-223-3999 801 Corporate Drive, Lexington, KY 40503
<i>West Frankfort Pump Station</i> Frankfort, Kentucky	City of Frankfort	GRW Engineers	\$ 2,860,000.00		96%	395 days	John Martin, P.E. 859-223-3999 801 Corporate Drive, Lexington, KY 40503
<i>Solids Handling Improvements - Beaver Creek WWT</i> Powell, Tennessee	Hallsdale/Trousdale Water & Sewer	CTI Engineers	\$ 7,737,498.00		86%	365 days	Gary Cosby, P.E. 423-267-7613 Riverfront Parkway, Chattanooga, TN 37402
<i>Ten Mile PS & Sewer Lines</i> Knoxville, Tennessee	West Knox Utility District	GRW Engineers	\$ 4,244,000.00		11%	360 days	Louis Robbins, P.E. 615-366-1600 404 BNA Drive, Ste 201, Nashville, TN 37217
<i>Fleming-Neon WTP</i> Fleming-Neon, Kentucky	City of Fleming-Neon	Nesbitt Engineering, Inc.	\$ 2,324,000.00			360 days	Ora Main, P.E. 859-685-4514 227 North Upper Street, Lexington, KY 40507
<i>Versailles WWT</i> Versailles, Kentucky	City of Versailles	GRW Engineers, Inc.	\$ 18,414,000.00		4%	720 days	John Martin, P.E. 859-223-3999 801 Corporate Drive, Lexington, KY 40503
<i>WWT Improvements</i> Trenton, Tennessee	Trenton Light & Water	J.R. Wauford & Co.	\$ 8,888,000.00			365	Robert Qualman, P.E. 615-883-3243 PO Box 140350, Nashville, TN 37214
<i>I-64 Transmission Main</i> Louisville, Kentucky	Louisville Water Company	Louisville Water Co	\$ 12,680,000.00			515	Eric Walls 502-569-3600 550 South Third Street, Louisville, KY 40202

Current DBE Subcontractor Participation

Subcontractor Name	Project (Specific Type)	DBE	% of Work
Lykins Reinforcing	Harrodsburg WWTP Expansion (Tie Rebar)	WBE	3%
Bison Services, LLC	Fleming-Neon WTP	MBE	5%

West Hickman 7 WWS (Contract No. 2) Equipment Manufacturer (circle one) – Bid Basis	
Solids Handling Submersible & Dry Pit Pumps	ABB Flygt KSB Fairbanks Nijhuis
Mechanical Bar Screen	Headworks Hyber Duperon
Screenings Compactor	Headworks Hyber Duperon
Screening Conveyor	Headworks Hyber Duperon
Sump Pumps	Myers Flygt Hydromatic Zoeller
Odor Control Absorber	ECS Environmental Solutions/Calgon Danier Company Evoqua
Odor Control Chemical Feed System	Evoqua Others (List)
Check Valves	Apco Golden Anderson Val-matic
Modulating Plug Valve	Dezurik Golden Anderson Henry Pratt
Slide/Sluice Gates	Aquanox Waleman Golden Harvest
Electric Actuators	Limitorque Auma EIM
Generator	Generac Caterpillar Cummins/ONAN MTU/Detroit Diesel Kohler
Level Transmitters	Endress+Hauser Foxboro Siemens Yokogawa
VFDs	Square D Eaton Allen Bradley
SCADA PLC's	Allen Bradley Compactlogix
Motor Control Centers	Square D Cutler Hammer Allen Bradley
Blowers	Aerzen Kaeser
Jet Mixing System	Evoqua Jet Tech K.a Mass Transfer
Ground Storage Tank	Crom Pfecon Preload



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. Geco London, KY (606)864-7550	MBE	Furnish materials	\$ 994,000	9%
2. Ly Kins Reinforcing Louisville, KY 502 634-5030	WBE	furnish and install rebar	\$ 169,766.00	1%
3.				
4.				

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

Smith Contractors, Inc.
Company

Henry Smith
Company Representative

11/2/17
Date

President
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

 Company Representative

 Date

 Title



LFUCG SUBCONTRACTOR MONTHLY PAYMENT REPORT

The LFUCG has a 10th 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 3rd goal plan adopted by city 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

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 (VOSB) 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) **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.**
- 4) The LFUCG has also established a 3% of total procurement costs as a Goal for participation for of Veteran-Owned Businesses.
- 5) **It is therefore a request of each Bidder to include in its bid, the same goal (3%) for Veteran-Owned 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-Owned 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, managed and controlled 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, managed and controlled by one or more women.

- 3) A Disadvantaged Business (DBE) is defined as a business which is certified as being at least 51% owned, managed and controlled 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, managed and controlled 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 and/or Veteran-Owned businesses 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 484-2017 – A Certified Minority, Women and Disadvantaged Business Enterprise ten percent (10%) minimum goal and a three (3%) minimum goal for Certified Veteran-Owned Small Businesses and Certified Service Disabled Veteran – Owned Businesses for government contracts.

The resolution states the following definitions shall be used for the purposes of reaching these goals (a full copy is available in Central Purchasing):

Certified Disadvantaged Business Enterprise (DBE) – a business in which at least fifty-one percent (51%) is owned, managed and controlled by a person(s) who is socially and economically disadvantaged as defined by 49 CFR subpart 26.

Certified Minority Business Enterprise (MBE) – a business in which at least fifty-one percent (51%) is owned, managed and controlled by an ethnic minority (i.e. African American, Asian American/Pacific Islander, Hispanic Islander, Native American/Native Alaskan Indian) as defined in federal law or regulation as it may be amended from time-to-time.

Certified Women Business Enterprise (WBE) – a business in which at least fifty-one percent (51%) is owned, managed and controlled by a woman.

Certified Veteran-Owned Small Business (VOSB) – a business in which at least fifty-one percent (51%) is owned, managed and controlled by a veteran who served on active duty with the U.S. Army, Air Force, Navy, Marines or Coast Guard.

Certified Service Disabled Veteran Owned Small Business (SDVOSB) – a business in which at least fifty-one percent (51%) is owned, managed and controlled by a disabled veteran who served on active duty with the U.S. Army, Air Force, Navy, Marines or Coast Guard.

The term “Certified” shall mean the business is appropriately certified, licensed, verified, or validated by an organization or entity recognized by the Division of Purchasing as having the appropriate credentials to make a determination as to the status of the business.

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	tyra@commercelexington.com	859-226-1625
Tri-State Minority Supplier Diversity Council	Susan Marston	smarston@tsmsdc.com	502-365-9762
Small Business Development Council	Shawn Rogers UK SBDC	shawn.rogers@uky.edu	859-257-7666
Community Ventures Corporation	Phyllis Alcorn	palcorn@cvky.org	859-231-0054
KY Transportation Cabinet (KYTC)	Melvin Bynes	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@orwbc.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	production@kcynewsjournal.com	859-685-8488

1.06 LIST OF PROPOSED SUBCONTRACTORS

The following list of proposed subcontractors is required by the Owner to be executed, completed and submitted with the Bid Form. All subcontractors are subject to approval of the Lexington-Fayette Urban County Government. Failure to submit this list completely filled out may be cause for rejection of Bid.

BRANCH OF WORK** (List each major item)	SUBCONTRACTOR	MWDBE (yes/no)	% of WORK
1. <u>Masonry</u>	Name: <u>Hume Masonry</u>	<u>No</u>	
	Address: <u>Harrodsburg, KY</u>		
2. <u>Roofing</u>	Name: <u>JC Industries</u>	<u>NO</u>	
	Address: <u>Louisville, KY</u>		
3. <u>Painting</u>	Name: <u>Horn Painting</u>	<u>NO</u>	
	Address: <u>Nicholasville, KY</u>		
4. <u>Tie Rebar</u>	Name: <u>Lykins Reinforcing</u>	<u>Yes</u>	
	Address: <u>Louisville, KY</u>		
5. <u>Electrician</u>	Name: <u>Faust Electric</u>	<u>NO</u>	
	Address: <u>Lexington, KY</u>		
6. _____	Name: _____		
	Address: _____		

** Such as: Grading, bituminous paving, concrete, seeding and protection, construction staking, etc.

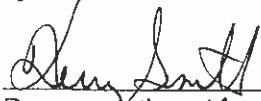
1.07 AUTHENTICATION OF BID AND STATEMENT OF NON-COLLUSION AND NON-CONFLICT OF INTEREST

I hereby swear (or affirm) under the penalty for false swearing:

- A. That I am the Bidder (if the Bidder is an individual), a partner of the Bidder (if the Bidder is a partnership), or an officer or employee of the Bidding corporation having authority to sign on its behalf (if the Bidder is a corporation);
- B. That the attached Bid has been arrived at by the Bidder independently, and has been submitted without collusion with, and without any agreement, understanding or planned common course of action, with any other contractor, vendor of materials, supplies, equipment or services described in the Advertisement for Bid, designed to limit independent bidding or competition;
- C. That the contents of the Bid or Bids have not been communicated by the Bidder or its employees or agents to any person not an employee or agent of the Bidder or its surety on any bond furnished, with the Bid or Bids, and will not be communicated to any such person, prior to the official opening of the Bid or Bids;
- D. That the Bidder is legally entitled to enter into the contracts with the Lexington-Fayette Urban County Government, and is not in violation of any prohibited conflict of interest;
- E. (Applicable to corporation only) That as a foreign corporation, we are registered with the Secretary of State, Commonwealth of Kentucky, and authorized to do business in the State _____ or, that as a domestic corporation, we are in good standing with the Secretary of State, Commonwealth of Kentucky _____. [Check the statement applicable.]
- F. This offer is for ninety (90) calendar days from the date this Bid is opened. In submitting the above, it is expressly agreed that, upon proper acceptance by the Lexington-Fayette Urban County Government of any or all items Bid above, an Agreement shall thereby be created with respect to the items accepted.
- G. That I have fully informed myself regarding the accuracy of the statements made in this statement.
- H. That I certify that Subcontractors have not and will not be awarded to any firm(s) that have been debarred from noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964 As Amended, Executive Order 11246 As Amended or any other Federal Law.

SMITH CONTRACTORS, INC.
Company

11-2-17
Date


Representative KELLY SMITH

1.08 STATEMENT OF EXPERIENCE (ATTACHED)

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

NAME OF INDIVIDUAL: _____

POSITION/TITLE: _____

STATEMENT OF EXPERIENCE: _____

* Include all officers, office management, Affirmative Action officials, and field management personnel.
Attach separate sheets if necessary.

Smith Contractors, Inc.

KEY PERSONNEL

Schedule C

<i>Employee Name</i>	<i>Position</i>	<i>Date Started with SCI</i>	<i>Date Started In Construction</i>	<i>Prior Positions and Experience In Construction</i>
Kerry Smith	President/Owner	January, 1982	1970	Superintendent/Project Manager
Joe Smith	Vice-President	June, 1999	1998	Superintendent/Project Manager
Vandra Guffey	Treasurer	December, 1989	1982	Accounting Controller
Jerry Powell	Superintendent/ Project Manager	May, 1992	1972	Resume provided upon request
Jack Pennington	Superintendent	November, 1984	1983	Resume provided upon request
Dennis Muse	Superintendent	April, 2004	1984	Resume provided upon request
Jason Steinmetz	Superintendent/ Project Manager	December, 2001	2000	Resume provided upon request
Mike Craft	Superintendent	June, 2004	1994	Resume provided upon request
Chris James	Superintendent	August, 2001	2001	Resume provide upon request

1.09 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 subcontractor 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:

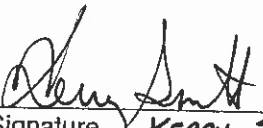
The Secretary of Labor may investigate the employment practices of any Government contractor or sub-contractor to determine whether or not the contractual provisions specified in Section 202 of this order have been violated.

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 an Agreement to be canceled and the contractor 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 KERRY SMITH

SMITH CONTRACTORS, Inc.
Name of Business

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 sub-contracting agents. This program of equal employment opportunity shall apply to every aspect of its employment policies and practices.

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 provisions of the non-discrimination 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 timetable.*
- (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 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.

In the case of an Agreement exceeding \$250,000, the Contractor will be required within seven (7) days following the Bid Opening to furnish evidence that its work-force in Kentucky is representative of the available work-force in the area from which it draws employees, or to supply an Affirmative Action plan which will achieve such representation during the life of the Contract.

1.10 MWDBE SUBCONTRACTOR PARTICIPATION FORM



OMB Control No: 2090-0030
 Approved: 8/13/2013
 Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program
 DBE Subcontractor Participation Form**

An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE¹ subcontractor² the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

Subcontractor Name		Project Name <i>West Hackman 7 West Yonkers STORAGE FACILITIES IMPROVEMENTS</i>	
Bid/ Proposal No. <i>140-2017</i>	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Prime Contractor Name <i>SMITH CONTRACTORS, INC.</i>		Issuing/Funding Entity:	

Contract Item Number	Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies	Amount Received by Prime Contractor

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

EPA FORM 6100-2 (DBE Subcontractor Participation Form)

Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Participation Form

Please use the space below to report any concerns regarding the above EPA-funded project:

Subcontractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

EPA FORM 6100-2 (DBE Subcontractor Participation Form)

1.11 MWDBE SUBCONTRACTOR PERFORMANCE FORM



OMB Control No: 2090-0030
 Approved: 8/13/2013
 Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program
 DBE Subcontractor Performance Form

This form is intended to capture the DBE¹ subcontractor's² description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractors bid or proposal package.

Subcontractor Name		Project Name <i>WEST HICKMAN 7 WET WEATHER STORAGE FACILITIES IMPROVEMENTS</i>	
Bid/ Proposal No. <i>140-2017</i>	Assistance Agreement ID No. (if known)	Point of Contact	
Address			
Telephone No.		Email Address	
Prime Contractor Name <i>SMITH CONTRACTORS, INC.</i>		Issuing/Funding Entity:	

Contract Item Number	Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies	Price of Work Submitted to the Prime Contractor
DBE Certified By: <input type="checkbox"/> DOT <input type="checkbox"/> SBA		Meets/ exceeds EPA certification standards?
<input type="checkbox"/> Other: _____		<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> Unknown

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

EPA FORM 6100-3 (DBE Subcontractor Performance Form)

**Disadvantaged Business Enterprise (DBE) Program
 DBE Subcontractor Performance Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

Prime Contractor Signature	Print Name
<i>Keray Smith</i>	Keray Smith
Title	Date
PRESIDENT	11-2-17

Subcontractor Signature	Print Name
Title	Date

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

EPA FORM 6100-3 (DBE Subcontractor Performance Form)

1.12 MWDBE SUBCONTRACTOR UTILIZATION FORM



OMB Control No: 2090-0030
 Approved: 8/13/2013
 Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program
 DBE Subcontractor Utilization Form

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

Prime Contractor Name <i>SMITH CONTRACTORS, INC.</i>		Project Name <i>WEST HICKMAN 7 WET WEATHER STORAGE FACILITIES IMPROVEMENTS</i>	
Bid/ Proposal No. <i>140-8017</i>	Assistance Agreement ID No. (if known)	Point of Contact <i>KERRY SMITH</i>	
Address <i>P.O. Box 180, 1241 Bypass North, Lawrenceburg, Ky 40392</i>			
Telephone No. <i>502-839-4196</i>		Email Address <i>KS@sci82.com</i>	
Issuing/Funding Entity:			

I have identified potential DBE certified subcontractors	__ YES	__ NO	
If yes, please complete the table below. If no, please explain:			
Subcontractor Name/ Company Name	Company Address/ Phone/ Email	Est. Dollar Amt	Currently DBE Certified?

Continue on back if needed

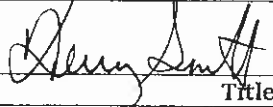
¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

EPA FORM 6100-4 (DBE Subcontractor Utilization Form)

**Disadvantaged Business Enterprise (DBE) Program
 DBE Subcontractor Utilization Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

Prime Contractor Signature	Print Name
	KERRY SMITH
Title	Date
PRESIDENT	11-2-17

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

EPA FORM 6100-4 (DBE Subcontractor Utilization Form)

1.13 MWDBE PARTICIPATION POLICY

PROJECT NAME: West Hickman 7 Wet Weather Storage Facility Improvements –
Contract No. 2 Pump Station and Wet Weather Storage Tank
Lexington-Fayette Urban County Government

LFUCG BID NO. 140-2017 BID DATE: 11-2-17

A. Name, address and telephone number of contact person on all MWDBE matters:

Prime Contractor's Name SMITH CONTRACTORS, INC.
Contact Person: KERRY SMITH
Address: P.O. Box 980, 1241 Bypass N., Lawrenceburg, Ky 40342
Phone: 502-839-4196 Cell: 502-680-1676
Email: KS@sci82.com
Total Contract Amount: _____

B. Total dollar amount/percent of contract of DBE participation: _____

C. Total dollar amount/percent of contract of MBE participation: _____

D. Total dollar amount/percent of contract of WBE participation: _____

E. Are certifications* for each MWDBE subcontractor enclosed; if no, please explain:

Yes No _____

F. Are MWDBE subcontracts or letters of intent signed by both parties enclosed; if no, please explain: Yes No _____

G. List of DBE Subcontractors:

Name _____
Contact Person: _____
Address: _____
Phone: _____ Cell: _____
Email: _____
Type of Contract: _____
Work to be Done: _____
Amount: _____

H. List of MBE Subcontractors:

Name _____
Contact Person: _____
Address: _____
Phone: _____ Cell: _____
Email: _____
Type of Contract: _____
Work to be Done: _____
Amount: _____

I. List of WBE Subcontractors:

Name _____

Contact Person: _____
 Address: _____
 Phone: _____ Cell: _____
 Email: _____
 Type of Contract: _____
 Work to be Done: _____
 Amount: _____

Attach additional sheets, if necessary.

*Self-certification: Self-certification of MWDBE firms will NOT be accepted as a valid form of certification of MWDBE status.

J. Information and documentation concerning efforts taken to comply with EPA's "six good faith efforts"

1. Ensure MWDBE construction firms or material suppliers are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities; including placing MWDBEs on solicitation lists and soliciting them whenever they are potential sources. A good source for a list of MWDBEs is the Kentucky Transportation's website: <http://transportation.ky.gov/Civil-Rights-and-Small-Business-Development/Pages/Certified-DBE-Directory.aspx>.

The prime contractor certifies that a bidders list (see example sheet below) of qualified vendors, including MWDBEs, was developed for current and future solicitations and that the list will be maintained. *Submit a copy of the list as documentation.*

2. Make information on forthcoming opportunities available to MWDBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by MWDBEs in the competitive process; including, whenever possible, posting solicitation for bids or proposals for a sufficient amount of time as to receive a competitive bid or proposal pool.

The prime contractor certifies that every opportunity was provided to a number of MWDBEs to encourage their participation in the competitive process and that an adequate amount of time was provided for response.

- a. List each MWDBE construction firm or material supplier to which a solicitation was attempted. *Submit copies of letters, emails, faxes, telecommunication logs, certified mail receipts, returned envelopes, certified mail return receipts, etc. as documentation.*

Company Name and Phone Number: _____

Area of Work Expertise: _____

Date of any Follow-Ups and Person Spoke to: _____

- b. Advertisements, if applicable: List each publication in which an announcement or notification was placed. *Submit a tear sheet of each announcement from each publication as documentation.*

Name of Publication: _____

Date(s) of Advertisement: _____

Specific Subcontract Areas Announced: _____

- c. Other, if applicable: List each notification method in which an announcement or outreach was used; list serve, public meeting, etc. *Submit applicable information to document effort.*

Method of Notification: _____

Date(s) of Notification: _____

3. Consider in the contracting process whether firms competing for large contracts could subcontract with MWDBEs; including dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by MWDBEs in the competitive process.

The prime contractor certifies that the project was broken into its basic elements (i.e. dirt hauling, landscaping, painting, pipe installation, material supplies, etc.) and that a determination was made whether it's economically feasible to bid the elements separately and that the analysis of this effort was documented with a short memo to the project file.

4. Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises.

The prime contractor certifies that they established delivery schedules which would allow MWDBEs to participate in the projects.

5. Use the services and assistance of the Small Business Administration (SBA) and the Minority Business Development Agency (MBDA) of the U.S. Department of Commerce. The easiest way to utilize the services of SBA and MBDA is to visit their websites: www.sba.gov and www.mbda.gov and use the electronic tools available there or you may send the nearest SBA and MBDA office a certified letter that generally describes the solicitation, the dates it will be open, the types of vendors you are seeking and applicable SIC or NAIC codes if known. You may also use the services and assistance of the Kentucky Procurement Assistance Program (KPAP). The easiest way to utilize the services of KPAP is to send an email: ced.kpap@ky.gov and provide information on forthcoming opportunities available to MWDBEs.

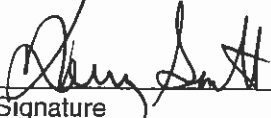
The prime contractor certifies that the assistance of the SBA, MBDA, and/or KPAP was utilized. *Submit pages printed off the SBA and MBDA websites which evidence efforts to register a solicitation on those sites or submit copies of the letter send and certified mail receipt as documentation; submit copies of emails with KPAP as documentation.*

6. If a subcontractor awards any subcontracts, require the subcontractor to take the steps in numbers 1 and 5 above.

The prime contractor certifies that subcontractors used for this project will be required to follow the steps of the "six good faith efforts" as listed above.

Signature and Date:

To the best of my knowledge and belief, all "six good faith efforts" have been met and the information contained in this document is true and correct; the document has been duly authorized by the legal representative.



Signature

Kerry Smith - President

Print Name and Title

11-2-17

Date

1.15 WORKFORCE ANALYSIS FORM

Name of Organization: SMITH CONTRACTORS, INC.

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	M	F
Administrators	2	2															2	
Professionals																		
Superintendents	6	6															6	
Supervisors																		
Foremen	1	1															1	
Laborers Technicians	14	13	1														14	
Protective Service																		
Operators Plant Professionals	11	11																
Office/Clerical	6	2	3				1										11	
Skilled Craft	10	7	3														2	4
Service/Maintenance	8	7	1														10	
Total	58	49	3	5	1		1										54	4

Date 11 / 2 / 17

Prepared By: Sandra S. Guffey

1.16 EVIDENCE OF INSURABILITY

LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT CONSTRUCTION PROJECT
 (Use separate form for each Agency or Brokerage agreeing to provide coverage)

Names Insured: Smith Contractors, Inc.
 Address: PO Box 480, Lawrenceburg, KY 40342
 Project to be insured: Lexington Project - West Hickman 7

In lieu of obtaining certificates of insurance at this time, the undersigned agrees to provide the above Named Insured with the minimum coverage listed below. These are outlined in the Insurance and Risk Management of Section 00600 - Bonds and Certifications, including all requirements, and conditions:

Article Items	Coverage	Minimum Limits and Policy Requirements	Limits Provided to Insured	Name of Insurer	A.M. Best's	
					Code	Rating
1.05.D.1	CGL	\$1,000,000/per occ., \$2,000,000/aggregate or \$2,000,000 combined single limit Requirements (a) through (e)	\$1,000,000 per occ \$2,000,000 agg	Amerisure Mutual	23396	A
1.05.D.1	Auto	Combined single \$1,000,000/per occ. aggregate Requirements (a) through (c)	\$1,000,000 CSL/per occ agg	Amerisure Mutual	23396	A
1.05.D.1	WC	\$ Statutory	\$4,000,000	Kentucky AGC	55002	A-
1.05.D.1	Employer's Liability	\$500,000	\$4,000,000 ea accident ea employee, pol limit	Kentucky AGC	55002	A-

Section 00600 includes required provisions, statements regarding insurance requirements, and the undersigned agrees to abide by all provisions for the coverage's checked above unless stated otherwise when submitting

Garrett-Stotz Company
 Agency or Brokerage
 1601 Alliant Avenue
 Street Address
 Louisville, KY 40299
 City
 502-415-7000
 Telephone Number
 Steven M. Garrett
 Name of Authorized Representative
 Owner
 Title
 Authorized Signature
 10/26/17
 Date

NOTE: Authorized signatures may be the agent's if agent has placed insurance through an agency agreement with the insurer. If insurance is brokered, authorized signature must be that of authorized representative of insurer.

IMPORTANT: CONTRACT MAY NOT BE AWARDED IF A COMPLETED AND SIGNED COPY OF THIS FORM FOR ALL COVERAGES LISTED ABOVE IS NOT PROVIDED.

1.17 DEBARRED FIRMS

PROJECT NAME: *WEST HICKMAN ? Wet Weather Storage Facilities Improvements*
CONTRACT No. 2 - Pump Station and Wet Weather Storage Tank
LFUCG BID NO.: *190 - 2017*

LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT
LEXINGTON, KY

All prime Contractors shall certify that Subcontractors have not and will not be awarded to any firms that has been debarred for noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964 As Amended, Executive Order 11246 As Amended or any other Federal Law.

All Bidders shall complete the Debarment Certification in duplicate and submit both copies to the Owner with the Bid Form. The Owner (grantee) shall transmit one copy to the Lexington-Fayette Urban County Government, Division of Community Development within fourteen (14) days after Bid opening.

The undersigned hereby certifies that the firm of *SMITH CONTRACTORS, INC.* has not and will not award a subcontract, in connection with any Agreement award to it as the result of this bid, to any firm that has been debarred for noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964, Executive Order 11246 As Amended or any Federal Law.

SMITH CONTRACTORS, INC.
Name of Firm Submitting Bid

[Signature]
Signature of Authorized Official *KERRY SMITH*

PRESIDENT
Title

11-2-17
Date

1.18 DEBARMENT CERTIFICATION

All Contractors/Subcontractors shall complete this certification.

The Contractor/Subcontractor certifies in accordance with Executive Order 12549 (Debarment and Suspension 2/18/86) that to the best of its knowledge and belief, that it and its principals:

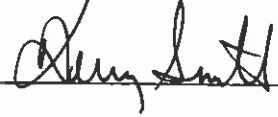
- 1) Are not presently debarred, suspended, proposed for debarment, declared negligible, or voluntarily excluded from covered transactions or contract by any Federal department or agency for noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964 As Amended, Executive Order 11246 As Amended or any other Federal Law.
 - a) Have not within a three year period preceding this Bid been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
 - b) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(a) of this certification; and
 - c. Have not within a three (3) year period preceding this Bid has one or more public (Federal, State or local) transactions or contracts terminated for cause or default.
- 2) Where the Contractor is unable to certify to any of the statements in this certification, such prospective contractors shall attach an explanation to this certification form.

Firm Name: SMITH CONTRACTORS, INC.

Project: WEST HICKMAN 7 WET WEATHER STORAGE FACILITIES IMPROVEMENTS
CONTRACT NO. 2 - Pump station & WET WEATHER STORAGE TANK

Printed Name: KERRY SMITH

Title of Authorized Representative: PRESIDENT

Signature: 

Date: 11-2-17

1.19 CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

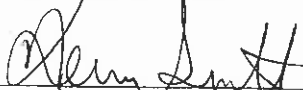
- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty for not less than \$10,000 and not more than \$100,000 for each such failure.

Kerry Smith - President

Typed Name & Title of Authorized Representative

Kerry Smith



Signature of Authorized Representative

11-2-17

Date

____ I am unable to certify to the above statements. My explanation is attached.

1.20 BID BOND

BID BOND

Bond Number: N/A

KNOW ALL MEN BY THESE PRESENTS, that we Smith Contractors, Inc.

as principal (the "Principal") and Liberty Mutual Insurance Company

hereinto called Surety, are held and firmly bound unto

LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT
200 East Main Street, Third Floor
Lexington, Kentucky 40507

as obligee (the "Obligee"), in the penal sum of 5% Bid Amount (Five Percent Bid Amount) dollars for the payment of which sum well and truly to be made, the said Principal and the said Surety, bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

WHEREAS, the Principal has submitted a bid for West Hickman 7 Wet Weather Storage - Contract 2

NOW, THEREFORE, if the Oblige shall accept the bid of the Principal within the period specified therein, or, if no period be specified, within ninety (90) days after opening, and the Principal shall enter into a contract with the Oblige in accordance with the terms of such bid, and give such bond or bonds as may be specified in the bidding or contract documents, or in the event of the failure of the Principal to enter into such contract and give such bond or bonds, if the Principal shall pay to the Oblige the difference in money not to exceed the penal sum hereof between the amount specified in said bid and such larger amount for which the Oblige may in good faith contract with another party to perform the work covered by said bid, then this obligation shall be null and void; otherwise to remain in full force and effect. In no event shall the liability hereunder exceed the penal sum thereof.

PROVIDED AND SUBJECT TO THE CONDITION PRECEDENT, that any claim by Oblige under this bond must be submitted in writing by registered mail, to the attention of the Surety Law Department at the address above, within 120 days of the date of this bond. Any suit under this bond must be instituted before the expiration of one (1) year from the date of this bond. If the provisions of this paragraph are void or prohibited by law, the minimum period of limitation available to sureties as a defense in the jurisdiction of the suit shall apply.

DATED as of this 2nd day of November, 2017.

WITNESS / ATTEST:

[Signature]
Principal (Secretary)

Smith Contractors, Inc.
Principal

By: [Signature] (seal)
Name: Kelley Smith
Title: PRESIDENT

Liberty Mutual Insurance Company

[Signature]
Surety (Secretary)
Terri Cook, Attorney-in-Fact

Surety
By: [Signature] (seal)
Name: Christopher A Cyterski
Title: Attorney-in-Fact

THIS POWER OF ATTORNEY IS NOT VALID UNLESS IT IS PRINTED ON RED BACKGROUND.

This Power of Attorney limits the acts of those named herein, and they have no authority to bind the Company except in the manner and to the extent herein stated.

Certificate No. 7663957

Liberty Mutual Insurance Company
The Ohio Casualty Insurance Company West American Insurance Company

POWER OF ATTORNEY

KNOWN ALL PERSONS BY THESE PRESENTS: That The Ohio Casualty Insurance Company is a corporation duly organized under the laws of the State of New Hampshire, that Liberty Mutual Insurance Company is a corporation duly organized under the laws of the State of Massachusetts, and West American Insurance Company is a corporation duly organized under the laws of the State of Indiana (herein collectively called the "Companies"), pursuant to and by authority herein set forth, does hereby name, constitute and appoint, Betty Hatfield; Christopher A. Cyterski; David Douglas; Sandra Burnash; Terri Cook

all of the city of Louisville, state of KY each individually if there be more than one named, its true and lawful attorney-in-fact to make, execute, seal, acknowledge and deliver, for and on its behalf as surety and as its act and deed, any and all undertakings, bonds, recognizances and other surety obligations, in pursuance of these presents and shall be as binding upon the Companies as if they have been duly signed by the president and attested by the secretary of the Companies in their own proper persons.

IN WITNESS WHEREOF, this Power of Attorney has been subscribed by an authorized officer or official of the Companies and the corporate seals of the Companies have been affixed thereto this 10th day of March, 2017.



The Ohio Casualty Insurance Company
Liberty Mutual Insurance Company
West American Insurance Company

By: David M. Carey
David M. Carey, Assistant Secretary

STATE OF PENNSYLVANIA ss
COUNTY OF MONTGOMERY

On this 10th day of March, 2017, before me personally appeared David M. Carey, who acknowledged himself to be the Assistant Secretary of Liberty Mutual Insurance Company, The Ohio Casualty Insurance Company, and West American Insurance Company, and that he, as such, being authorized so to do, execute the foregoing instrument for the purposes therein contained by signing on behalf of the corporations by himself as a duly authorized officer.

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed my notarial seal at King of Prussia, Pennsylvania, on the day and year first above written.



COMMONWEALTH OF PENNSYLVANIA
Notarial Seal
Teresa Pastella, Notary Public
Upper Merion Twp., Montgomery County
My Commission Expires March 23, 2021
Member Pennsylvania Association of Notaries

By: Teresa Pastella
Teresa Pastella, Notary Public

This Power of Attorney is made and executed pursuant to and by authority of the following By-laws and Authorizations of The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company which resolutions are now in full force and effect reading as follows:

ARTICLE IV - OFFICERS - Section 12. Power of Attorney. Any officer or other official of the Corporation authorized for that purpose in writing by the Chairman or the President, and subject to such limitation as the Chairman or the President may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Corporation to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact, subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Corporation by their signature and execution of any such instruments and to attach thereto the seal of the Corporation. When so executed, such instruments shall be as binding as if signed by the President and attested to by the Secretary. Any power or authority granted to any representative or attorney-in-fact under the provisions of this article may be revoked at any time by the Board, the Chairman, the President or by the officer or officers granting such power or authority.

ARTICLE XIII - Execution of Contracts - SECTION 5. Surety Bonds and Undertakings. Any officer of the Company authorized for that purpose in writing by the chairman or the president, and subject to such limitations as the chairman or the president may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Company by their signature and execution of any such instruments and to attach thereto the seal of the Company. When so executed such instruments shall be as binding as if signed by the president and attested by the secretary.

Certificate of Designation - The President of the Company, acting pursuant to the Bylaws of the Company, authorizes David M. Carey, Assistant Secretary to appoint such attorneys-in-fact as may be necessary to act on behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations.

Authorization - By unanimous consent of the Company's Board of Directors, the Company consents that facsimile or mechanically reproduced signature of any assistant secretary of the Company, wherever appearing upon a certified copy of any power of attorney issued by the Company in connection with surety bonds, shall be valid and binding upon the Company with the same force and effect as though manually affixed.

I, Renee C. Llewellyn, the undersigned, Assistant Secretary, The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company do hereby certify that the original power of attorney of which the foregoing is a full, true and correct copy of the Power of Attorney executed by said Companies, is in full force and effect and has not been revoked.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the seals of said Companies this 2nd day of November, 2017.



By: Renee C. Llewellyn
Renee C. Llewellyn, Assistant Secretary

Not valid for mortgage, note, loan, letter of credit, currency rate, interest rate or residual value guarantees.

To confirm the validity of this Power of Attorney call 1-610-832-8240 between 9:00 am and 4:30 pm EST on any business day.