

PART III
Invitation to Bid No. 42-2026

TOWN BRANCH AND WEST HICKMAN WWTPs FINAL CLARIFIER COATING

1. FORM OF PROPOSAL

Place: Lexington, Kentucky

Date: 4/15/26

The following Form of Proposal shall be followed exactly in submitting a proposal for this Work.

This Proposal Submitted by Herrick Company, Inc.

780 Enterprise Dr. Lexington, KY 40510

(Name and Address of Bidding Contractor)

(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 (LFUCG)
(Hereinafter called "OWNER")
Office of the Director of Procurement
200 East Main Street, 3rd Floor
Lexington, KY 40507

Gentlepeople:

The Bidder, in compliance with your Invitation for Bids for **Town Branch and West Hickman WWTPs Final Clarifier Coating** having examined the Plans and Specifications with related documents, having examined the site for proposed Work, and being familiar with all of the conditions 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 and/or unit prices stated hereinafter. These prices are to cover all expenses incurred in performing the Work required under the Contract Documents, of which this proposal is a part.

BIDDER hereby agrees to commence work under this contract on or before a date to be specified in the Notice to Proceed and to fully complete the project within the time provided in the Purchase Order or Work Orders issued by the OWNER. BIDDER further agrees to pay liquidated damages, the sum of \$400 for each consecutive calendar day thereafter.

The Bidder hereby acknowledges receipt of the following addenda:

Addendum No. 1 Date 3/25/26

Addendum No. 2 Date 4/1/26

Addendum No. 3 Date 4/1/26

Addendum No. _____ Date _____

Addendum No. _____ Date _____

Addendum No. _____ Date _____

Addendum No. _____ Date _____

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.

2. LEGAL STATUS OF BIDDER

Bidder Herrick Company, Inc.

Date 4/15/26

* 1. A corporation duly organized and doing business under the laws of the State of Kentucky, for whom Cody M. Lokits, bearing the official title of President, whose signature is affixed to this Bid/Proposal, is duly authorized to execute contracts.

~~* 2. A Partnership, all of the members of which, with addresses are. (Designate general partners as such)~~

~~* 3. An individual, whose signature is affixed to this Bid/Proposal (please print name)~~

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

3. **BIDDERS AFFIDAVIT**

Comes the Affiant, Cody M. Lokits, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Cody M. Lokits and he/she is the individual submitting the bid or is the authorized representative of Herrick Company, Inc., the entity submitting the bid (hereinafter referred to as "Bidder").
 2. Bidder will pay all taxes and fees, which are owed to the Owner at the time the bid is submitted, prior to award of the contract and will maintain a "current" status in regard to those taxes and fees during the life of the contract.
 3. Bidder will obtain a business license from Owner, if applicable, prior to award of the contract.
 4. Bidder has authorized the Division of Procurement to verify the above-mentioned information with the Division of Revenue and to disclose to the Urban County Council that taxes and/or fees are delinquent or that a business license has not been obtained.
 5. 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 a contract to the Bidder will not violate any provision of the campaign finance laws of the Commonwealth.
 6. Bidder has not knowingly violated any provision of Chapter 25 of the LFUCG Code of Ordinances, known as the "Ethics Act."
 7. 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 conduct is of that nature or that the circumstance exists.
- Further, Affiant sayeth naught.

Cody M. Lokits

(Affiant)



STATE OF

Kentucky

COUNTY OF

Fayette

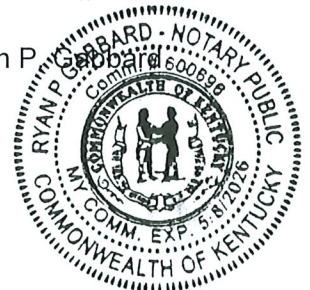
The foregoing instrument was subscribed, sworn to and acknowledged before me by

Cody M. Lokits on this the 15th day of April, 2026.

My Commission expires: 5/8/26

NOTARY PUBLIC, STATE AT LARGE

Ryan P.



4. 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, 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.

All pricing must be submitted correctly in Ion Wave to reflect the correct total of your Bid. Contractors are responsible for correctly submitting pricing in Ion Wave. If items are entered incorrectly, the Bid will be rejected. Please pay close attention to how the units are specified and enter the unit amounts. Ion Wave will calculate the totals and the total Bid amount.

LFUCG’s decision on the Bid amount is final. The Contract, if awarded, will be on the basis of materials and equipment specified in the specifications without consideration of possible substitute or “or equal” items. LFUCG reserves the right to award the Bid in its best interest and within fiscal constraints.

The estimated quantities of items of unit price work are not guaranteed and are solely for the purpose of comparison of Bids and determining an initial Contract price. Determination of the actual quantities and classification of unit price work performed by the Contractor will be made by the Engineer in accordance with the General Conditions.

BID ITEM NO.	DESCRIPTION	UNIT	QTY	UNIT PRICE	EXTENDED PRICE
1	Town Branch Clarifiers (115 ft diameter) – work includes surface prep and coating of clarifier mechanism and concrete effluent trough. Some minor equipment replacement is also included. Existing effluent weir to be replaced with new FRP effluent weir including new mounting hardware. Scum baffle brackets shall also be replaced.	EA	2	SUBMIT IN ION WAVE	ION WAVE WILL CALCULATE
2	West Hickman Clarifiers (115 ft diameter) – work includes surface prep and coating of clarifier mechanism and concrete effluent trough. Some minor equipment replacement is also included.	EA	2	SUBMIT IN ION WAVE	ION WAVE WILL CALCULATE
	Cash Allowance No. 1				\$200,000
	TOTAL BASE BID				ION WAVE WILL CALCULATE

TOTAL BASE BID PRICE FOR **TOWN BRANCH AND WEST HICKMAN WWTPs FINAL CLARIFIER COATING** in words and figures. In case of discrepancy, the amount shown in words will govern.

One Million Seven Hundred Eighty Nine Thousand Dollars and Zero Cents

_____ (\$ 1,789,000.00).

The following Cash Allowance shall be included in the Base Bid. See Section 46 51 00 Circular Final Clarifier Sludge Collection Equipment for discussion of Cash Allowance. The Cash Allowance shall be adjusted based on actual final costs. Failure to include the Cash Allowance in the Base Bid price may result in rejection of the entire Bid as non-conforming.

CASH ALLOWANCE NO.	DESCRIPTION	UNIT	QTY	UNIT PRICE	TOTAL CASH ALLOWANCE INCLUDED IN THE BASE BID
1	Replace additional final clarifier equipment determined via condition assessment as specified in Section 46 51 00.	EA	4	\$50,000	\$200,000

Bidder shall provide pricing for the following Bid Alternates:

BID ALTERNATE ITEM NO.	DESCRIPTION	UNIT	UNIT PRICE
1	Town Branch Clarifiers (115 ft diameter) – work includes surface prep and coating of clarifier mechanism and concrete effluent trough. Some minor equipment replacement is also included. Existing effluent weir to be replaced with new FRP effluent weir including new mounting hardware. Do not include scum baffle brackets in this item.	EA	SUBMIT IN ION WAVE
2	West Hickman Clarifiers (125 ft diameter) – work includes surface prep and coating of clarifier mechanism and concrete effluent trough. Some minor equipment replacement is also included.	EA	SUBMIT IN ION WAVE

Calculation for Contract Award: Contract award will be made on the basis of the Base Bid including the Cash Allowance. Bid Alternates shall not be included in the Base Bid for the purpose of calculating the award.

If due to fiscal constraints Owner cannot execute the Contract to include the quantity of Bid items in the Base Bid price, Owner may reduce the quantity of Bid items in the executed Contract. If additional funding becomes available, Owner may increase the quantity of Bid items and/or include Bid Alternates in the executed Contract. The Cash Allowance quantity included in the executed Contract may be maintained, reduced, or increased independently of other item quantities.

Submitted by:

Herrick Company, Inc.

Firm

780 Enterprise Dr

Address

Lexington, KY 40510

City, State & Zip

***Bid must be signed:
(original signature)***

President

Signature of Authorized Company Representative – Title

Cody M. Lokits

Representative's Name (Typed or Printed)

859-592-2022

502-839-0939

Area Code – Phone – Extension

Fax #

cody@hci96.com

E-Mail Address

OFFICIAL ADDRESS:

Herrick Company, Inc.

780 Enterprise Dr.

Lexington, KY 40510



(Seal if Bid is by Corporation)

By signing this form, you agree to ALL terms, conditions, and associated forms in this bid package.

5. STATEMENT OF BIDDER'S QUALIFICATIONS

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

- 1. Name of Bidder: Herrick Company, Inc.
- 2. Permanent Place of Business: 780 Enterprise Dr. Lexington, KY 40510
- 3. When Organized: January 1996
- 4. Where Incorporated: Kentucky
- 5. Construction Plant and Equipment Available for this Project:
*See Attached

(Attach Separate Sheet If Necessary)

6. 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 Procurement within seven (7) calendar days following the bid opening.

7. In the event the Contract is awarded to the undersigned, surety bonds will be furnished by:

United Fire & Casualty Company (Surety)

Signed: Leigh McCarthy (Representative of Surety)
Leigh McCarthy, Attorney-in-Fact



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

<u>NAME</u>	<u>LOCATION</u>	<u>CONTRACT SUM</u>
*See Attached		

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

<u>NAME</u>	<u>LOCATION</u>	<u>CONTRACT SUM</u>
*See Attached		

10. List Key Bidder Personnel who will work on this Project.

<u>NAME</u>	<u>POSITION DESCRIPTION</u>	<u>NO. OF YEARS WITH BIDDER</u>
*See Attached		

11. MWDBE/VOSB participation on current bonded projects under contract:

<u>SUBCONTRACTORS</u> <u>(LIST)</u>	<u>PROJECT</u> <u>(SPECIFIC TYPE)</u>	<u>MBE, WBE,</u> <u>DBE, or VOSB</u>	<u>% of WORK</u>
*See Attached			

(USE ADDITIONAL SHEETS IF NECESSARY)

6. LIST OF PROPOSED SUBCONTRACTORS

The following list of proposed subcontractors is required by the Owner to be executed, completed, and submitted with the Bidder's Form of Proposal. All subcontractors are subject to approval by the LFUCG. Failure to submit this completed list may be cause for rejection of Bid.

<u>BRANCH OF WORK -</u> <u>LIST EACH MAJOR</u> <u>ITEM</u> Such as: Grading, bituminous paving, concrete, seeding and protection, etc.	<u>SUBCONTRACTOR</u>	<u>MWDBE/</u> <u>VOSB</u> <u>Yes/No</u>	<u>% of</u> <u>Work</u>
1. <u>Equipment Painting</u>	Name: <u>Currens Construction Services</u> Address: <u>Harrodsburg, KY</u> _____	<u>No</u>	<u>28%</u>
2. <u>Concrete Coatings</u>	Name: <u>McKinney Painting</u> Address: <u>Versailles, KY</u> _____	<u>Yes</u>	<u>13%</u>
3. <u>Weir Wolf Re-Install</u>	Name: <u>Ford Hall Company</u> Address: <u>Richmond, KY</u> _____	<u>No</u>	<u><1%</u>
4. _____	Name: _____ Address: _____ _____	_____	_____
5. _____	Name: _____ Address: _____ _____	_____	_____

(Attach additional sheet(s) if necessary.)

7. **LFUCG'S MINORITY, WOMEN, AND DISADVANTAGED BUSINESS ENTERPRISE (MWDBE) AND VETERAN-OWNED SMALL BUSINESS (VOSB) PARTICIPATION GOALS**

A. GENERAL

- 1) LFUCG requests all potential contractors to make a concerted effort to include MWDBEs and VOSBs as subcontractors or suppliers in their Bids. MWDBEs consist of Minority Business Enterprises (MBE), Women Business Enterprises (WBE), and Disadvantaged Business Enterprises (DBE).
- 2) LFUCG has set a combined minimum MBE and WBE participation goal of seventeen percent (17%) with minimum subgoals of five percent (5%) for MBEs and twelve percent (12%) for WBEs. LFUCG recommends that DBEs participate as applicable. It is recommended that each Bidder make a good faith effort to meet this goal. Bidders shall comply with other MWDBE requirements as outlined in this section.
- 4) LFUCG has set a goal that not less than three percent (3%) of the total value of this Contract be subcontracted to VOSBs. It is recommended that each Bidder make a good faith effort to meet this goal. Bidders shall comply with other MWDBE requirements as outlined in this section.

B. PROCEDURES

- 1) The successful Bidder will be required to report to LFUCG the dollar amounts of all payments submitted to MWDBE/VOSB subcontractors and suppliers for work done or materials purchased for this Contract. Reporting requirements will be satisfied via LFUCG's Diverse Business Management Compliance System, <https://lexingtonky.diversitycompliance.com/> and/or as requested by the Division of Procurement.
- 2) Replacement of a MWDBE/VOSB 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/VOSB firm. This replacement is subject to approval by LFUCG. (See LFUCG MWDBE Substitution Form)
- 3) For assistance in identifying qualified certified MWDBE/VOSB businesses to solicit for potential contracting opportunities, bidders may contact LFUCG Division of Procurement at 859-258-3320 or by emailing Sherita Miller, MBE Liaison at smiller@lexingtonky.gov.
- 4) LFUCG will make every effort to notify interested MWDBE/VOSB subcontractors and suppliers of bidding opportunities 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) MWDBE and VOSB definitions can be found in the MBEP forms in this Form of Proposal.
- 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, LFUCG will consider whether the bidder or proposer has performed the efforts outlined in the Obligations of Bidder for Good Faith Efforts detailed in this document. Other relevant factors will also be considered.

D. OBLIGATION OF BIDDER FOR GOOD FAITH EFFORTS

- 1) **Bidders shall make a good faith effort to achieve the participation goals for MWDBE/VOSB subcontractors and suppliers. Applicable good faith efforts are delineated in the MBEP forms in this Form of Proposal. Failure to meet the MWDBE/VOSB participation goals shall not necessarily be cause for disqualification of Bidders. Bidders not meeting the goal are required to furnish with their Bids written documentation of their good faith efforts to do so.**
- 2) Contract Award 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

All Bidders are required to submit with their Bid a completed MWDBE Participation Form, completed Attachment A – Small Business, MWDBE, and VOSB Outreach Plan, and a written statement documenting their good faith efforts. If Bid includes no MWDBE/VOSB participation, bidder shall enter “None” on the MWDBE Participation Form. Indicated forms and instructions for completion can be found in the MBEP section in this Form of Proposal.



LEXINGTON

MINORITY BUSINESS ENTERPRISE PROGRAM

Sherita Miller, MPA
Minority Business Enterprise Liaison
Division of Procurement
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 (MBEP) is to facilitate the participation of Minority Business Enterprises (MBEs), Women Business Enterprises (WBEs), Disadvantaged Business Enterprises (DBEs), Veteran-Owned Small Businesses (VOSBs), and Service-Disabled Veteran-Owned Small Businesses (SDVOSBs) in the procurement process and to promote economic inclusion as a business imperative essential to the long-term economic viability of the Lexington-Fayette Urban County Government (LFUCG). For clarity, the term Minority, Women, and Disadvantaged Business Enterprises (MWDBE) will be an all-encompassing term used to refer to MBEs, WBEs, and DBEs.

To that end the LFUCG adopted and implemented Resolution 272-2024 implementing a revised combined minimum MBE and WBE goal of seventeen percent (17%) for government contracts with minimum subgoals of five percent (5%) for MBEs and twelve percent (12%) for WBEs. There remains a minimum three percent (3%) goal for VOSBs for government contracts. LFUCG recommends that DBEs participate as applicable.

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

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. Black American, Asian American, Hispanic American, Native American).

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 Procurement as having the appropriate credentials to make a determination as to the status of the business.

The following certifications are recognized and accepted by the MBEP:

Kentucky Transportation Cabinet (KYTC), Disadvantaged Business Enterprise (DBE)
Kentucky Minority and Women Business Enterprise (MWBE)
Women's Business Enterprise National Council (WBENC)
National Women Business Owners Corporation (NWBOC)
National Minority Supplier Development Council (NMSDC)
Tri-State Minority Supplier Development Council (TSMSSDC)
U.S. Small Business Administration Veteran Small Business Certification (VetCert)
Kentucky Service- Disabled Veteran Owned Small Business (SDVOSB)

To comply with Resolution 272-2024, prime contractors, MWDBEs, and VOSBs must complete monthly contract compliance audits in the Diverse Business Management Compliance system, <https://lexingtonky.diversitycompliance.com/>.

A list of organizations that certify and/or maintain lists of certified MWDBEs and VOSBs is available upon request by emailing Sherita Miller at smiller@lexingtonky.gov.



LEXINGTON

LFUCG MWDBE PARTICIPATION FORM

Bid/RFP/Quote Reference # 42-2026

The MWDBE and/or VOSB 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 Procurement for approval immediately. **Failure to submit a completed form may cause rejection of the Bid.**

MWDBE or VOSB Company, Name, Address, Phone, Email	MBE, WBE, DBE, VOSB?	Work to be Performed	Total Dollar Value of the Work	% Value of Total Contract
1. McKinney Painting, Inc 104 Industry Dr, Versailles, KY Matt Gamlin 859-983-4515 matt@mckinneypainting.com	WBE	Concrete Coatings	234,000	13%
2.				
3.				
4.				

The undersigned company representative submits the above list of MWDBE/VOSB 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.

Herrick Company, Inc.

Company

4/15/26

Date

Cody M. Lokits 

Company Representative

President

Title

***This is a substitution form and not applicable at this time.**



LEXINGTON

LFUCG MWDBE SUBSTITUTION FORM

Bid/RFP/Quote Reference # 42-2026

The substituted MWDBE and/or VOSB 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 Procurement 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. **Note: Form required if a subcontractor is being substituted on a contract.**

SUBSTITUTED MWDBE/VOSB Company Name, Address, Phone, Email	MWDBE/VOSB 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.

Herrick Company, Inc.

Company

4/15/26

Date

Cody M. Lokits

Company Representative

President

Title



DOCUMENTATION REQUIRED FOR GOOD FAITH EFFORTS AND OUTREACH PLANS

As affirmed in Resolution Number 272-2024, the LFUCG has adopted an annual aspirational goal of utilizing at least seventeen percent (17%) of public funds spent from certain discretionary agreements with certified MBEs and WBEs, utilizing at least three percent (3%) of public funds from certain discretionary agreements with certified VOSBs, and utilizing DBEs where applicable. Bidders should make every effort to achieve these goals.

Therefore, as an element of the responsiveness of the Bid, all Bidders are required to submit documentation of their good faith and outreach efforts to ensure all businesses, including small business and disadvantaged businesses such as MWDBEs and VOSBs have an equal opportunity to compete for and participate in the performance of any subcontracts resulting from this procurement. Examples of good faith and outreach efforts that satisfy this requirement to encourage the participation of MWDBEs and VOSBs include:

1. 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 MWDBEs/VOSBs not less than fifteen (15) days prior to the deadline for submission of bids to allow MWDBEs/VOSBs to participate.
2. Attended LFUCG Procurement Economic Inclusion Outreach event(s) within the past year to meet small businesses, MWDBEs, and/or VOSBs to partner with on LFUCG contracts and procurements.
3. Attended pre-bid/pre-proposal meetings that were scheduled by LFUCG to inform small businesses, MWDBEs, and VOSBs of subcontracting opportunities.
4. Sponsored Economic Inclusion event to provide networking opportunities for prime contractors and small businesses, MWDBEs, and VOSBs.
5. Requested a list of certified small business, MWDBE, and VOSB subcontractors or suppliers from LFUCG and showed evidence of contacting the companies on the list(s).
6. Contacted organizations that work with small businesses, MWDBEs, and VOSBs for assistance in finding certified MWDBEs and VOSBs to work on this project. Those contacted and their responses must be a part of the Bidder's outreach efforts documentation.
7. Sent written notices, by certified mail, email, or facsimile, to qualified, certified small businesses, MWDBEs, and VOSBs 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.
8. Followed up initial solicitations by contacting small businesses, MWDBEs, and VOSBs via tailored communications to determine their level of interest.
9. Provided the interested small businesses, MWDBEs, and VOSBs with adequate and timely information about the plans, specifications, and requirements of the contract.
10. Selected portions of the work to be performed by small businesses, MWDBEs, and VOSBs to increase the likelihood of subcontracting participation. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate small business, MWDBE, and VOSB participation, even when the prime contractor may otherwise perform these work items with its own workforce.

11. Negotiated in good faith with interested small businesses, MWDBEs, and VOSBs, not rejecting them as unqualified without sound reasons based on a thorough investigation of their capabilities. Any rejection must be so noted in writing with a description as to why an agreement could not be reached.
12. Included documentation of quotations received from interested small businesses, MWDBEs, and VOSBs that 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 must 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 quote from a small business, MWDBE, or VOSB. Nothing in this provision shall be construed to require the Bidder to accept unreasonable quotes in order to satisfy the participation goals.
13. Made an effort to offer assistance to or refer interested small businesses, MWDBEs, and VOSBs to obtain the necessary equipment, supplies, materials, insurance, and/or bonding to satisfy the work requirements of the Bid proposal.
14. Made efforts to expand the search for small businesses, MWDBEs, and VOSBs beyond the usual geographic boundaries.
15. Other – any other evidence that the Bidder submits that may demonstrate that the Bidder has made reasonable efforts to include small business, MWDBE, and VOSB participation.

Bidder must document, with specificity, each of the efforts it made to include small businesses, MWDBEs, and VOSBs as subcontractors in the procurement, including the date on which each effort was made, the method via which each effort was made, and the outcome of each effort.

Note: Failure to submit 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 and Outreach Efforts must be submitted with the Bid, regardless of the proposed level of small business, MWDBE, and VOSB participation in the procurement. If the Good Faith and Outreach Effort documentation is not submitted with the Bid response, the Bid may be rejected.

OUTREACH EFFORTS EVALUATION

Outreach efforts demonstrated by the Bidder or respondent will be evaluated on a pass/fail basis.

ATTACHMENT A – SMALL BUSINESS, MWDBE, and VOSB OUTREACH PLAN

Proposer Name: Herrick Company, Inc. **Date:** 4/15/26
Project Name: Town Branch and West Hickman WWTPs Final Clarifier Coating **Project Number:** 42-2026
Contact Name: Cody M. Lokits **Telephone:** 859-592-2022
Email: cody@hci96.com

The mission of the MBEP is to facilitate the full participation of MWDBEs and VOSBs in the procurement process and to promote economic inclusion as a business imperative essential to the long-term economic viability of LFUCG.

To that end, small businesses, MWDBEs, and VOSBs must have an equal opportunity to be utilized in the performance of contracts with public funds spent from certain discretionary agreements. By submitting its offer, Bidder/Proposer certifies that it has taken, and, if there are further opportunities, will take, reasonable steps to ensure that small businesses, MWDBEs, and VOSBs are provided an equal opportunity to compete for and participate in the performance of any subcontracts resulting from this procurement.

The information submitted in response to this clause will not be considered in any scored evaluation. Failure to submit this form may cause the Bid or proposal to be rejected.

Is the Bidder/ Proposer a certified firm? Yes No

If yes, indicate all certification type(s):

DBE MBE WBE VOSB/SDVOSB small business

and supply a copy of the certificate and/or certification letter if not currently listed on the city’s MBEP certified list.

1. Include a list of firms that Bidder/ Proposer has had a contractual relationship with within the last two years that are small businesses, MWDBEs, and/or VOSBs, regardless of their certification status.

See Attached DBE% Worksheet.

2. Does Bidder/Proposer foresee any subcontracting opportunities for this procurement?

Yes No

If no, please explain why in the field below. Do not complete the rest of this form and submit this first page with your Bid and/or proposal.

If yes, please complete the following pages and submit all pages with your bid and/or proposal.

Describe the steps Bidder/Proposer took to solicit small businesses, MWDBEs, and/or VOSBs for subcontracting opportunities for this procurement.

3. Check the good faith and outreach efforts the Bidder/Proposer used to encourage the participation of small businesses, MWDBEs, and/or VOSBs:

- Bidder placed advertisements in search of prospective small businesses, MWDBEs, and/or VOSBs for the solicitation.
- Bidder attended LFUCG Procurement Economic Inclusion Outreach event(s) within the past year.
- Bidder attended pre-bid and/or pre-proposal meetings for this solicitation.
- Bidder sponsored an Economic Inclusion Outreach event.
- Bidder requested a list of small business and certified MWDBE and VOSB subcontractors or suppliers from LFUCG.
- Bidder contacted organizations that work with small businesses, MWDBEs, and/or VOSBs.
- Bidder sent written notices to small business and certified MWDBEs and VOSBs.
- Bidder followed up to initial solicitations with interested small businesses, MWDBEs, and/or VOSBs.
- Bidder provided small businesses, MWDBEs, and VOSBs interested in performing the solicited work with prompt access to the plans, specifications, scope of work, and requirements of the solicitation.
- Bidder made efforts to segment portions of the work to be performed by small businesses, MWDBEs, and VOSBs, including dividing sub-bid/partnership opportunities into economically feasible units/parcels to facilitate participation.
- Bidder negotiated in good faith with interested small businesses, MWDBEs, and/or VOSBs.
- Bidder provided adequate rationale for rejecting proposals from small businesses, MWDBEs, and/or VOSBs for lack of qualifications.
- Bidder offered assistance in obtaining bonding, insurance, financial, equipment, or other resources to small businesses, MWDBEs, and/or VOSBs in an effort to assist them in meeting project requirements.
- Bidder made efforts to expand the search for small businesses, MWDBEs, and/or VOSBs beyond the usual geographic boundaries.
- Bidder made other reasonable efforts to include small business, MWDBE, and/or VOSB participation.

4. Bidder/Proposer must include documentation, including the date each effort was made, the method via which each effort was made, and the outcome of each effort with this form, regardless of the level of small business, MWDBE, and/or VOSB participation. Examples of required documentation include copies of email communications, copies of newspaper advertisements, or copies of quotations received from interested small businesses, MWDBE, and/or VOSBs.

For detailed information regarding outreach efforts that satisfy the MBEP's requirements, please see "Documentation Required for Good Faith Efforts and Outreach Plans" page.

Note: The Bidder/Proposer must be willing to report the identity of each subcontractor and the value of each subcontract to MBEP if awarded a contract from this procurement.

Failure to submit the documentation requested may be cause for rejection of the 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 and Outreach Efforts must be submitted with the Bid, regardless of the proposed level of small business, MWDBE, and VOSB participation in the procurement. If the Good Faith and Outreach Effort Form and associated documentation is not submitted with the Bid response, the Bid may be rejected.

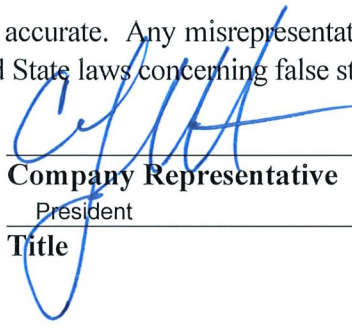
The undersigned acknowledges that all information is accurate. Any misrepresentations may result in termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and claims.

Herrick Company, Inc.

Company

4/15/26

Date



Company Representative

Cody M. Lokits

President

Title

8. **AUTHENTICATION OF BID AND STATEMENT OF NON-COLLUSION AND CONFLICT OF INTEREST**

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

1. 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);
2. 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 Invitation to Bid, designed to limit independent bidding or competition;
3. 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;
4. That the Bidder is legally entitled to enter into the contracts with the LFUCG, and is not in violation of any prohibited conflict of interest;
5. (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.
6. This offer is for 60 calendar days from the date this Bid is opened. In submitting the above, it is expressly agreed that, upon proper acceptance by the LFUCG of any or all items bid above, a contract shall thereby be created with respect to the items accepted.
7. That I have fully informed myself regarding the accuracy of the statements made in this statement.
8. That I certify that subcontracts have not and will not be awarded to any firm(s) that have 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.

9. **STATEMENT OF EXPERIENCE**

*See 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: _____

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.)

10. EQUAL OPPORTUNITY AGREEMENT

Standard Title VI Assurance

The Lexington Fayette-Urban County Government, (hereinafter referred to as the “Recipient”) hereby agrees that as a condition to receiving any Federal financial assistance from the U.S. Department of Transportation, it will comply with Title VI of the Civil Rights Act of 1964, 78Stat.252, 42 U.S.C. 2000d-4 (hereinafter referred to as the “Act”), and all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, (49 CFR, Part 21) Nondiscrimination in Federally Assisted Program of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964 (hereinafter referred to as the “Regulations”) and other pertinent directives, no person in the United States shall, on the grounds of race, color, national origin, sex, age (over 40), religion, sexual orientation, gender identity, veteran status, or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Recipient receives Federal financial assistance from the U.S. Department of Transportation, including the Federal Highway Administration, and hereby gives assurance that will promptly take any necessary measures to effectuate this agreement. This assurance is required by subsection 21.7(a) (1) of the Regulations.

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.

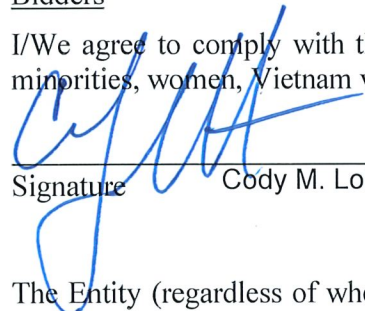
The Lexington-Fayette Urban County Government practices Equal Opportunity in recruiting, hiring and promoting. It is the Government's intent to affirmatively provide employment opportunities for those individuals who have previously not been allowed to enter into the mainstream of society. Because of 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 a contract 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 _____
Cody M. Lokits

Herrick Company, 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 count, 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 contract 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 – 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.

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

11. **EQUAL EMPLOYMENT OPPORTUNITY AFFIRMATIVE ACTION POLICY**

It is the policy of Herrick Company, Inc. _____

to assure that all applicants for employment and all employees are treated on a fair and equitable basis without regard to their race, religion, sex, color, handicap, natural origin or age.

Such action shall include employment, promotion, demotion, recruitment or recruitment advertising, layoff or termination, rates of pay and other forms of compensation, and selection for training, whether apprenticeship and/or on-the-job-training.

Furthermore, this company agrees to make special recruitment efforts to hire the protected class whenever feasible. This company also agrees to adhere to all applicable federal, state, and local laws relating to Equal Employment Opportunity for all individuals.

12. WORKFORCE ANALYSIS FORM

Name of Organization: Herrick Company, 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	
Administrators	3	2								1							3	
Professionals	2	2															2	
Superintendents	5	3		1								1					5	
Supervisors																		
Foremen	4	3		1													4	
Technicians																		
Protective Service																		
Para-Professionals																		
Office/Clerical	3		3															3
Skilled Craft	31	20		10								1					31	
Service/Maintenance	3	3															3	
Total:	51	33	3	12								2					48	3

Prepared by: Kayla J. Lokits, Secretary

Kayla Lokits

(Name and Title)

Date: 4 / 15 / 26

13. EVIDENCE OF INSURABILITY

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

Names Insured: Herrick Company, Inc.

Employee ID: _____

Address: 780 Enterprise Dr. Lexington, KY 40510

Phone: 859-592-2022

Project to be insured: Town Branch and West Hickman WWTPs Final Clarifier Coating

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 Part V (Special Conditions), including all requirements, and conditions:

Section Items	Coverage	Minimum Limits and Policy Requirements	Limits Provided To Insured	Name of Insurer	A.M. Best's Code	Rating
SC-3, Section 2, Part 4.1 – see provisions	CGL	\$1,000,000 per occ. And \$2,000,000 aggregate	\$ 1,000,000 Occ 2,000,000 Agg	Massachusetts Bay Ins Company	A	XV
SC-3, Section 2, Part 4.1 – see provisions	AUTO	\$2,000,000/per occ.	\$ 1,000,000 CSL*	Hanover Insurance Co	A	XV
SC-3, Section 2, Part 4.1 – see provisions	WC	Statutory w /endorsement as noted	\$ Statutory	KY AGC SIF	A	VII

* Excess Liab - Hanover Insurance Co (A:XV) \$10,000,000 Limit to meet \$2M CSL Auto requirement. Section 2 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.

Marsh & McLennan Agency LLC
 Agency or Brokerage
360 East Vine Street, Suite 200
 Street Address
Lexington KY 40588
 City State Zip
859-254-8023
 Telephone Number

Brenda Stickrod, ACSR, AAI
 Name of Authorized Representative
Client Executive
 Title
Brenda Stickrod
 Authorized Signature
4/2/2026
 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 coverage's listed above is not provided with the bid.

14. DEBARRED FIRMS

PROJECT NAME: Town Branch and West Hickman
WWTPs Final Clarifier Coating

BID NUMBER: 42-2026


**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 attached certification in duplicate and submit both copies to the Owner with the bid proposal. 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 Herrick Company, Inc. has not and will not award a subcontract, in connection with any contract 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.

Herrick Company, Inc.
Name of Firm Submitting Bid


Signature of Authorized Official Cody M. Lokits

President
Title

4/15/26
Date

15. DEBARMENT CERTIFICATION

All contractors/subcontractors shall complete the following certification and submit it with the bid proposal.

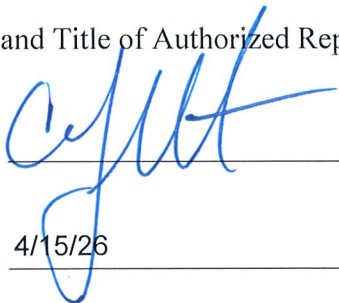
The contractor/subcontractor certifies in accordance with Executive Order 12549 (Debarment and Suspension 2/18/86) that to the best of its knowledge and belief, that it and its principals:

- 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 proposal 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-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: Herrick Company, Inc.

Project: Town Branch and West Hickman
WWTPs Final Clarifier Coating

Printed Name and Title of Authorized Representative: Cody M. Lokits, President

Signature:  _____

Date: 4/15/26

END OF SECTION

EVIDENCE OF AUTHORITY TO SIGN

**Herrick Company, Inc.
780 Enterprise Drive
Lexington, KY 40510**

This document serves as official evidence that Cody M. Lokits, in his capacity as President/CEO of Herrick Company, Inc., a corporation duly organized and existing under the laws of the State of Kentucky, with its principal place of business located at 780 Enterprise Drive, Lexington, KY 40510, has the full authority to sign documents and enter into agreements on behalf of Herrick Company, Inc.

1. Corporate Authority

Pursuant to the bylaws and articles of incorporation of Herrick Company, Inc., the President/CEO has the authority to execute contracts, deeds, bonds, and other instruments and agreements on behalf of the corporation. This authority is granted in accordance with the powers vested in the President/CEO by the Board of Directors of Herrick Company, Inc.

2. Certification

The undersigned, being the duly elected and acting Secretary of Herrick Company, Inc., hereby certifies that:

- a) Cody M. Lokits is the President/CEO of Herrick Company, Inc.
- b) The Board of Directors of Herrick Company, Inc. has duly authorized Cody M. Lokits to execute and deliver documents, agreements, and other instruments on behalf of the corporation.

3. Effective Date

This authority is effective as of the date set forth below and shall remain in full force and effect until revoked in writing by the Board of Directors of Herrick Company, Inc.

4. Signature

IN WITNESS WHEREOF, the undersigned has hereunto set his/her hand and affixed the corporate seal of Herrick Company, Inc. as of this 20th day of May, 2024.

Kayla J. Lokits

Kayla J. Lokits
Secretary
Herrick Company, Inc.

Cody M. Lokits

Cody M. Lokits
President/CEO
Herrick Company, Inc.



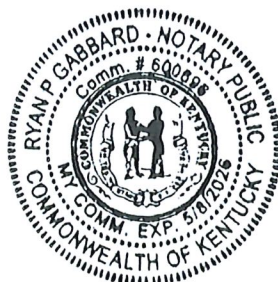
**State of Kentucky
County of Fayette**

Subscribed and sworn to before me, a Notary Public, on this 20th day of May, 2024, by Cody M. Lokits, as President/CEO of Herrick Company, Inc., and Kayla J. Lokits as Secretary of Herrick Company, Inc., who are personally known to me or have provided sufficient identification.

Ryan P. Gabbard

Notary Public

My commission expires: 5-8-26





Herrick Company, Inc.

Contracts on Hand (Bonded) - March 2026

Project Name	Owner Contact Information	Design Engineer of Record	Contract Date	Type of Work	Status	Cost of Work (\$)
Phase 23 Water Treatment Plant and Systems Improvements - Columbia-Adair	Columbia-Adair Utilities District 109 Grant Lane Columbia, KY 42728	Kentucky Engineering Group, PLLC P.O. Box 1034 Versailles, KY 40383	November-25	WTP Renovation	In Process	\$3,846,000
LFUCG Town Branch and West Hickman WWTP UV Disinfection Process Replacement Project	LFUCG Division of Water Quality 201 Jimmie Campbell Drive Lexington, KY 40504	Strand Associates, Inc. 651 Perimeter Drive, Suite 220 Lexington, KY 40517	November-25	WWTP Renovation	In Process	\$13,700,000
Intermediate Raw Water Pumping Station - Spencer and Warren County, TN	Warren County Utility District 4034 Sparta Highway McMinnville, TN 37110	James C. Halley & Company 360 Cool Springs Blvd Suite 100 Franklin, TN 37067-7216	February-25	Pump Station Renovation	In Process	\$3,319,000
2024 Sparta Water Treatment Plant Flocculator Improvement	City of Sparta 6 Liberty St Sparta, TN 38583	Hethcoat & Davis, Inc. 278 Franklin Road, Suite 200 Brentwood, TN 37027	April-25	WTP Renovation	In Process	\$994,500
Rough Branch Water Treatment Plant Upgrades	Eastern Band of Cherokee Indians PO Box 455 Cherokee, NC 28719	Johnson, Mirmiran & Thompson, Inc. 40 Colonial Square Sylva, NC 28779	April-25	WTP Renovation	In Process	\$2,300,000
CUD Brushy Mountain WTP Improvements	Cumberland Utility District 3201 Harriman Highway Harriman, TN 37748	Colvin Properties, Inc./ Ardurra PO Box 1056 293 Dogwood Lane Jacksboro, TN 37757	April-25	WTP Renovation	In Process	\$2,175,000
HCWD1 Radcliff WWTP Thickener Tank Modification Project	Hardin County Water District No. 1 1400 Rogersville Road Radcliff, KY 40160	Hardin County Water District No. 1 1400 Rogersville Road Radcliff, KY 40160	June-25	WWTP Renovation	In Process	\$605,000
Wastewater System Improvements Contract 24-01 - Hiwassee River WWTP Effluent Reuse	Cleveland Utilities Authority	J.R. Wauford & Company Consulting Engineers Inc. Maryville, TN	July-25	WWTP Renovation	In Process	\$3,535,000
ARPA Wastewater Treatment Plant Improvements	Jellico Utilities Authority 292 London Avenue Jellico, TN 37762	McGill Associates 3231 Middlebrook Pike Knoxville, TN 37921	August-25	WWTP Renovation	In Process	\$1,811,770
WWTP and System Improvements Contract 1 - WWTP Improvements	City of Lebanon 240 West Main Street Lebanon, KY 40033	Kentucky Engineering Group, PLLC P.O. Box 1034 Versailles, KY 40383	November-25	WWTP Renovation	In Process	\$7,400,000
Turkey Creek Wastewater System Improvements	Morristown Utilities Commission 433 West 1st North Street Morristown, TN 37814	J.R. Wauford & Company Consulting Engineers Inc. Maryville, TN	November-25	WWTP Renovation	In Process	\$1,738,000
Water Treatment Plant Improvements -Phase 2	City of Beattyville 28 Railroad Street Beattyville, KY 41311	Nesbitt Engineering, Inc. 227 North Upper Street Lexington, KY 40507	December-25	WTP Renovation	In Process	\$2,836,000
KAWC - North Owen County Booster Station	Kentucky American Water 2300 Richmond Road Lexington, KY 40502	Kentucky American Water 2300 Richmond Road Lexington, KY 40502	December-25	Booster Pump Station	In Process	\$863,000
2023 Water Treatment Plant Improvements	Town of Bluff City, TN 4391 Bluff City Highway Bluff City, TN 37618	Mattern & Craig 403 East Market Street Johnson City, TN 37601	December-25	WTP Renovation	In Process	\$825,000
Middlesboro Main Sewage Lift Station Improvements	City of Middlesboro 221 N 21st Street PO BOX 756 Middlesboro, KY 40965	Johnson Mirmiran & Thompson, Inc. 109 24th Street PO Box 1425 Middlesboro, KY 40965	March-26	Sewage Lift Station	In Process	\$1,133,000

Bid: Town Branch and West Hickman WWTPs Final Clarifier Coating

Date: April 15, 2026

Required Attachment: Bidders Qualification Statement, Schedule C

- 15-ton Boom Truck
- 18-ton Boom Truck
- 35-ton Grove RT Crane
- 45-ton LinkBelt Lattice Boom Crane
- 50-ton P&H Truck Crane
- 75-ton Terex RT Crane
- CAT D5 Dozer
- CAT 953 Loader
- CAT 315 Excavator
- CAT 323 Excavator
- CAT 325 Excavator
- CAT 335 Excavator
- CAT 416 Backhoe
- CAT 420 Backhoe
- CAT 420E Backhoe
- CAT 302.5 Mini-Excavator
- Hyundai R35ZCR Mini-Excavator
- Hyundai Robex 80CR Midsize Excavator
- Soosan 6000 ft-lb Impact Class Hydraulic Breaker
- JLG 450AJ 45' Articulating Boom Man Lift
- Ingersol Rand VR 70B Tele-Handler Forklift
- Bobcat Skid Steer Loader & Attachments
- Bobcat Track Skid Steer Loader & Attachments
- CAT 236 Skid Steer Loader & Attachments
- CAT 279 Skid Steer Loader & Attachments
- CAT 289 Skid Steer Loader & Attachments
- International Flat Bed Dump
- (3) 185cfm Air Compressors
- 6" Diesel Pump w/Suction/Discharge Hose
- Two (2) Kundel 8' x 20' trench boxes
- (11) pickup trucks – ½ & ¾ Ton w/trailers
- Connex's (6 ea.) – 20'
- Office Trailers (6 ea.) – 8 x 30'
- Welder/Generators
- Hyster Warehouse Forklift
- Miscellaneous small equipment and tools

Purchase dates vary. All equipment is in good condition with above-average values.

HERRICK COMPANY, INC.

Key ADMINISTRATIVE Personnel: Statement of Experience

Cody M. Lokits, PE - President/CEO, Safety Director, QC Manager

HCI Start Date: 2/8/22 (Years in WTP/WWTP industry - 17)

3D Enterprises (7yrs), Executive VP - The Walker Company (2yrs), President/CEO - HCI (current)

BS in Civil Engineering, Professional Engineering License (KY)

Responsibilities: Responsible for the overall safety, quality control, supervision, and success of the company. Responsibilities include fostering safety culture, cost management of corporate & project budgets, supervision of labor force and capital equipment requirements, project management, implementation of strategic plans, and the overall administration of the company along with direct coordination and collaboration with consultants and owners.

Luke T. Zakrzewski, PE - Vice President of Operations

HCI Start Date: 09/2024 (Years in WTP/WWTP industry - 35)

Dames & Moore (4 yrs); Operator/Surveyor/Foreman/Superintendent/Operations Manager -

3D Enterprises Contracting Corporation (28 yrs); Regional Operations Manager - Dugan & Meyers (2 yrs); Vice President of Operations - Herrick Company (current);

BS in Civil Engineering, Professional Engineering License (TN, KY, WI, GA, NC)

Responsibilities: Performs quality control, field supervision, and safety reviews for individual projects and the company as a whole. Manages supervisors and personnel. Assists with project procurement, estimates, and bids. Ensures project equipment needs are met and assists in the day-to-day operations of HCI in all aspects of construction, management, and operations.

H. Douglas Herrick

HCI Start Date: 01/1996 (Years in WTP/WWTP industry - 48)

Experience: Superintendent - London Bridge, Superintendent - Building Crafts, President - HCI (29 yrs), HCI Consultant (current)

Responsibilities: Prepares estimates and bids, performs quality control, field supervision, and safety reviews for individual projects and the company as a whole. Manages supervisors and personnel. Ensures project equipment needs are met and assists in the day-to-day operations of HCI in all aspects of construction, management, and operations.

HERRICK COMPANY, INC.

Key ADMINISTRATIVE Personnel: Statement of Experience

Ryan P. Gabbard - Project Manager

HCI Start Date: 12/30/00 (Years in WTP/WWTP industry - 24)
manager.

Responsibilities: Oversees the building process through review of submittal documents, communicates with the Owner/Engineer, vendors, and subcontractors for planning and management purposes. Manages deadlines, budgets, and issues throughout the construction process. Provides supports for estimating and bidding. Develops and implements work plans with the Site Supervisor. Ensures timely delivery of materials and equipment to meet the

Reno R. Dell'Acqua - Project Manager

HCI Start Date: 5/25/22 (Years in WTP/WWTP industry - 10)
finishing

Responsibilities: Oversees the building process through review of submittal documents, communicates with the Owner/Engineer, vendors, and subcontractors for planning and management purposes. Manages deadlines, budgets, and issues throughout the construction process. Provides supports for estimating and bidding. Develops and implements work plans with the Site Supervisor. Ensures timely delivery of materials and equipment to meet the

Jonah L. Donze - Project Manager

HCI Start Date: 2/2025 (Years in WTP/WWTP industry - 8)
& Myers (2yrs), Herrick Company (current)

Responsibilities: Oversees the building process through review of submittal documents, communicates with the Owner/Engineer, vendors, and subcontractors for planning and management purposes. Manages deadlines, budgets, and issues throughout the construction process. Provides supports for estimating and bidding. Develops and implements work plans with the Site Supervisor. Ensures timely delivery of materials and equipment to meet the needs of the project.

HERRICK COMPANY, INC.

Key ADMINISTRATIVE Personnel: Statement of Experience

Kayla Lokits - Controller

HCI Start Date: 06/2023 (Years in Accounting/Finance - 14)

Responsibilities: Manages all financial aspects of the company. Assists in the preparation of Bid Documents, Statement of Qualifications, etc. Performs Human Resources functions for employee on-boarding, benefits, etc. Manages Accounts Payables Processes and insures on-time and accurate payment of vendors/subs. Manages Accounts Receivables Processes and insures on-time and accurate payment to HCI. Manages month-end close and provides financial reporting for use in monthly/quarterly financial statements. Prepares and provides monthly/quarterly financial statements to stakeholders for review and discussion. Manages project cost reporting to President for review with project management team.

Sabrina K. Taylor - Office Manager / Payroll Administrator

HCI Start Date: 10/09/06 (Years in WTP/WWTP industry - 18)

Payroll/AP/AR Communicates with Controller to improve processes and procedures to streamline accounting functions. Oversees payroll processing, certified payroll, and proper project cost allocations.

Performs project set-up in accounting system and assists in establishing SOV. Manages Construction Equipment weekly hours and vehicle mileage reporting. Inputs Construction Equipment charges Assists in preparing monthly progress billings and ensures payment. Ensures vendor/sub payments are accurate and cost coded accordingly. Tracks project revenue and change orders within accounting system. Assists in Human Resources functions and cost

HERRICK COMPANY, INC.

Key FIELD SUPERVISION Personnel : Statement of Experience

Chad Holbrook - Superintendent

HCI Start Date: 01/2018 (Years in WTP/WWTP industry - 20)

Experience: Carpenter/Foreman - Judy Construction (14 yrs), Superintendent - HCI (current)

Responsibilities: Assists with determination of manpower needs for a project. Establishes daily, weekly, and monthly production goals. Coordinates, directs, and monitors the activities of subcontractors. Creates and manages two-week look aheads. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts and prepares weekly coordination meetings. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Manages the overall schedule of the project with assistance from Project Managers. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

Bill Robinson - Superintendent

HCI Start Date: 07/2022 (Years in WTP/WWTP industry - 47)

Experience: Carpenter/Superintendent - Judy Construction (45 yrs), Superintendent - HCI (current)

Responsibilities: Assists with determination of manpower needs for a project. Establishes daily, weekly, and monthly production goals. Coordinates, directs, and monitors the activities of subcontractors. Creates and manages two-week look aheads. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts and prepares weekly coordination meetings. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Manages the overall schedule of the project with assistance from Project Managers. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

HERRICK COMPANY, INC.

Key FIELD SUPERVISION Personnel : Statement of Experience

David Webb - Superintendent

HCI Start Date: 03/2023 (Years in WTP/WWTP industry - 20)

Experience: Working Foreman - 3D Enterprises (7 yrs), Foreman - W&O (2 yrs), Superintendent - HCI (current)

Responsibilities: Assists with determination of manpower needs for a project. Establishes daily, weekly, and monthly production goals. Coordinates, directs, and monitors the activities of subcontractors. Creates and manages two-week look aheads. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts and prepares weekly coordination meetings. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Manages the overall schedule of the project with assistance from Project Managers. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

Kevin McCoy - Superintendent

HCI Start Date: 02/2025 (Years in WTP/WWTP industry - 10)

Experience: Superintendent - 3D Enterprises (6 years), Dugan & Myers (3 years), Herrick Company (current)

Responsibilities: Assists with determination of manpower needs for a project. Establishes daily, weekly, and monthly production goals. Coordinates, directs, and monitors the activities of subcontractors. Creates and manages two-week look aheads. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts and prepares weekly coordination meetings. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Manages the overall schedule of the project with assistance from Project Managers. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

HERRICK COMPANY, INC.

Key FIELD SUPERVISION Personnel : Statement of Experience

Dustin Holbrook - Superintendent

HCI Start Date: 10/2019 (Years in WTP/WWTP industry - 8)

Experience: Carpenter/Welder/Laborer - Judy Construction (3yrs), Carpenter/Foreman - HCI (5 yrs), Superintendent - HCI (1 yrs)

Responsibilities: Assists with determination of manpower needs for maintenance, service, and repair projects as well as small projects and individual scopes within large projects. Coordinates, directs, and monitors the activities of subcontractors. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

Zack Jefferies - Foreman / Service Manager

HCI Start Date: 10/2021 (Years in WTP/WWTP industry - 5)

Experience: Carpenter - EC Matthews (2 years), Carpenter/Foreman - HCI (3 years)

Responsibilities: Assists with determination of manpower needs for maintenance, service, and repair projects as well as small projects and individual scopes within large projects. Coordinates, directs, and monitors the activities of subcontractors. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts. Completes all necessary project documentation including daily reports; safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

HERRICK COMPANY, INC.

Key FIELD SUPERVISION Personnel : Statement of Experience

James McCoy- Foreman

HCI Start Date: 8/2024 (Years in WTP/WWTP industry - 2)

Experience: Carpenter/Welder/Pipefitter - PMI (6yrs), Foreman - HCI (1 year)

Responsibilities: Assists with determination of manpower needs for maintenance, service, and repair projects as well as small projects and individual scopes within large projects. Coordinates, directs, and monitors the activities of subcontractors. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

Valentin Torres - Superintendent

HCI Start Date: 1/2024 (Years in WTP/WWTP industry - 26 years)

Experience: Carpenter/Welder/Pipefitter/Crane Operator - 3D Enterprises (26yrs), Foreman - Dugan & Myers (2 years), Superintendent - HCI (current)

Responsibilities: Assists with determination of manpower needs for maintenance, service, and repair projects as well as small projects and individual scopes within large projects. Coordinates, directs, and monitors the activities of subcontractors. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.

HERRICK COMPANY, INC.

Key FIELD SUPERVISION Personnel : Statement of Experience

Jose Castro - Superintendent

HCI Start Date: 1/2024 (Years in WTP/WWTP industry - 21 years)

Experience: Carpenter/Welder/Pipefitter - 3D Enterprises (20 yrs), Foreman - Judy Construction (1 yr), Foreman - Dugan & Myers (1 yr), Superintendent - HCI (current)

Responsibilities: Assists with determination of manpower needs for maintenance, service, and repair projects as well as small projects and individual scopes within large projects. Coordinates, directs, and monitors the activities of subcontractors. Ensures projects meet and/or exceed labor budget goals. Leads site safety efforts. Completes all necessary project documentation including daily reports, safety documentation, photographs, etc. Facilitates the relationship with the Owner/Engineer through clear communication. Maintains an overall knowledge of all aspects of the construction and trades process for W/WTP work.



Herrick Company, Inc.

Project Experience History (5-Year Lookback)

Project Description	Owner / Contact Information	Design Engineer of Record	Year Completed	Contract Amount (\$)
Campbellsville Wastewater Treatment Plant Improvements: Grit Removal System	City of Campbellsville 110 S Columbia Ave Campbellsville, KY 40510	Monarch Engineering, Inc. 556 Carlton Drive Lawrenceburg, KY 40342	2026	\$1,576,000
Water System Improvements, Contract 12 Sandy Hook, KY – Water Treatment Plant	Sandy Hook Water Dist. 474 Howards Creek Rd Sandy Hook, KY	Bluegrass Engineering 222 E Main St Georgetown, KY Bryan Lovan Phone: 859-351-1714	2025	\$7,150,000
Wastewater Treatment Plant Improvements - City of Lebanon, KY (Screens & Sludge Handling Improv)	City of Lebanon 240 W Main St. Lebanon, KY 40033 Corey Benedict Email: cbenedict@lebanonky.org	Gresham Smith 222 Second Avenue South, Suite 1400 Nashville, TN 37201-2308	2025	\$5,000,000
Dry Run Influent Pump Station Shelbyville, KY – Wastewater Treatment Plant	Shelbyville Municipal Water & Sewer Commission Bill Bryant Phone: 502-321-6115	HDR Engineering, Inc. 401 W Main Street Louisville, KY Reese Walton	2025	\$4,299,800
Contract 223 - Byrdstown Settling and Backwash Basin - Town of Byrdstown	Town of Byrdstown 109 West Main Street Byrdstown, TN 38549	James C. Hailey & Company 1619 Galleria Boulevard Brentwood, TN 37027-2926 Nathaniel Green Phone: 615-883-4933	2025	\$3,864,000
W. Hickman WWTP RAS/WAS Pump Station Improvements LFUCG, KY – Wastewater Treatment Plant	LFUCG 301 Jimmie Campbell Drive Lexington, KY Emily Epperson Phone: 859-425-2406	Strand Associates, Inc. 1525 Bull Lea Road, Ste. 100 Lexington, KY Mike Davis Phone: 859-225-8500	2025	\$2,690,200
Spears Creek Pump Station Improvements, Danville, KY - City of Danville	City of Danville 445 W. Main Street Danville, KY 40422	HDR Engineering, Inc. 401 W Main Street Louisville, KY Rich Smith Phone: 859-629-4844	2025	\$2,552,000
Water Treatment Plant & Booster Pump Station Improvements - City of Cynthiana	City of Cynthiana 141 E Pike St Cynthiana, KY 41031	Kentucky Engineering Group, PLLC P.O. Box 1034 Versailles, KY 40383	2025	\$2,530,000
Water Treatment Plant Filter Isolation Valve Replacement Project	Frankfort Water and Electric Plant Board 300 Coffee Tree Road Frankfort, KY	Kentucky Engineering Group, PLLC P.O. Box 1034 Versailles, KY 40383 Ryan Carr Phone: 859-251-4127	2025	\$2,447,000
City of Jackson Water Treatment Plant Improvements	City of Jackson 333 Broadway Jackson, KY 41339 Laura Thomas Phone: 606-666-7069	Nesbitt Engineering, Inc. 227 North Upper Street Lexington, KY 40507-1016 Mike Wilmoth Phone: 859-338-0840	2025	\$2,395,000
Maysville WTP Intake Dry Well Improvements	City of Maysville 216 Bridge Street Maysville, KY 41056	HMB Professional Engineers 3 HMB Circle, US 460 Frankfort, KY 40601	2025	\$1,489,500
CSWR Kentucky - CPCN Wastewater Treatment Plants - North Kentucky	CSWR Kentucky C/O Keeley Construction Group, Matt Pfaff, 500 S Ewing Suite G, St. Louis MO 63103 Phone: 573-535-1008	21 Design Group, Inc.	2025	\$1,463,349
Corbin Wastewater Treatment Plant Oxidation Ditch Aerator Replacements	City Utilities Commission 1515 Cumberland Falls Highway Corbin, KY 40701	Eclipse Engineers, PLLC 113 West Mt. Vernon Street Somerset, KY 42501	2025	\$1,192,000



Herrick Company, Inc.

Project Experience History (5-Year Lookback)

Project Description	Owner / Contact Information	Design Engineer of Record	Year Completed	Contract Amount (\$)
Water Treatment Plant Improvements City of Campbellsville - Water Treatment Plant	City of Campbellsville 110 South Columbia Avenue Campbellsville, KY 42718 Neil Graham	Monarch Engineering Carlton Dr. Lawrenceburg, KY 40342 Deron Byrne	2025	\$1,170,055
West Hickman WWTP Ash and Sludge Tanks Odor Control Improvements	Lexington-Fayette Urban County Government Office of Procurement 200 East Main Street 3rd Floor Lexington, KY 40507	Tetra Tech 424 Lewis Hargett Circle, Suite 110 Lexington, KY 40503	2025	\$1,041,000
Wastewater Treatment Plant #2 UV Disinfection Upgrades and Modifications - Georgetown Municipal Water and Sewer Service	Georgetown Municipal Water and Sewer Service 1000 W Main St. Georgetown, KY 40324	Kentucky Engineering Group, PLLC P.O. Box 1034 Versailles, KY 40383 Ryan Carr Phone: 859-251-4127	2025	\$644,000
Muddy Creek Booster Pump Station Rehabilitation and Zone Metering Project - East Clark County Water District	East Clark County Water District 118 Hopkins Lane Winchester, KY 40391	Bell Engineering 2480 Fortune Dr Suite 350 Lexington, KY 40509 Michael Lile Phone: 859-278-5412	2025	\$536,000
KSP Wastewater Treatment Plant Upgrades/Replacement	Commonwealth of Kentucky Finance and Administration Cabinet Bush Building 1st Floor 403 Wapping Street Frankfort, KY 40601-2638	BFW Engineering & Testing, Inc. 2456 Fortune Dr. Suite 105 Lexington, KY 40509	2025	\$360,000
Maysville WTP Plate Settlers Replacement	City of Maysville 216 Bridge Street Maysville, KY 41056	HMB Professional Engineers 3 HMB Circle, US 460 Frankfort, KY 40601	2025	\$350,000
Wastewater Treatment Plant UV Disinfection System Replacement- City of Kevil, KY	City of Kevil 1009 Clyde M Elrod Avenue Kevil, KY 42053	Klingner & Associates, P.C. 2150 West Main Street Carbondale, IL 62901	2025	\$109,500
Westside WWTP Clarifier No. 3	City of Madisonville 67 North Main Street Madisonville, KY 42431	Eclipse Engineers Somerset, KY 42501 Alan Robinson, PE Phone: 606-451-0959	2024	\$2,955,381
Pirtle Springs WTP, Gray Ln PS, and Brizendine BS Improvements	Hardin County Water District No. 1 1400 Rogersville Road Radcliff, KY Daniel Clifford Phone: 270-351-3222	Cannon and Cannon Inc. 8550 Kingston Pike Knoxville, TN 37919	2024	\$2,159,074
Black Oak Sewer Consolidation Project	City of Vanceburg Lewis County Vanceburg Lewis County, KY	HMB 3 HMB Circle, US 460 Frankfort, KY 40601	2024	\$2,068,914
Contract No. 7 WTP Improvements	Lebanon Water Works Company, Inc. 120 South Proctor Knott Avenue Lebanon, KY 40033	Kentucky Engineering Group, PLLC PO Box 1034 Versailles, KY 40383	2024	\$891,098
Picadome Pump Station Upgrades	LFUCG 200 East Main Street, 3rd Floor Lexington, KY 40507	Strand Associates, Inc. 325 West Main Street, Suite 710 Louisville, KY 40202	2024	\$339,000
Brandenburg WTP Filter Improvements	City of Brandenburg, KY 737 High Street Brandenburg, KY 40108	GRW Engineers, Inc. 801 Corporate Dr. Lexington, KY 40503	2024	\$313,100
Lewisport County Booster Station Improvements	City of Lewisport 405 Second Street Lewisport, KY 42351	Bluegrass Engineering Georgetown, KY 40324 Bryan Lovan , Matt Curtis Phone: 859-351-1714 502-370-6551	2024	\$312,000
Hartland 2 PS Upgrades	LFUCG 200 East Main Street, 3rd Floor Lexington, KY 40507	GRW Engineers, Inc. 801 Corporate Dr. Lexington, KY 40503	2024	\$261,700



Herrick Company, Inc.

Project Experience History (5-Year Lookback)

Project Description	Owner / Contact Information	Design Engineer of Record	Year Completed	Contract Amount (\$)
Burkesville WWTP Improvements	City of Burkesville, KY 214 Upper River Street Burkesville, KY 42717	GRW Engineers, Inc. 801 Corporate Dr. Lexington, KY 40503	2023	\$3,638,066
E.C. Mcmanis WWTP Headworks Improvements	Frankfort Sewer Department 315 West Second Street Frankfort, KY 40602	Bell Engineering 2480 Fortune Dr. Suite 350 Lexington, KY 40509	2023	\$1,393,000
Middlesboro WWTP Phase 1	City of Middlesboro 221 North 21st Street Middlesboro, KY 40965	Vaughn & Melton Consulting Engineers, Inc. 109 S 24th Street Middlesboro, KY 40965	2023	\$1,111,800
Hartland 3 PS Upgrades	LFUCG 200 East Main Street, 3rd Floor Lexington, KY 40507	Bell Engineering 2480 Fortune Dr. Suite 350 Lexington, KY 40509	2023	\$960,095
E.C. Mcmanis WWTP Blower Replacement	Frankfort Sewer Department 315 West Second Street Frankfort, KY 40602	Bell Engineering 2480 Fortune Dr. Suite 350 Lexington, KY 40509	2023	\$727,629
Upgrade and Expansion of the George W. Arnold Water Treatment Facility Contract 1-2021	Logan-Todd Regional Water Commission PO Box 400 Guthrie, KY 42234 248 Tower Street	Strand Associates, Inc. 325 West Main Street, Suite 710 Louisville, KY 40202	2023	\$698,995
New Haven WWTP Corrective Action Plan Improvements Phase 1	City of New Haven PO Box 98 New Haven, KY 40051 302 Center Street	Kenviron 452 Versailles Rd Frankfort, KY 40601	2023	\$655,100



Herrick Company, Inc.

Project Experience History (5-Year Lookback)

Project Description	Owner / Contact Information	Design Engineer of Record	Year Completed	Contract Amount (\$)
Mayfield WWTP Emergency Clarifier Modifications	Mayfield Electric and Water Systems 301 East Broadway Mayfield, KY 42066	Water Management Services 2 International Plaza Nashville, TN 37217 LLC Suite 401	2023	\$468,160
Ft. Knox Oxidation Ditch	Hardin County Water District No. 1 1400 Rogersville Road Radcliff, KY Daniel Clifford Phone: 270-351-3222		2023	\$340,000
Valves Replacement Raw Water Intake No. 1	City of Nicholasville, KY 517 N. Main Street Nicholasville, KY 40356	GRW Engineers, Inc. 801 Corporate Dr. Lexington, KY 40503	2023	\$289,750
West Hickman WWTP BPR Walkway Repairs	LFUCG 200 East Main Street, 3rd Floor Lexington, KY 40507	Not Applicable	2023	\$275,000
West Hickman Clarifier Stairs	LFUCG 200 East Main Street, 3rd Floor Lexington, KY 40507	Not Applicable	2023	\$168,850
Jim Beam Distillery Veolia Reactor	Veolia Water Technologies, Inc. 6981 N. Park Drive Pannsauken, NJ 08109		2023	\$128,309
Muldraugh WTP Improvements	Hardin County Water District 1400 Rogersville Road Radcliff, KY 40160	Stantec Consulting Services Inc. 3052 Beaumont Centre Circle Lexington, KY	2022	\$692,565
Campbellsville WWTP Influent Meter	City of Campbellsville 110 S. Columbia Ave. Campbellsville, KY 42718	Monarch Engineering Lawrenceburg, KY 40342 Phone: 502-839-1310	2022	\$416,783
Campbellsville WTP Valve Replacement	City of Campbellsville 110 S. Columbia Ave. Campbellsville, KY 42718	Monarch Engineering Lawrenceburg, KY 40342 Phone: 502-839-1310	2022	\$403,704
Lawrenceburg WTP Sodium Hypo Nov 2021	City of Lawrenceburg 100 N Main St Lawrenceburg, KY Monty Rhody Phone: (502-839-5372)	Not Applicable	2022	\$339,700
Hazard Water and Wastewater Treatment Plant Improvements	Harshaw Trane Hazard, KY	Bell Engineering 2480 Fortune Dr. Suite 350 Lexington, KY 40509	2022	\$142,894
Lebanon WWTP Ditch 10-2021	Lebanon WWTP 100 Clearwater Dr Lebanon KY 40033	Not Applicable	2022	\$122,000
Town Branch WWTP Influent Gate 3-2022	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	2022	\$91,250
HWEA Moss Gate and Hatch	Hopkinsville Water Environment Authority 401 East Ninth Street Hopkinsville, KY 42240	Not Applicable	2022	\$58,100
West Hickman WWTP Strainer 1-2022	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	2022	\$57,935
Campbellsville WTP Contract 1 - Improvements/Modifications	City of Campbellsville 110 S. Columbia Ave. Campbellsville, KY 42718	Monarch Engineering Lawrenceburg, KY 40342 Phone: 502-839-1310	2021	\$6,042,011



Herrick Company, Inc.

Project Experience History (5-Year Lookback)

Project Description	Owner / Contact Information	Design Engineer of Record	Year Completed	Contract Amount (\$)
City Springs WTP - Building new pump station and installing new equipment	Hardin County Water District #2 360 Ring Rd Elizabethtown, KY 42701 Phone: 270-737-1056	Kenvirons, Inc. Frankfort, KY 40601 Phone: 502-695-4357	2021	\$1,514,771
Town Branch Secondary Digesters - Improvements, replacing and installing pumps	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	2021	\$1,462,578
Town Branch/West Hickman Eyewash - Eyewash replacement	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	LFUCG Division of Water Quality 125 Lisle Industrial Avenue Lexington, KY 40511 Tiffany Rank Phone: 859-425-2406	2021	\$473,590
Everts WTP Refurbish - Replacing flocculation systems and pumps	City of Everts Everts KY 40828	Kenvirons, Inc. Frankfort, KY 40601 Phone: 502-695-4357	2021	\$209,853
Lewisport WWTP Improvements - Constructing new piping	City of Lewisport 350 Carolina St Lewisport, KY 42351	Bluegrass Engineering Georgetown, KY 40324 Bryan Lovan , Matt Curtis Phone: 859-351-1714 502-370-6551	2021	\$95,350
Town Branch Chlorine Catwalk Project	Lexington-Fayette Urban County Government Lexington, KY 40507 Brian Marcum	Owner Internal engineers involved	2021	\$74,350
Henry County Media #2 - Remove and intall media	Henry County Water District Campbellsburg, KY 40011 Keith Morris Phone: 502-777-4591	Not Applicable	2021	\$60,500
Hopkinsville WTP Filters - Replace support beams in filters	Hopkinsville Water Environmental Authority Hopkinsville, KY 42240	Owner Internal engineers involved	2021	\$49,900
West Kickman Scum WWTP - Pipes and valves installation	LFUCG Division of Water Quality 125 Lisle Industrial Ave Lexington, KY 40511 Phone: 859-425-2400	Strand Associates Lexington, KY 40511 Mike Davis Phone: 859-225-8500	2020	\$1,486,537
Max Rhodes WWTP UV channels	Regional Water Resource Agency 2101 Grimes Ave Owensboro, KY 42303 Victor Cernius Phone: 270-687-8450	Strand Associates Louisville, KY 40202 Mark Sneve Phone: 502-583-7020	2020	\$360,870
Morehead WWTP Blower - Replace blowers	Morehead Utility Plant Board 135 S Wilson Ave Morehead, KY 40351 Holly McGrath-Rosas Phone: 606-784-5538	Eclipse Engineers Somerset, KY 42501 Alan Robinson, PE Phone: 606-451-0959	2020	\$315,500
McCreary WWTP Chemical Room - Replace pumps and tanks	McCreary County Water District 456 North Hwy 27 Whitley City, KY 42653 Phone: 606-376-2540	KY Engineering Group Versailles, KY 40383 Ryan Carr Phone: 859-251-4127	2020	\$277,567
Fort Knox Clarifiers WWTP - Replace mechanisms and clarifier	Hardin County Water District Radcliff, KY 40160 Daniel Clifford Phone: 207-737-1056	Owner Internal engineers involved	2020	\$110,500
Frankfort Sludge Valve Replacement WTP	Frankfort Plant Board 305 Hickory Dr Frankfort, KY 40601 Phone: 502-352-4372	Owner Internal engineers involved	2020	\$82,151



Herrick Company, Inc.

Project Experience History (5-Year Lookback)

Project Description	Owner / Contact Information	Design Engineer of Record	Year Completed	Contract Amount (\$)
Midway WWTP Miscellaneous Repairs	City of Midway Midway, KY 40347 Phone: 859-846-4413	Contract design-build	2020	\$76,351
Creation Museum WWTP - New pump station	Creation Museum Petersburg, KY 41080 Tom Van Huss Phone: 888-582-4253	Owner Contractor design-build	2020	\$51,000
Edmonton Damn Spillway - Grout	City of Edmonton Edmonton, KY 42129 Phone: 270-432-2811	Monarch Engineering Lawrenceburg, KY 40342 Phone: 502-839-1310	2020	\$39,500
Lebanon Rotors WWTP - Oxidation ditch rotor replacements	Lebanon Water Works Co. Lebanon, KY 40033 Phone: 270-692-2491	Owner Internal engineers involved	2020	\$34,730
Frankfort WWTP Spitter Box - Replace splitter box and slide gates	City of Frankfort Frankfort, KY 40601 Phone: 502-875-2448	Owner Contractor design-build	2020	\$32,750

Document A310™ – 2010

Conforms with The American Institute of Architects AIA Document 310

Bid Bond

CONTRACTOR:

(Name, legal status and address)

Herrick Company, Inc.
780 Enterprise Dr
Lexington, KY 40510

SURETY:

(Name, legal status and principal place of business)

United Fire & Casualty Company
PO Box 73909
Cedar Rapids, IA 52407-3909

This document has important legal consequences. Consultation with an attorney is encouraged with respect to its completion or modification.

Any singular reference to Contractor, Surety, Owner or other party shall be considered plural where applicable.

OWNER:

(Name, legal status and address)

Lexington-Fayette Urban County Government
200 East Main Street
Lexington, KY 40507

BOND AMOUNT: \$ 5%

Five Percent of Amount Bid

PROJECT:

(Name, location or address, and Project number, if any)

Bid 42-2026 - Town Branch and West Hickman Wastewater Treatment Plants Final Clarifier Coating

The Contractor and Surety are bound to the Owner in the amount set forth above, for the payment of which the Contractor and Surety bind themselves, their heirs, executors, administrators, successors and assigns, jointly and severally, as provided herein. The conditions of this Bond are such that if the Owner accepts the bid of the Contractor within the time specified in the bid documents, or within such time period as may be agreed to by the Owner and Contractor, and the Contractor either (1) enters into a contract with the Owner in accordance with the terms of such bid, and gives such bond or bonds as may be specified in the bidding or Contract Documents, with a surety admitted in the jurisdiction of the Project and otherwise acceptable to the Owner, for the faithful performance of such Contract and for the prompt payment of labor and material furnished in the prosecution thereof; or (2) pays to the Owner the difference, not to exceed the amount of this Bond, between the amount specified in said bid and such larger amount for which the Owner 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. The Surety hereby waives any notice of an agreement between the Owner and Contractor to extend the time in which the Owner may accept the bid. Waiver of notice by the Surety shall not apply to any extension exceeding sixty (60) days in the aggregate beyond the time for acceptance of bids specified in the bid documents, and the Owner and Contractor shall obtain the Surety's consent for an extension beyond sixty (60) days.

If this Bond is issued in connection with a subcontractor's bid to a Contractor, the term Contractor in this Bond shall be deemed to be Subcontractor and the term Owner shall be deemed to be Contractor.


When this Bond has been furnished to comply with a statutory or other legal requirement in the location of the Project, any provision in this Bond conflicting with said statutory or legal requirement shall be deemed deleted herefrom and provisions conforming to such statutory or other legal requirement shall be deemed incorporated herein. When so furnished, the intent is that this Bond shall be construed as a statutory bond and not as a common law bond.

Signed and sealed this 15th day of April, 2026



(Witness) RYAN P GABBARD

Herrick Company, Inc.
(Principal) _____ (Seal)

By: 
(Title) CORY M. LOKITS, PRESIDENT

United Fire & Casualty Company
(Surety) _____ (Seal)

By: 
(Title) Leigh McCarthy Attorney-in-Fact





UNITED FIRE & CASUALTY COMPANY, CEDAR RAPIDS, IA
 UNITED FIRE & INDEMNITY COMPANY, WEBSTER, TX
 FINANCIAL PACIFIC INSURANCE COMPANY, ROSEVILLE, CA
POWER OF ATTORNEY

To verify the authenticity of this Power of Attorney, please contact us at
 UFG Insurance, 118 Second Ave SE, Cedar Rapids, IA 52401
 telephone (800) 343-9130 or email surety@unitedfiregroup.com
THIS POWER OF ATTORNEY IS VOID IF ALTERED
 To notify us of a claim, please contact us at surety@unitedfiregroup.com

KNOW ALL PERSONS BY THESE PRESENTS, That United Fire & Casualty Company, a corporation duly organized and existing under the laws of the State of Iowa; United Fire & Indemnity Company, a corporation duly organized and existing under the laws of the State of Texas; and Financial Pacific Insurance Company, a corporation duly organized and existing under the laws of the State of California (herein collectively called the Companies), and having their corporate headquarters in Cedar Rapids, State of Iowa, does make, constitute and appoint

Leigh McCarthy

their true and lawful Attorney(s)-in-Fact with power and authority hereby conferred to sign, seal and execute in its behalf all lawful bonds, undertakings and other obligatory instruments of similar nature provided that no single obligation shall exceed \$100,000,000.00, and to bind the Companies thereby as fully and to the same extent as if such instruments were signed by the duly authorized officers of the Companies and all of the acts of said Attorney, pursuant to the authority hereby given and hereby ratified and confirmed.

Surety Bond Number: Bid Bond
 Principal: Herrick Company, Inc.
 Obligee: Lexington-Fayette Urban County Government

The Authority hereby granted is continuous and shall remain in full force and effect until revoked by United Fire & Casualty Company, United Fire & Indemnity Company, and Financial Pacific Insurance Company.

This Power of Attorney has been duly made, executed and delivered pursuant to, and in accordance with, the articles of incorporation, bylaws, and other governing documents of each of the respective Companies, and by authority there in granted and under applicable corporate law.

IN WITNESS WHEREOF, the COMPANIES have each caused these presents to be signed by its officer and its corporate seal to be hereto affixed this 1st day of January, 2026.



By: *Kyanna M. Saylor*
 Kyanna M. Saylor, Vice President of
 United Fire & Casualty Company
 United Fire & Indemnity Company
 Financial Pacific Insurance Company

State of Iowa, County of Linn, ss:

On this 1st day of January, 2026, before me personally came Kyanna M. Saylor to me known, who being by me duly sworn, did depose and say; that she is a Vice President of UNITED FIRE & CASUALTY COMPANY, a Vice President of UNITED FIRE & INDEMNITY COMPANY, and a Vice President of FINANCIAL PACIFIC INSURANCE COMPANY, the corporations described in and which executed the above instrument; that she knows the seal of said corporations; that the seals affixed to the said instrument is such corporate seals; that these seals were so affixed pursuant to authority given by the Boards of Directors of said corporations and that she signed her name thereto pursuant to like authority, and acknowledges same to be the act and deed of said corporations.



Notary Public: *Judith A. Jones*
 My commission expires: 04/23/2027

I, Mary A. Bertsch, do hereby certify that I have compared the foregoing copy of the Power of Attorney and affidavit, and that the said Power of Attorney has not been revoked and is now in full force and effect.

In testimony whereof I have hereunto subscribed my name and affixed the corporate seal of each said Company this 15th day of April, 2026.



By: *Mary A. Bertsch*
 Mary A. Bertsch, Assistant Secretary of
 United Fire & Casualty Company
 United Fire & Indemnity Company
 Financial Pacific Insurance Company

MAYOR LINDA GORTON



LEXINGTON

TODD SLATIN
DIRECTOR
CENTRAL PURCHASING

ADDENDUM #1

Bid Number: **#42-2026**

Date: March 25, 2026

Subject: Clarifier Mechanisms Coatings

Address inquiries to:
Brian Marcum
brianm@lexingtonky.gov
(859) 258-3320

TO ALL PROSPECTIVE SUBMITTERS:

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

1. Replaced drawings corrupted file with new drawings file.

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: HERRICK COMPANY, INC.

ADDRESS: 780 ENTERPRISE DR / LEXINGTON, KY 40510

SIGNATURE OF BIDDER: 



CODY M. LOKITS, PRESIDENT

MAYOR LINDA GORTON



LEXINGTON

TODD SLATIN
DIRECTOR
CENTRAL PURCHASING

Addendum No. 2

Bid Number: 42-2026

Date: April 1, 2026

Subject: Town Branch and West Hickman WWTPs Final Clarifier Coating

Address inquiries to:
Brian Marcum
brianm@lexingtonky.gov
(859) 258-3320

TO ALL PROSPECTIVE SUBMITTERS:

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

	Questions	Answers
1	Will LFUCG provide contact information for the Ovivo field service representative who has visited the site and is familiar with the project?	Peter Lorenz Product Group Manager, Sustained Equipment Solutions, Ovivo USA, LLC 414-731-9475 (mobile) peter.lorenz@ovivowater.com 2300 Greenhill Drive, #100 Round Rock, TX 78664
2	Will LFUCG provide the sign-in sheet from the pre-bid meeting?	Yes, sign-in sheet attached

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 submittal.

COMPANY NAME: HERRICK COMPANY, INC

ADDRESS: 780 ENTERPRISE DR, LEXINGTON, KY 40510

SIGNATURE OF BIDDER:

COREY M. LOKITS, PRESIDENT



MAYOR LINDA GORTON



LEXINGTON

TODD SLATIN
DIRECTOR
CENTRAL PURCHASING

Addendum No. 3

Bid Number: 42-2026

Date: April 1, 2026

Subject: Town Branch and West Hickman WWTPs Final Clarifier Coating

Address inquiries to:
Brian Marcum
brianm@lexingtonky.gov
(859) 258-3320

TO ALL PROSPECTIVE SUBMITTERS:

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

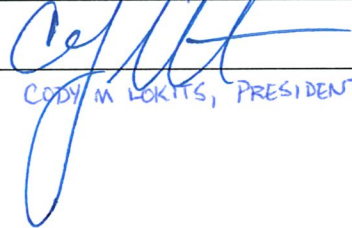
Prebid sign in sheet attached.

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 submittal.

COMPANY NAME: HERRICK COMPANY, INC.

ADDRESS: 780 ENTERPRISE DR, LEXINGTON, KY 40510

SIGNATURE OF BIDDER: 
CODY M. LOKITS, PRESIDENT



Ryan Gabbard

From: Ryan Gabbard
Sent: Tuesday, March 31, 2026 7:15 AM
To: tylor.crawley@ky.gov
Subject: LEXINGTON WWTPs CLARIFIER COATINGS - INVITATION TO BID

Tylor Crawley - Office for Civil Rights & Small Bus. Development - KYTC,

Herrick Company, Inc. will be bidding as a General Contractor on the following Project:

LFUCG WH & TB WWTPs FINAL CLARIFIER COATING

BID DATE: Wednesday, April 15, 2026

BID TIME: 2:00 PM EDT

We invite your firm to provide a proposal on any portion of the project as described below, per the Plans & Specifications:

Town Branch Wastewater Treatment Plant (TBWWTP) and West Hickman Wastewater Treatment Plant (WHWWTP) each have eight final clarifiers. All eight final clarifiers at TBWWTP have Ovivo mechanisms, and six of the eight at WHWWTP have Ovivo mechanisms. The Ovivo mechanisms and components are primarily hot-dip galvanized and were installed between 2013 and 2015. The galvanized coating has degraded and left the underlying steel unprotected. The intent of this project is to apply a protective coating to the Ovivo final clarifier equipment and replace equipment that is degraded beyond repair. Concrete effluent troughs will also be coated for algae control. Contractor shall perform a condition assessment to determine if additional equipment is in need of replacement. At TBWWTP, all final clarifiers are 115 feet in diameter. At WHWWTP, Final Clarifiers No. 1-4 are 115 feet in diameter, and Final Clarifiers No. 5 and 6 are 125 feet in diameter. Effluent weirs (with hardware and accessories) in all eight final clarifiers at TBWWTP require replacement. Scum baffle brackets require replacement in TBWWTP Final Clarifiers No. 1-4. No weirs or scum baffle brackets will be replaced at WHWWTP. All work as shown on the plans and described in the specifications.

We are seeking proposals on the following scopes of work: (with contact to send scope/quote information):

SCOPE DESCRIPTION	HCI SOLICITOR	EMAIL CONTACT
<i>Coatings</i>	<i>Jonah Donze</i>	<i>jonah@hci96.com</i>
<i>Secondary Clarifiers Weirs/Accessories</i>	<i>Doug Herrick</i>	<i>hci@hci96.com</i>
<i>Clarifier Equipment</i>	<i>Doug Herrick</i>	<i>hci@hci96.com</i>

Electronic bidding documents and job site pictures may be accessed at the following link:

[260415 – LFUCG WH & TB WWTPs FINAL CLARIFIER COATING](#)

Disadvantaged, Minority, Woman, and Veteran Owned Businesses are encouraged to bid.

Federal wage rates DO NOT apply to this project. American Iron & Steel (AIS) requirements DO NOT apply to this project.

Please respond to this email if you are interested in providing a proposal, and, if possible, please provide your proposal by **Tuesday, April 14, 2026** for review and consideration. You may send your proposals to cody@hci96.com, ryan@hci96.com, luke@hci96.com, reno@hci96.com, jonah@hci.com, or hci@hci96.com.

Thank you,

Ryan P. Gabbard
Project Manager

Herrick Company, Inc.
780 Enterprise Dr.
Lexington, KY 40510
Office: 502-839-3484
Cell: 502-682-6903



Ryan Gabbard

From: Ryan Gabbard
Sent: Tuesday, March 31, 2026 7:15 AM
To: smiller@lexingtonky.gov
Subject: LEXINGTON WWTPs CLARIFIER COATINGS - INVITATION TO BID

Sherita Miller - Minority & Business Enterprise Liaison - LFUCG,

Herrick Company, Inc. will be bidding as a General Contractor on the following Project:

LFUCG WH & TB WWTPs FINAL CLARIFIER COATING

BID DATE: Wednesday, April 15, 2026

BID TIME: 2:00 PM EDT

We invite your firm to provide a proposal on any portion of the project as described below, per the Plans & Specifications:

Town Branch Wastewater Treatment Plant (TBWWTP) and West Hickman Wastewater Treatment Plant (WHWWTP) each have eight final clarifiers. All eight final clarifiers at TBWWTP have Ovivo mechanisms, and six of the eight at WHWWTP have Ovivo mechanisms. The Ovivo mechanisms and components are primarily hot-dip galvanized and were installed between 2013 and 2015. The galvanized coating has degraded and left the underlying steel unprotected. The intent of this project is to apply a protective coating to the Ovivo final clarifier equipment and replace equipment that is degraded beyond repair. Concrete effluent troughs will also be coated for algae control. Contractor shall perform a condition assessment to determine if additional equipment is in need of replacement. At TBWWTP, all final clarifiers are 115 feet in diameter. At WHWWTP, Final Clarifiers No. 1-4 are 115 feet in diameter, and Final Clarifiers No. 5 and 6 are 125 feet in diameter. Effluent weirs (with hardware and accessories) in all eight final clarifiers at TBWWTP require replacement. Scum baffle brackets require replacement in TBWWTP Final Clarifiers No. 1-4. No weirs or scum baffle brackets will be replaced at WHWWTP. All work as shown on the plans and described in the specifications.

We are seeking proposals on the following scopes of work: (with contact to send scope/quote information):

SCOPE DESCRIPTION	HCI SOLICITOR	EMAIL CONTACT
Coatings	Jonah Donze	jonah@hci96.com
Secondary Clarifiers Weirs/Accessories	Doug Herrick	hci@hci96.com
Clarifier Equipment	Doug Herrick	hci@hci96.com

Electronic bidding documents and job site pictures may be accessed at the following link:

[260415 – LFUCG WH & TB WWTPs FINAL CLARIFIER COATING](#)

Disadvantaged, Minority, Woman, and Veteran Owned Businesses are encouraged to bid.

Federal wage rates DO NOT apply to this project. American Iron & Steel (AIS) requirements DO NOT apply to this project.

Please respond to this email if you are interested in providing a proposal, and, if possible, please provide your proposal by **Tuesday, April 14, 2026** for review and consideration. You may send your proposals to cody@hci96.com, ryan@hci96.com, luke@hci96.com, reno@hci96.com, jonah@hci.com, or hci@hci96.com.

Thank you,

Ryan P. Gabbard
Project Manager

Herrick Company, Inc.
780 Enterprise Dr.
Lexington, KY 40510
Office: 502-839-3484
Cell: 502-682-6903



Ryan Gabbard

From: Ryan Gabbard
Sent: Tuesday, March 31, 2026 7:15 AM
To: 'matt@mckinneypainting.com'
Subject: LEXINGTON WWTPs CLARIFIER COATINGS - INVITATION TO BID

Matt Gamlin - Mckinney Painting,

Herrick Company, Inc. will be bidding as a General Contractor on the following Project:

LFUCG WH & TB WWTPs FINAL CLARIFIER COATING

BID DATE: Wednesday, April 15, 2026

BID TIME: 2:00 PM EDT

We invite your firm to provide a proposal on any portion of the project as described below, per the Plans & Specifications:

Town Branch Wastewater Treatment Plant (TBWWTP) and West Hickman Wastewater Treatment Plant (WHWWTP) each have eight final clarifiers. All eight final clarifiers at TBWWTP have Ovivo mechanisms, and six of the eight at WHWWTP have Ovivo mechanisms. The Ovivo mechanisms and components are primarily hot-dip galvanized and were installed between 2013 and 2015. The galvanized coating has degraded and left the underlying steel unprotected. The intent of this project is to apply a protective coating to the Ovivo final clarifier equipment and replace equipment that is degraded beyond repair. Concrete effluent troughs will also be coated for algae control. Contractor shall perform a condition assessment to determine if additional equipment is in need of replacement. At TBWWTP, all final clarifiers are 115 feet in diameter. At WHWWTP, Final Clarifiers No. 1-4 are 115 feet in diameter, and Final Clarifiers No. 5 and 6 are 125 feet in diameter. Effluent weirs (with hardware and accessories) in all eight final clarifiers at TBWWTP require replacement. Scum baffle brackets require replacement in TBWWTP Final Clarifiers No. 1-4. No weirs or scum baffle brackets will be replaced at WHWWTP. All work as shown on the plans and described in the specifications.

We are seeking proposals on the following scopes of work: (with contact to send scope/quote information):

SCOPE DESCRIPTION	HCI SOLICITOR	EMAIL CONTACT
Coatings	Jonah Donze	jonah@hci96.com
Secondary Clarifiers Weirs/Accessories	Doug Herrick	hci@hci96.com
Clarifier Equipment	Doug Herrick	hci@hci96.com

Electronic bidding documents and job site pictures may be accessed at the following link:

[260415 – LFUCG WH & TB WWTPs FINAL CLARIFIER COATING](#)

Disadvantaged, Minority, Woman, and Veteran Owned Businesses are encouraged to bid.

Federal wage rates DO NOT apply to this project. American Iron & Steel (AIS) requirements DO NOT apply to this project.

Please respond to this email if you are interested in providing a proposal, and, if possible, please provide your proposal by **Tuesday, April 14, 2026** for review and consideration. You may send your proposals to cody@hci96.com, ryan@hci96.com, luke@hci96.com, reno@hci96.com, jonah@hci.com, or hci@hci96.com.

Thank you,

Ryan P. Gabbard
Project Manager

Herrick Company, Inc.
780 Enterprise Dr.
Lexington, KY 40510
Office: 502-839-3484
Cell: 502-682-6903



Ryan Gabbard

From: Sherita Miller <smiller@lexingtonky.gov>
Sent: Tuesday, March 31, 2026 11:05 AM
To: Ryan Gabbard
Subject: RE: LEXINGTON WWTPs CLARIFIER COATINGS - INVITATION TO BID
Attachments: LFUCG Certified List_February 2026_.xlsx

Good morning Ryan,

Attached is a copy of LFUCG's certified list. This is a list of businesses with various specialties for outreach.

Thanks, Sherita

Sherita Miller, MPA, CPSD
Minority Business Enterprise Liaison
Division of Procurement

859.258.3323 office
lexingtonky.gov



From: Ryan Gabbard <ryan@hci96.com>
Sent: Tuesday, March 31, 2026 7:15 AM
To: Sherita Miller <smiller@lexingtonky.gov>
Subject: LEXINGTON WWTPs CLARIFIER COATINGS - INVITATION TO BID

[EXTERNAL] Use caution before clicking links and/or opening attachments.

Sherita Miller - Minority & Business Enterprise Liaison - LFUCG,

Herrick Company, Inc. will be bidding as a General Contractor on the following Project:

LFUCG WH & TB WWTPs FINAL CLARIFIER COATING

BID DATE: Wednesday, April 15, 2026
BID TIME: 2:00 PM EDT

We invite your firm to provide a proposal on any portion of the project as described below, per the Plans & Specifications:

Town Branch Wastewater Treatment Plant (TBWWTP) and West Hickman Wastewater Treatment Plant (WHWWTP) each have eight final clarifiers. All eight final clarifiers at TBWWTP have Ovivo mechanisms, and six of the eight at WHWWTP have Ovivo mechanisms. The Ovivo mechanisms and components are primarily hot-dip galvanized and were installed between 2013 and 2015. The galvanized coating has degraded and left the underlying steel unprotected. The intent of this project is to apply a protective coating to the Ovivo final clarifier equipment and replace equipment that is degraded beyond repair. Concrete effluent troughs will also be coated for algae control. Contractor shall perform a condition assessment to determine if additional equipment is in need of replacement. At TBWWTP, all final clarifiers are 115 feet in diameter. At WHWWTP,

Final Clarifiers No. 1-4 are 115 feet in diameter, and Final Clarifiers No. 5 and 6 are 125 feet in diameter. Effluent weirs (with hardware and accessories) in all eight final clarifiers at TBWWTP require replacement. Scum baffle brackets require replacement in TBWWTP Final Clarifiers No. 1-4. No weirs or scum baffle brackets will be replaced at WHWWTP. All work as shown on the plans and described in the specifications.

We are seeking proposals on the following scopes of work: (with contact to send scope/quote information):

SCOPE DESCRIPTION	HCI SOLICITOR	EMAIL CONTACT
Coatings	Jonah Donze	jonah@hci96.com
Secondary Clarifiers Weirs/Accessories	Doug Herrick	hci@hci96.com
Clarifier Equipment	Doug Herrick	hci@hci96.com

Electronic bidding documents and job site pictures may be accessed at the following link:

[260415 – LFUCG WH & TB WWTPs FINAL CLARIFIER COATING](#)

Disadvantaged, Minority, Woman, and Veteran Owned Businesses are encouraged to bid.

Federal wage rates DO NOT apply to this project. American Iron & Steel (AIS) requirements DO NOT apply to this project.

Please respond to this email if you are interested in providing a proposal, and, if possible, please provide your proposal by **Tuesday, April 14, 2026** for review and consideration. You may send your proposals to cody@hci96.com, ryan@hci96.com, luke@hci96.com, reno@hci96.com, jonah@hci.com, or hci@hci96.com.

Thank you,

Ryan P. Gabbard
Project Manager

Herrick Company, Inc.
780 Enterprise Dr.
Lexington, KY 40510
Office: 502-839-3484
Cell: 502-682-6903



McKinney Painting, Inc.

104 Kuhlman Drive
Versailles KY 40383
(859) 873-6424 Phone
(859) 873-1312 Fax

Woman's Business Enterprise

Email: matt@mckinneypainting.com

www.mckinneypainting.com

Scope Of Work and Pricing

Please Review Scope Thoroughly, Call With Any Questions/Concerns

Project: Town Branch and West Hickman Secondary Clarifier Coating

Date: April 15, 2026

No. Of Addendums Acknowledged: 3

Division of Work Section : 09 96 00 Effluent Trough System

Brand of Materials : Tnemec

Area and Included Surfaces List:

Mobilize Equipment and Manpower to Each Site

Install Tnemec Series 218 Surfacer

Install Tnemec Series G435 Perma Glaze

Install Tnemec Series 690 Siloxilon

Touch up and clean up

Mobilize off each site

Town Branch:

-3,300 SF each tank of surface to be coated in concrete troughs. 9' X 362'.

-725 LF of ¼" X ¼" saw cut each tank.

West Hickman:

-2,550 SF each tank of surface to be coated in the concrete troughs. 7' X 362'.

-725 LF of ¼" X ¼" saw cut each tank.

Labor, Equipment and Materials - \$

Town Branch - \$66,000.00 (Each Clarifier)

West Hickman - \$51,000.00 (Each Clarifier)

Alternates: None

Exclusions: Removal of Surface Concrete or Mud from other trades, dewatering of any structures and any items not listed on detailed scope above.

Clarifications: No containment or heating included.

Vice President: Matt Gamlin, ext. 129.

Please feel free to call with any questions or concerns. My cellular number is (859) 983-4515.

**HERRICK COMPANY, INC.
POLICY 101
EQUAL EMPLOYMENT OPPORTUNITY & AFFIRMATIVE ACTION**

In accordance with the United States of America's Title VII of the Civil Rights Act of 1964 and other Acts, it is the policy of Herrick Company, Inc. and any/all Parent or Subsidiary Corporations to take affirmative action in affording equal employment opportunity to all qualified persons without regard to race, color, religion, sex, age, disability, veteran status or national origin.

NONDISCRIMINATION:

It is the policy of the Company to comply with applicable state and federal laws prohibiting discrimination based on race, sex, age (defined in the Age Discrimination in Employment Act of 1967, as amended), handicap or disability (as defined in the Americans with Disabilities Act or other applicable law), religion, ancestry, color, or national origin.

SEXUAL HARASSMENT:

It is the policy of the Company to maintain a work atmosphere that is free of sexual harassment. Sexual harassment is defined as any unwelcome sexual advance or conduct of a sexual nature when such advance or conduct is a term or condition of an employment or promotion decision, substantially interferes with an individual's performance, or creates an intimidating, hostile, or offensive work environment. No supervisor or manager shall directly or indirectly condition any term and condition of employment, or make any decision with respect to an employee's tenure of employment or employment opportunities, based on that employee's acceptance or rejection of any sexual advance or conduct.

In addition, sexual harassment by any employee of any other employee is prohibited. Each employee has a responsibility to maintain a work atmosphere and environment free from sexual harassment. Any employee who engages in any form of sexual harassment will be subject to appropriate disciplinary action. Any claims of sexual harassment will be thoroughly investigated, and if confirmed, prompt disciplinary action will be taken.

AFFIRMATIVE ACTION PRACTICES:

The Company 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. The Company will hire, promote, demote, fire, and set other terms of employment based solely on an employee's ability and performance on the job. The Company encourages its employees to refer people from minority groups as prospective employees and will state in all solicitations or advertisements for employees or subcontractors that all qualified applicants will receive consideration for employment or services without regard to race, color, religion, sex, age, or national origin. HCI's Affirmative Action Plan is attached hereto and serves as an integral part of this Policy.

It is the policy of this company to comply with all federal, state and local civil rights laws.

The President (EEO Officer) is responsible for coordinating and implementing the Company's equal employment opportunity efforts. All employees, supervisors and managers are, however, required to comply with the Company's equal employment opportunity policy in performing their respective job duties.

HERRICK COMPANY, INC.

BY: 
Cody Lokits, President

DATE: January 1, 2024

NOTE: This policy is included in your Employee Packet.

AFFIRMATIVE ACTION PLAN

ADOPTED BY

HERRICK COMPANY, INC.

AS REQUIRED UNDER SECTION 503 AND EXECUTIVE ORDER 11246

APPROVED BY:



Cody M. Lokits, PE – President

DATE APPROVED: August 17, 2021

Policy Statement on Equal Employment Opportunity for Protected Veterans [41 C.F.R. § 60-300.44(a)]

As the Chief Executive Officer of Herrick Company, Inc., I am committed to the principles of affirmative action and equal employment opportunity for protected veterans. Therefore, it is the policy of HERRICK COMPANY, INC. not to discriminate because of protected veteran status and to take affirmative action to employ and advance in employment qualified protected veterans at all levels within the company. HERRICK COMPANY, INC. will ensure that all employment actions, including but not limited to recruitment, hiring, selection for training, promotion, transfer, demotion, layoff, recall, termination, rates of pay or other forms of compensation, will be administered without regard to status as a protected veteran. HERRICK COMPANY, INC. will also provide qualified applicants and employees who are disabled veterans with needed reasonable accommodations, as required by law, and will ensure that all employment decisions are based only on valid job requirements. HERRICK COMPANY, INC. prohibits harassment of employees and applicants because they are protected veterans and will conduct training to try to prevent any harassment or discrimination before it occurs. HERRICK COMPANY, INC. also prohibits retaliation against employees and applicants for filing a complaint, opposing any discriminatory act or practice, assisting or participating in any manner in a review, investigation, or hearing or otherwise seeking to obtain their legal rights under any Federal, State, or local EEO law requiring equal employment opportunity for protected veterans. Prohibited retaliation includes, but is not limited to, harassment, intimidation, threats, coercion or other adverse actions that might dissuade someone from asserting their rights. In furtherance of HERRICK COMPANY, INC.'s policy regarding affirmative action and equal employment opportunity, HERRICK COMPANY, INC. has developed a written Affirmative Action Program (AAP) that sets forth the policies, practices and procedures that HERRICK COMPANY, INC. is committed to in order to ensure that its policy of nondiscrimination and affirmative action for qualified protected veterans is accomplished. This AAP is available for inspection by any employee or applicant for employment upon request, during normal business hours, in HERRICK COMPANY, INC.'s Administrative Department office located at 2480 Woodfield Circle, Lexington, KY. Interested persons should contact the Human Resources Office at 859-699-2961. for assistance. In order to ensure employment opportunity and affirmative action throughout all levels of HERRICK COMPANY, INC., I have designated HERRICK COMPANY, INC.'s Director of Human Resources, Kayla Lokits, as the Equal Employment Opportunity (EEO) Officer for HERRICK COMPANY, INC.. The EEO Officer will establish and maintain an internal audit and reporting system that will track and measure the effectiveness of HERRICK COMPANY, INC.'s AAP and show where additional action is needed to meet HERRICK COMPANY, INC.'s objectives.

Policy Statement on Equal Employment Opportunity for Individuals with Disabilities [41 CFR 60-741.44(a)]

As the Chief Executive Officer of HERRICK COMPANY, INC., I am committed to the principles of affirmative action and equal employment opportunity for individuals with disabilities. Therefore, it is the policy of HERRICK COMPANY, INC. not to discriminate on the basis of disability and to take affirmative action to employ and advance in employment qualified individuals with disabilities at all levels within the company. HERRICK COMPANY, INC. will ensure that all employment actions, including but not limited to recruitment, hiring, selection for training, promotion, transfer, demotion, layoff, recall, termination, rates of pay or other forms of compensation, will be administered without regard to disability. HERRICK COMPANY, INC. will also provide qualified applicants and employees with disabilities with needed reasonable accommodations, as required by law, and will ensure that all employment decisions are based only on valid job requirements. HERRICK COMPANY, INC. prohibits harassment of employees and applicants on the basis of disability and will conduct training to try to prevent any harassment or discrimination before it occurs. HERRICK COMPANY, INC. also prohibits retaliation or punishment against employees and applicants for filing a complaint, opposing any discriminatory act or practice, assisting or participating in any manner in a review, investigation, or hearing regarding HERRICK COMPANY, INC.'s employment practices, or otherwise seeking to obtain their legal rights under any Federal, State, or local EEO law requiring equal employment opportunity for individuals with disabilities. Prohibited retaliation includes, but is not limited to harassment, intimidation, threats, coercion or other adverse actions that might dissuade someone from asserting their rights. In furtherance of HERRICK COMPANY, INC.'s policy regarding affirmative action and equal employment opportunity, HERRICK COMPANY, INC. has developed a written Affirmative Action Program (AAP) that sets forth the policies, practices and procedures that HERRICK COMPANY, INC. is committed to in order to ensure that its policy of nondiscrimination and affirmative action for qualified individuals with disabilities is accomplished. This AAP is available for inspection by any employee or applicant for employment upon request, during normal business hours, in HERRICK COMPANY, INC.'s Administrative Department office located at 2480 Woodfield Circle, Lexington, KY. Interested persons should contact the Human Resources Office at 859-699-2961 for assistance. In order to ensure equal employment opportunity and affirmative action throughout all levels of HERRICK COMPANY, INC., I have designated HERRICK COMPANY, INC.'s Director of Human Resources, Kayla Lokits, as the Equal Employment Opportunity (EEO) Officer for HERRICK COMPANY, INC.. The EEO Officer will establish and maintain an internal audit and reporting system that will track and measure the effectiveness of HERRICK COMPANY, INC.'s AAP and show where additional action is needed to meet HERRICK COMPANY, INC.'s objectives.

Guidelines on Discrimination Because of Religion or National Origin

It is the policy of HERRICK COMPANY, INC., to take affirmative action to insure that applicants are employed, without regard to their religion or national origin. Such action includes, but is not limited to the following employment practices: hiring, promotion, demotion, transfer, recruitment or recruitment advertising, layoff, termination, rates of pay or other forms of compensation and selection for training. Employment practices have been reviewed to determine whether members of the various religions and/or ethnic groups are receiving fair consideration for job opportunities. Attention has been directed toward executive and middle management levels.

1. The policy concerning HERRICK COMPANY, INC.'s obligation to provide equal employment opportunity without regard to religion or national origin is communicated to all employees via employee handbooks, policy statement and the Affirmative Action Program.
2. Internal procedures have been developed in this program to insure that HERRICK COMPANY, INC.'s obligation to provide equal employment opportunity without regard to religion or national origin is being fully implemented.
3. Employees are informed at least annually of HERRICK COMPANY, INC.'s commitment to equal employment opportunity for all persons, without regard to religion or national origin.
4. Recruiting sources have been informed of our commitment to provide equal employment opportunity without regard to religion or national origin.
5. Employment records of all employees are reviewed to determine the availability of promotable and transferable employees.
6. Contacts with religious and ethnic organizations will be made for purposes of advice, education, technical assistance and referral of potential employees as necessary to accomplish the purpose of this program.
7. HERRICK COMPANY, INC. engages in recruitment activities at educational institutions with substantial enrollments of students from various ethnic and religious groups.
8. Ethnic and religious media may be used for employment advertising.

Reasonable accommodations to the religious observances and practices of employees or prospective employees will be made, unless doing so would result in undue hardship. In determining whether undue hardship exists, factors such as the cost to the company and the impact on the rights of other employees would be considered.

SECTION I - INTRODUCTION

Herrick Company, Inc. enters into this Affirmative Action Plan (AAP) with good faith for the purpose of promoting equality of opportunity into its corporate structure. Herrick Company, Inc. seeks to increase the recruitment of qualified women and/or minorities for possible selection into the company in the event women and/or minorities are underutilized in the company. Herrick Company, Inc. hereby adopts the following nondiscriminatory pledge and the AAP.

Any changes made to the program by Herrick Company, Inc. will become part of this written AAP.

SECTION II - EQUAL OPPORTUNITY PLEDGE

Herrick Company, Inc. commits to the following Equal Opportunity Pledge:

“The recruitment, selection, employment, and training of employees, shall be without discrimination because of race, color, religion, national origin, or sex. Herrick Company, Inc. will take affirmative action to provide equal opportunity in employment and will operate the company as required under Title 29 of the Code of Federal Regulations, part 30.”

SECTION III - UTILIZATION AND ANALYSIS, GOALS AND TIMETABLES

In order to allow positive recruitment and full utilization of minorities and women in the company, Herrick Company, Inc. pledges to identify outreach efforts under Section IV which will be undertaken. The purpose of the analysis is to determine the minority and women’s labor force in Herrick Company, Inc.’s labor market area. Once the labor force is determined, Herrick Company, Inc. can determine if deficiencies exist in terms of underutilization of minorities and/or women in the occupations registered with the Registration Agency. (See attached Affirmative Action Plan Workforce Analysis Worksheet)

SECTION IV - OUTREACH AND POSITIVE RECRUITMENT

Herrick Company, Inc.’s AAP includes the following “checked” outreach and positive recruitment efforts that would reasonably be expected to increase minority and women’s participation in the company by expanding the opportunity of minorities and women to become eligible for employment selection. **Once those efforts have been checked, Herrick Company, Inc. will set forth the specific steps they intend to take under each identified effort.** Herrick Company, Inc. will identify **a significant number of activities** in order to enable it to meet its obligation under Title 29, CFR part 30.4(c).

A. An announcement of specific employment openings must be disseminated thirty (30) days in advance of the earliest date for application at each interval to the following agencies/organizations:

- Registration Agency
- Women's Organizations/Centers
- Local Schools
- Employment Service Centers
- One Stop Centers
- Vocational Education Schools
- Other Organizations/Centers (which can effectively reach minorities and women)
- Newspapers (which are circulated in the minority community and among women)

The announcement will include the nature of the job opening, requirements for the role, availability of opportunities, sources of applications, and Herrick Company, Inc.'s equal opportunity policy. The period for accepting applications as established by Herrick Company, Inc. is **30 days**.

B. Participation in annual workshops conducted by employment service agencies for the purpose of familiarizing school, employment service and other appropriate personnel with the company and current opportunities.

C. Cooperation with school boards and vocational educational systems to develop programs for preparing students to meet the standards and criteria required to qualify for entry into the company.

D. Internal communication of Herrick Company, Inc.'s equal opportunity policy should be conducted in such a manner to foster understanding, acceptance, and support among Herrick Company, Inc.'s various officers, supervisors, employees, and members, and to encourage such persons to take the necessary action to aid in meeting its obligation under Title 29, CFR part 30.

E. Engaging in programs such as outreach for the positive recruitment and preparation of potential applicants for employment opportunities; where appropriate and feasible, such programs will provide for pre-testing experience and training. In initiating and conducting these programs, Herrick Company, Inc. may be required to work with other employers and appropriate community organizations. Herrick Company, Inc. will also initiate programs to prepare women and encourage women to enter traditionally male programs.

- F. Encouraging the establishment and utilization of programs of apprenticeship, preparatory trade training, or others designed to afford related work experience or prepare candidates for employment opportunities. Herrick Company, Inc. will make appropriate provisions in its AAP to assure that those who complete such programs are afforded full and equal opportunity for admission into the company.
 - G. Utilizing journeyworkers to assist in the implementation of affirmative action in the company.
 - H. Granting advance standing or credit on the basis of previously acquired experience, training, skills, or aptitude for all applicants equally.
 - I. Other appropriate action to ensure that the recruitment, selection, employment, and training of apprentices during their apprenticeship will be without discrimination because of race, color, religion, national origin, or sex (e.g., general publication of apprenticeship opportunities and advantages in advertisements, industry reports, articles, etc., use of present minority and women apprentices and journeyworkers as recruiters; career counseling; development of reasonable procedures to ensure employment opportunity, including reporting systems, on-site reviews, briefing sessions).
-

SECTION V - ANNUAL REVIEW OF AFFIRMATIVE ACTION PLAN

Herrick Company, Inc. will make an annual review of its current AAP and its overall effectiveness and institute any revisions or modifications warranted. The review will analyze (independently and collectively) the affirmative action steps taken by Herrick Company, Inc. for evaluating the positive impact, as well as the adverse impact in the areas of outreach and recruitment, selection, employment, and training. They will work diligently to identify the cause and effect that result from their affirmative action measures. Herrick Company, Inc. will continually monitor these processes in order to identify the need for a new affirmative action effort and/or deletion of ineffective existing activity(ies). Herrick Company, Inc. will continually monitor the participation rates of minorities and women in the company in an effort to identify any type of underutilization. If underutilization exists, corrective action will be immediately implemented. The goals and timetables also will be reviewed periodically as determined by corporate management and updated where necessary.

SECTION VI - OFFICIAL ADOPTION

Herrick Company, Inc. hereby officially adopts this Affirmative Action Plan on this 17th day of August 2021.



SIGNATURE OF PRESIDENT

Cody M. Lokits, P.E.

PRINTED NAME

SAMPLE WORKFORCE ANALYSIS WORKSHEET FOR EMPLOYMENT OPPORTUNITIES AVAILABLE

A. EMPLOYER INFORMATION

Program Number:	001, Rev. 0	
Name of Employer:	Herrick Company, Inc.	
Address:	2176 Waddy Road	
City/State/Zip Code:	Lawrenceburg, KY 40342	
Contact Person:	Cody Lokits, PE	
Phone Number: 859-699-2961	FAX Number: N/A	
E-Mail Address:	cody@hci96.com	

B. OCCUPATIONAL INFORMATION

Occupational Title: *	
Labor Market Area description:	

C. LABOR MARKET AREA DATA

Total Labor Force in Labor Market Area *		
Number of Women:		% of labor force
Number of Minorities:		% of labor force
Working Age Population in Labor Market Area *		
Number of Women:		% of labor force
Number of Minorities:		% of labor force
Apprentices in Particular Craft in Labor Market Area **		
Number of Women:		% of apprentices
Number of Minorities:		% of apprentices
The General Availability of Minorities and Women with the Present or Potential Capacity for Apprenticeship in Program Sponsor's Labor Market Area. ***		
Number of Women:		
Number of Minorities:		

Resources for obtaining labor market information.

* http://www.census.gov/hhes/www/eoindex/page_c.html

** Data available from Registration Agency.

*** Program Sponsors may use any reasonable method for determining the general availability of minorities and women with the present or potential capacity for apprenticeship, including relying on the data recorded in Section C for "Total Labor Force", "Working Age Population", and "Apprentices in Particular Craft" to propose the entries for "The General Availability of Minorities and Women."

D. EMPLOYERS'S WORKFORCE DATA

E-1 Total Number of Journey/Craft Workers Employed:	2	
Number of Women:	3	10% of work force
Number of Minorities:	0	0% of work force
E-2 Total Percentage of Employees of Applicant Pool (depending on selection method used)		
Numerical percentage of Women employees or women in applicant pool:	0	%
Numerical percentage of Minority employees or minorities in applicant pool:	0	%

E. DETERMINATION OF UTILIZATION

Analysis	Yes	No
Minority Underutilization:		
Female Underutilization:		

F. EMPLOYER'S GOALS:

The program sponsor proposes and agrees to make a good faith effort to attain the goal of selecting 10 % minorities and 10 % women during the next EEO Review cycle. These goals will not be used to discriminate against any qualified applicant on the basis of race, color, religion, national origin or sex.

The number of new employees to be hired during the next year (or selection period) is estimated to be: 30

Instructions for preparing and completing this worksheet

The purpose of this workforce analysis worksheet is to establish a benchmark against which the demographic composition of Herrick Company, Inc.'s company can be compared. Herrick Company, Inc. must separately determine the availability of minorities and women for each occupational title represented by the employment opportunity. In determining availability, Herrick Company, Inc. must consider, at the very least, the factors identified at 29 CFR 30.4(e) in order to determine whether barriers to equal employment opportunity may exist with a particular occupational title.

Part A The Employer information section may be prepared by Herrick Company, Inc. representative or servicing Registration Agency Representative.

Part B Occupational information will be taken from the registered program standards, and may be prepared by Herrick Company, Inc.. A Workforce Analysis Worksheet must be completed for each occupational title identified.

Part C Employers must use the most current and discrete statistical data available in determining availability estimates for the labor market area specified by Herrick Company, Inc. in Part B. Census data is one example of an appropriate source of statistical information. Other sources include data from local job service offices and data from colleges or other training institutions.

For purposes of this section, the term "labor force" is defined to include both those individuals who are employed and those who are unemployed but looking for employment. The term "working age population" means persons ages 15 years and over whether or not they are currently in the labor force or looking for employment.

Part D Herrick Company, Inc. must provide current workforce data as described in Part D. If Herrick Company, Inc. utilizes either Selection Method §30.5(b) (1) or (2), the data in D-2 will be reflective of the "pool" from which selections will be made. If Herrick Company, Inc. utilizes the Selection Method under §30.5(b) (3) or (4), the data in D-2 will be reflective of the current apprentices registered in the program.

Part E Utilizing the data found in Parts C and D, the Herrick Company, Inc. is to determine if minorities and/or women are underutilized and must check the appropriate response.

Part F If the analysis determines that minorities and/or women are underutilized, Herrick Company, Inc., utilizing the resource data found in Parts C and D, will establish goals which are reasonable in consideration of the results which could be expected from its good faith efforts to make its overall affirmative action program successful. Herrick Company's AAP management team will review and assess the proposed goals and if found to be reasonable and attainable, will set this as Herrick Company, Inc.'s goals for minorities and/or women.