

PART III

Invitation to Bid No.

West Hickman WWTP Zone 2 Aeration Improvements

1. FORM OF PROPOSAL

Place: Lexington, Kentucky

Date: FEBRUARY 15, 2017

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

This Proposal Submitted by HERRICK COMPANY, INC.

1385 TRACY RD., LAWRENCEBURG, KY 40342

(Name and Address of Bidding Contractor)

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

To: Lexington-Fayette Urban County Government  
(Hereinafter called "OWNER")  
Office of the Director of Purchasing  
200 East Main Street, 3rd Floor  
Lexington, KY 40507

Gentlemen:

The Bidder, in compliance with your Invitation for Bids for West Hickman WWTP Zone 2 Aeration Improvements 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. The OWNER will issue work orders for work to be performed under this Contract.

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 \$1,000.00 for each consecutive calendar day thereafter.

The Bidder hereby acknowledges receipt of the following addenda:

Addendum No. 1 Date 2-3-17

Addendum No. 2 Date 2-6-17

Addendum No. 3 Date 2-7-17

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 2-15-17

\* 1. A corporation duly organized and doing business under the laws of the State of KY, for whom DONNA S. HERRICK, bearing the official title of C.E.O., 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, DONNA S. HERRICK, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is DONNA S. HERRICK 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 Lexington-Fayette Urban County Government 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 Lexington-Fayette Urban County Government business license, if applicable, prior to award of the contract.
4. Bidder has authorized the Division of Central Purchasing to verify the above-mentioned information with the Division of Revenue and to disclose to the Urban County Council that taxes and/or fees are delinquent or that a business license has not been obtained.
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 Lexington-Fayette Urban County Government 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.

Donna S. Herrick

(Affiant)

STATE OF KENTUCKY

COUNTY OF ANDERSON

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

DONNA S. HERRICK on this the 15<sup>TH</sup> day of FEBRUARY, 2017.

My Commission expires: March 2, 2019

Sabrina K. Galbard

NOTARY PUBLIC, STATE AT LARGE

**4. BID SCHEDULE – SCHEDULE OF VALUES**

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

Form of proposal must include unit bid prices written in words, unit price written in numbers and total amount bid (unit price x quantity) per line item OR bid may be considered non-responsive. In case of price discrepancy, unit bid price written in words will prevail followed by unit price written in numbers then total amount bid per line item.

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

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

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

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

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

The contract, if awarded, will be on the basis of the Base Bid specified in the specifications without consideration of possible substitute or "or equal" items. Substitutes and "or equals" will be evaluated after the award.

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.

**Base Bid**

Item No.	Description w/Unit Bid Price Written in Words	Total Base Bid Amount
1.	Demolition/Installation of aeration grid system for 6 aeration tanks. Base Bid – Xylem Sanitaire Aeration System <u>THREE HUNDRED FIFTYSEVEN THOUSAND, TWO HUNDRED</u> Dollars	\$ <u>357,200</u>
2.	Electrical Demolition/Installation <u>ONE HUNDRED, TWENTY-NINE THOUSAND</u> Dollars	\$ <u>129,000<sup>00</sup></u>
3.	Expansion Joint Demolition/Installation <u>TWENTY-NINE THOUSAND</u> Dollars	\$ <u>29,000<sup>00</sup></u>
4.	Grit Removal for 6 Tanks (this is considered confined space) Price Per Tank <u>2,700.00</u> , Hourly Rate <u>225.00</u>  Total for 6 Tanks <u>SIXTEEN THOUSAND, TWO HUNDRED</u> Dollars	\$ <u>16,200<sup>00</sup></u>

BASE BID TOTAL OF ALL BID PRICES FOR West Hickman WWTP Zone 2 Aeration Improvements (Items 1 through 3) in words and figures. In case of discrepancy, the amount shown in words will govern.

**Total Base Bid Amount:** FIVE HUNDRED, THIRTY-ONE THOUSAND, FOUR HUNDRED  
 \_\_\_\_\_ (\$ 531,400 ).

**Alternate Bid**

Item No.	Description w/Unit Bid Price Written in Words	Total Alternate Bid Amount
1.	Demolition/Installation of aeration grid system for 6 aeration tanks. Alternate Bid <u>THREE HUNDRED THIRTY THOUSAND, TWO HUNDRED</u> Dollars	\$ <u>330,200</u>
2.	Electrical Demolition/Installation <u>ONE HUNDRED, TWENTY NINE THOUSAND</u> Dollars	\$ <u>129,000</u>
3.	Expansion Joint Demolition/Installation <u>TWENTY-NINE THOUSAND</u> Dollars	\$ <u>29,000</u>
4.	Grit Removal for 6 Tanks (this is considered confined space) Price Per Tank <u>2,700.00</u> , Hourly Rate <u>225.00</u> Total for 6 Tanks <u>SIXTEEN THOUSAND, TWO HUNDRED</u> Dollars	\$ <u>16,200</u>

ALTERNATE ADD/DEDUCT FOR West Hickman WWTP Zone 2 Aeration Improvements. In case of discrepancy, the amount shown in words will govern.

ALTERNATE - STATE EQUIPMENT MANUFACTURER EDI

Total Alternate Bid Amount: FIVE HUNDRED FOUR THOUSAND,  
FOUR HUNDRED (\$ 504,400<sup>00</sup>).

The bid will be awarded on the BASE BID AMOUNT - Xylem Sanitaire Aeration System. The Alternate identified will not be considered/evaluated until after the award.

Submitted by:

HERRICK COMPANY, INC.

*Firm*

1385 TRACY RD

*Address*

LAWRENCEBURG, KY 40342

*City, State & Zip*

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

Donna S. Herrick

**CEO**

***Signature of Authorized Company Representative – Title***

DONNA S. HERRICK

*Representative/s Name (Typed or Printed)*

502-839-3484

*Area Code – Phone – Extension*

502-839-0939

*Fax #*

HCI@DCR.NET

*E-Mail Address*

**OFFICIAL ADDRESS:**

HERRICK COMPANY, INC

1385 TRACY ROAD

LAWRENCEBURG, KY 40342

\_\_\_\_\_  
*(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: LAWRENCEBURG, KY
- 3. When Organized: 1996
- 4. Where Incorporated: KENTUCKY
- 5. Construction Plant and Equipment Available for this Project:  
- SEE ATTACHED LIST -  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(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 Central Purchasing 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. DBE Participation on current bonded projects under contract:

<u>SUBCONTRACTORS (LIST)</u>	<u>PROJECT (SPECIFIC TYPE)</u>	<u>DBE</u>	<u>% of WORK</u>
<u>McKinney Painting</u>	<u>WTP-Wellington</u>	<u>WBE</u>	<u>1%</u>
<u>McKinney Painting</u>	<u>WWTP- Frankfort</u>	<u>WBE</u>	<u>.01%</u>
<u>McKinney Painting</u>	<u>WWTP- Hardinsburg</u>	<u>WBE</u>	<u>2%</u>
<u>Samson Steel</u>	<u>WWTP- Hardinsburg</u>	<u>(non-certified) WBE</u>	<u>Based on quantity used</u>
<u>MATERIALS:</u>	<u>_____</u>	<u>_____</u>	<u>_____</u>
<u>M+M Mfg., Inc.</u>	<u>WWTP- Hardinsburg</u>	<u>WBE</u>	<u>5%</u>

(USE ADDITIONAL SHEETS IF NECESSARY)

12. We acknowledge that, if we are the apparent low Bidder, we may be required to submit to the OWNER within 7 calendar days following the Bid Opening, a sworn statement regarding all current work on hand and under contract, and a statement on the OWNER'S form of the experience of our officers, office management and field management personnel. Additionally, if requested by the OWNER, we will within 7 days following the request submit audited financial statements and loss history for insurance claims for the 3 most recent years (or a lesser period stipulated by the OWNER).

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 of the Lexington-Fayette Urban County Government. Failure to submit this list completely filled out may be cause for rejection of bid.

<u>BRANCH OF WORK - LIST EACH MAJOR ITEM</u> Such as: Grading, bituminous paving, concrete, seeding and protection, construction staking, etc.	<u>SUBCONTRACTOR</u>	<u>DBE</u> <u>Yes/No</u>	% of Work
1. <u>ELECTRICAL</u>	Name: <u>FAVST ELECTRIC</u> Address: <u>LEXINGTON, KY</u>	<u>NO</u>	<u>24% +/-</u>
2. <u>VAC TRUCK</u>	Name: <u>PECCO, INC.</u> Address: <u>NICHOLASVILLE, KY</u>	<u>NO</u>	<u>1% +/-</u>
3. _____	Name: _____ Address: _____	_____	_____
4. _____	Name: _____ Address: _____	_____	_____
5. _____	Name: _____ Address: _____	_____	_____
6. _____	Name: _____ Address: _____	_____	_____
7. _____	Name: _____ Address: _____	_____	_____

(Attach additional sheet(s) if necessary.)

7. **LEXINGTON FAYETTE URBAN COUNTY GOVERNMENT MWDBE PARTICIPATION GOALS, FORMS, AND GOOD FAITH EFFORTS**

A. GENERAL

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

B. PROCEDURES

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

C. DEFINITIONS

- 1) A Minority-Owned Business Enterprise (MBE) is defined as a business which is certified as being at least 51% owned and operated by persons of African American, Hispanic, Asian, Pacific Islander, American Indian or Alaskan Native Heritage.

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

#### D. OBLIGATION OF BIDDER FOR GOOD FAITH EFFORTS

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

#### E. DOCUMENTATION REQUIRED FOR GOOD FAITH EFFORTS

Bidders reaching the Goal are required to submit only the MWDBE Participation Form." The form must be fully completed including names and telephone number of participating MWDBE firm(s); type of work to be performed; estimated value of the contract and value expressed as a percentage of the total Lump Sum Bid Price. The form must be signed and dated, and is to be submitted with the bid.

- 2) Bidders not reaching the Goal must submit the "MWDBE Participation Form", the "Quote Summary Form" and a written statement documenting their Good Faith Effort to do so. If bid includes no MWDBE and/or Veteran participation, bidder shall enter "None" on the subcontractor / supplier form). In addition, the bidder must submit written proof of their Good Faith Efforts to meet the Participation Goal:

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

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

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

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

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

p. Made efforts to expand the search for MWBE firms and Veteran-Owned businesses beyond the usual geographic boundaries.

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

**Note: Failure to submit any of the documentation requested in this section may be cause for rejection of bid. Bidders may include any other documentation deemed relevant to this requirement which is subject to review by the MBE Liaison. Documentation of Good Faith Efforts must be submitted with the Bid, if the participation Goal is not met.**



## MINORITY BUSINESS ENTERPRISE PROGRAM

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

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

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

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

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

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

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



*"A resolution adopting a three percent (3%) minimum goal for certified veteran-owned small businesses and service disabled veteran-owned businesses for certain of those Lexington-Fayette Urban County contracts related to construction for professional services, and authorizing the Division of Purchasing to adopt and implement guidelines and/or policies consistent with the provisions and intent of this resolution by no later than July 1, 2015."*

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

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



**LFUCG MWDBE SUBSTITUTION FORM**

Bid/RFP/Quote Reference # 19-2017

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

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

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

HERRICK COMPANY, INC  
 Company  
2-15-17  
 Date

Donna S. Herrick  
 Company Representative  
CEO  
 Title



**MWDBE QUOTE SUMMARY FORM**

Bid/RFP/Quote Reference # 19-2017

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

Company Name <u>HERRICK COMPANY, INC</u>	Contact Person <u>Donna S Herrick</u>
Address/Phone/Email <u>1305 Tracy Road</u> <u>502-839-3484</u> <u>Lawrenceburg, KY</u> <u>hcd@dcn.net</u>	Bid Package / Bid Date <u>2-15-17</u>

MWDBE Company Address	Contact Person	Contact Information (work phone, Email, cell)	Date Contacted	Services to be performed	Method of Communication (email, phone meeting, ad, event etc)	Total dollars \$\$ Do Not Leave Blank (Attach Documentation)	MBE * AA HA AS NA Female	Veteran
<u>TEM Group, Inc</u> <u>3500 Rashford Ave</u> <u>Louisville, KY</u>	<u>Thomas Clark, Sr.</u>	<u>512-454-0101</u>	<u>2-1-17</u>	<u>Electric</u>	<u>IN PERSON,</u> <u>EMAIL</u>	<u>154,000.00</u>	<u>MBE,</u> <u>DBE</u>	

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

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

HERRICK COMPANY, INC.  
Company  
2-15-17  
Date

Donna S Herrick  
Company Representative  
CEO  
Title

## Ryan Gabbard

---

**From:** Tom Clark <TClark@tmelectric.com>  
**Sent:** Tuesday, February 14, 2017 4:42 PM  
**To:** Doug; Ryan Gabbard  
**Subject:** LFUCG - West Hickman WWTP Zone 2 Aeration Improvements  
**Attachments:** Herrick Co Inc.pdf

Please find attached scope letter in regards to the LFUCG West Hickman WWTP Zone 2 Aeration Improvements Project for your review.

Pricing will follow in the morning.

**Thomas J. Clark, Sr.**  
**Electrical Estimator**  
**T.E.M. Group, Inc.**  
**3560 Bashford Avenue**  
**Louisville, KY 40218**  
**Office: 502-498-1981**  
**Cell: 502-639-4201**  
**tclark@tmelectric.com**



**TEM Group, Inc.**  
3560 Bashford Avenue  
Louisville, KY 40218  
Ph: 502-454-0101  
Fax: 502-454-0110

February 15, 2017

**Herrick Co Inc**

Re: LFUCG West Hickman WWTP  
Zone 2 Aeration Improvements

Our pricing to furnish labor and materials for the electrical portion work per the scope of work/clarifications below is \$ .00.

Our price is based on the following scope of work/clarifications:

1. We acknowledge receipt of Addendums #1, #2 & #3.
2. Straight time forty hour work week wage rates are included.
3. Kentucky sales tax is included.
4. A performance and payment bond is **not included**. Add 1.5% if required.
5. TEM Group will furnish fixture heads and replace fixtures on the existing stanchions. Existing wiring will be re-used. New receptacles will be furnished and installed as shown on the drawings. New conduit/wiring will be installed back to terminal boxes and terminate to existing circuits. Existing PVC conduit/PVC Junction Boxes will be replaced with 2 ½" Aluminum Conduit/4X Junction Boxes. Existing wiring circuits will be re-installed in the new conduits and junction boxes.
6. Re-connecting existing disconnect conduit/wiring back to new junction boxes is included.
7. Demo of existing heat tracing circuits is included. Heat tracing will be removed by others.

Please call if you have any questions (502) 498-1981(office) or (502) 639-4201(cell).

Best regards,  
**TEM Electric Co., Inc.**

Electrical Estimator  
tclark@temelectric.com

*We are Certified MBE, DBE  
Equal Opportunity Employer*

## Donna Herrick

---

**From:** Tom Clark <TClark@temelectric.com>  
**Sent:** Wednesday, February 15, 2017 9:37 AM  
**To:** Doug; Ryan Gabbard  
**Subject:** FW: LFUCG - West Hickman WWTP Zone 2 Aeration Improvements  
**Attachments:** Herrick Co Inc.pdf

Please find attached quote.

Tom Clark

**From:** Tom Clark  
**Sent:** Tuesday, February 14, 2017 4:42 PM  
**To:** 'Doug' <hci@dcr.net>; 'Ryan Gabbard' <ryan\_hci@dcr.net>  
**Subject:** LFUCG - West Hickman WWTP Zone 2 Aeration Improvements

Please find attached scope letter in regards to the LFUCG West Hickman WWTP Zone 2 Aeration Improvements Project for your review.

Pricing will follow in the morning.

**Thomas J. Clark, Sr.**  
**Electrical Estimator**  
**T.E.M. Group, Inc.**  
**3560 Bashford Avenue**  
**Louisville, KY 40218**  
**Office: 502-498-1981**  
**Cell: 502-639-4201**  
**tclark@temelectric.com**



**TEM Group, Inc.**  
3560 Bashford Avenue  
Louisville, KY 40218  
Ph: 502-454-0101  
Fax: 502-454-0110

February 15, 2017

## **Herrick Co Inc**

Re: LFUCG West Hickman WWTP  
Zone 2 Aeration Improvements

Our pricing to furnish labor and materials for the electrical portion work per the scope of work/clarifications below is **\$ 153,690.00.**

### Our price is based on the following scope of work/clarifications:

1. We acknowledge receipt of Addendums #1, #2 & #3.
2. Straight time forty hour work week wage rates are included.
3. Kentucky sales tax is included.
4. A performance and payment bond is **not included**. Add 1.5% if required.
5. TEM Group will furnish fixture heads and replace fixtures on the existing stanchions. Existing wiring will be re-used. New receptacles will be furnished and installed as shown on the drawings. New conduit/wiring will be installed back to terminal boxes and terminate to existing circuits. Existing PVC conduit/PVC Junction Boxes will be replaced with 2 ½" Aluminum Conduit/4X Junction Boxes. Existing wiring circuits will be re-installed in the new conduits and junction boxes.
6. Re-connecting existing disconnect conduit/wiring back to new junction boxes is included.
7. Demo of existing heat tracing circuits is included. Heat tracing will be removed by others.

Please call if you have any questions (502) 498-1981(office) or (502) 639-4201(cell).

Best regards,  
**TEM Electric Co., Inc.**

  
Electrical Estimator  
tclark@temelectric.com

*We are Certified MBE, DBE  
Equal Opportunity Employer*



## LFUCG SUBCONTRACTOR MONTHLY PAYMENT REPORT

The LFUCG has a 10% goal plan adopted by city council to increase the participation of minority and women owned businesses in the procurement process. The LFUCG also has a 3% goal plan adopted by cited council to increase the participation of veteran owned businesses in the procurement process. In order to measure that goal LFUCG will track spending with MWDBE vendors on a monthly basis. By the signature below of an authorized company representative, you certify that the information is correct, and that each of the representations set forth below is true. Any misrepresentation may result in termination of the contract and/or prosecution under applicable Federal and State laws concerning false statements and false claims. Please submit this form monthly to the Division of Central Purchasing/ 200 East Main Street / Room 338 / Lexington, KY 40507.

Bid/RFP/Quote # 19-2017  
 Total Contract Amount Awarded to Prime Contractor for this Project \_\_\_\_\_

Project Name/ Contract # <u>West Hickman WWTP Zone 2 Aeration Improvements</u>	Work Period/ From: _____ To: _____
Company Name: <u>HERRICK COMPANY, INC.</u>	Address: <u>1385 Tracy Road, Lawrenceburg KY</u>
Federal Tax ID: <u>61-1296034</u>	Contact Person: <u>Donna Herrick</u>

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

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

HERRICK COMPANY, INC.  
 Company  
2-15-17  
 Date

Donna S Herrick  
 Company Representative  
CEO  
 Title



**LFUCG STATEMENT OF GOOD FAITH EFFORTS**

Bid/RFP/Quote # 19-2017

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

*\* Advertised in only one - but publication reaches all of Central KY counties*

Advertised opportunities to participate in the contract in at least two (2) publications of general circulation media; trade and professional association publications; small and minority business or trade publications; and publications or trades targeting minority, women and disadvantaged businesses not less than fifteen (15) days prior to the deadline for submission of bids to allow MWDBE firms and Veteran-Owned businesses to participate. \*

Included documentation of advertising in the above publications with the bidders good faith efforts package

Attended LFUCG Central Purchasing Economic Inclusion Outreach event

Attended pre-bid meetings that were scheduled by LFUCG to inform MWDBEs and/or Veteran-Owned Businesses of subcontracting opportunities

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

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

Contacted organizations that work with MWDBE companies for assistance in finding certified MWBDE firms and Veteran-Owned businesses to work on this project. Those contacted and their responses should be a part of the bidder's good faith efforts documentation.

Sent written notices, by certified mail, email or facsimile, to qualified, certified MWDBEs soliciting their participation in the contract not less than seven (7) days prior to the deadline for submission of bids to allow them to participate effectively.

Followed up initial solicitations by contacting MWDBEs and Veteran-Owned businesses to determine their level of interest.

Provided the interested MWBDE firm and/or Veteran-Owned business with adequate and timely information about the plans, specifications, and requirements of the contract.

Selected portions of the work to be performed by MWDBE firms and/or Veteran-Owned businesses in order to increase the likelihood of meeting the contract goals. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate MWDBE and Veteran

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

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

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

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

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

Made efforts to expand the search for MWBE firms and Veteran-Owned businesses beyond the usual geographic boundaries.

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

**NOTE: Failure to submit any of the documentation requested in this section may be cause for rejection of bid. Bidders may include any other documentation deemed relevant to this requirement which is subject to approval by the MBE Liaison. Documentation of Good Faith Efforts must be submitted with the Bid, if the participation Goal is not met.**

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

HERRICK COMPANY, INC.  
Company  
2-15-17  
Date

Donna S. Herrick  
Company Representative  
CEO  
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 Lexington-Fayette Urban County Government, 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 Lexington-Fayette Urban County Government 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 Subcontractors have not and will not be awarded to any firm(s) that have been debarred from noncompliance with the Federal Labor Standards, Title VI of the Civil Rights Act of 1964 As Amended, Executive Order 11246 As Amended or any other Federal Law.

*Denise S Herrick, CEO*  
*HERRICK COMPANY, INC.*  
*2-15-17*

9. STATEMENT OF EXPERIENCE - See attached sheet

NAME OF INDIVIDUAL: \_\_\_\_\_

POSITION/TITLE: \_\_\_\_\_

STATEMENT OF EXPERIENCE: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME OF INDIVIDUAL: \_\_\_\_\_

POSITION/TITLE: \_\_\_\_\_

STATEMENT OF EXPERIENCE: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

NAME OF INDIVIDUAL: \_\_\_\_\_

POSITION/TITLE: \_\_\_\_\_

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: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\* Include all officers, office management's, Affirmative Action officials, and field management personnel. (Attach separate sheets if necessary.)

10. EQUAL OPPORTUNITY AGREEMENT

The Law

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

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

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

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

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

Donna S. Herrick  
Signature Donna S. Herrick

HERRICK COMPANY, INC.  
Name of Business

2-15-17

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.

*Denna S Herrick, CEO  
HERRICK COMPANY, INC.  
2-15-17*

**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	M	F	
Administrators		1		1														1	
Professionals		1																1	
Superintendents		4																4	
Supervisors																			
Foremen																			
Technicians																			
Protective Service																			
Para-Professionals																			
Office/Clerical		1		1														1	
Skilled Craft		11																11	
Service/Maintenance																			
<b>Total:</b>		<b>18</b>		<b>16</b>		<b>2</b>												<b>16</b>	<b>2</b>

Prepared by: Donna S. Herrick, CEO Date: 2 / 15 / 17

(Name and Title)

**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: 61 1296034  
 Address: 1385 Tracy Road Lawrenceburg, KY 40342 Phone: 502 839-3484

Project to be insured: West Hickman WWTP Zone 2 Aeration Improvements Bid Number 91-2017

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:

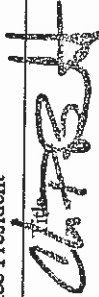
Section Items	Coverage	Minimum Limits and Policy Requirements	Limits Provided To Insured	Name of Insurer	A.M. Best's Code	Rating
SC-3, Section 2, Part 4.1 - see provisions	CGL	\$1,000,000 per occ. And \$2,000,000 aggregate	\$ 1,000,000/2,000,000	Cincinnati Ins. Co.	004289	A+:XV
SC-3, Section 2, Part 4.1 - see provisions	AUTO	\$2,000,000/per occ.	\$ 1,000,000	Cincinnati Ins. Co.	004289	A+:XV
SC-3, Section 2, Part 4.1 - see provisions	WC	Statutory w /endorsement as noted	\$ 4,000,000 ea. acc 4,000,000 dis \$4,000,000 dis per mt	KY Assoc Gen Contr.	055002	A-VII

\* See below for Umbrella

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.

J. Smith Lanier & Co., A Marsh & McLennan Agency Company

Chris Barnett

Agency or Brokerage: 360 East Vine Street Lexington KY 40507  
 Street Address: Lexington KY 40507  
 City: 859-254-8023 State: \_\_\_\_\_ Zip: \_\_\_\_\_  
 Telephone Number: \_\_\_\_\_  
 Name of Authorized Representative: Senior Vice President  
 Authorized Signature:   
 Date: February 6, 2017

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.**

Coverage - UMBRELLA Limits Provided: \$5,000,000 Insurer: Cincinnati Ins. Co. AM Best Code: 004289 Rating: A+:XV



**ADDENDUM #1**

Bid Number: #19-2017

Date: February 3, 2017

Subject: West Hickman Zone 2 Aeration Improvements

Address inquiries to:  
Brian Marcum  
(859) 258-3320

**TO ALL PROSPECTIVE SUBMITTERS:**

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

**Revised Form of Proposal Attached.**

**Prebid sign in sheet.**

***Specifications***

- 1.** Part III, Form of Proposal  
Section 4, Bid Schedule – Schedule of Values

Replace pages P-6 with the attached P-6 and P-6A. The Bid Form has been modified to include A Base Bid with an Alternate Add/Deduct.

- 2.** Section 01015, Sequence of Work,  
PART 3 EXECUTION, 3.2, Change dates shown below.

3<sup>rd</sup> line currently states "...meet strict phosphorus limits from May 1<sup>st</sup> – October 1<sup>st</sup>." Instead of October 1<sup>st</sup> please change to state **October 31<sup>st</sup>**.

- 3.** Section 11375, Fine Bubble Aeration System  
PART 1 GENERAL, 1.5, Replace Part B with Part B shown below.



B. Manufacturer shall guarantee all equipment furnished to be free from defects in materials and

Workmanship under normal use and service for a period of thirty-six (36) months after the date

Placed in service, or forty-two (42) months after delivery, whichever occurs first.

4. Section 11375, Fine Bubble Aeration System

PART 2 MECHANICAL EQUIPMENT, 2.1, Replace Part A with Part A shown below.

A. Design Conditions

1. The aeration tanks are configured as follows (dimensions in feet):

Tank/Pass	Length	Width	SWD	Grids	Diffusers/Pass	Holders/Pass
Nitrification Reactors	152	40	20.2	2	1080	1150
Tank Total				2	1080	1150
Tank Count					6	
Project Total				12	6480	6900

Grid Type	Dropleg Diameter (In.)	Manifold Diameter (In.)	No. of Air Distributors	No. of Diffusers per Grid
1	8	6	10	950
2	6	4	10	200

2. Design air distributors with centerline spacing not to exceed 4 feet to maximize oxygen transfer efficiency and mixing efficiency to minimize solids deposition between air distributors.
3. EPDM plugs will be provided to plug all blank diffuser holders. No retainer rings or membrane diffusers will be required for the blank diffuser holders.

5. Section 11375, Fine Bubble Aeration System

PART 2 MECHANICAL EQUIPMENT, 2.1, Replace Part C 1 with Part C shown below.

C. System Components

1. Droplegs - Provide all components and supports necessary to connect to the existing stainless dropleg. **Provide new JCM clamp couplings to join the existing stainless steel upper dropleg to the new lower PVC dropleg at each grid.**

6. Section 11375, Fine Bubble Aeration System



PART 2 MECHANICAL EQUIPMENT, 3.4.B.3, add f shown below.

f. Perform in-situ liquid acid cleaning of the membrane diffusers at each grid after 2 years of service. Cleaning shall not interrupt normal basin operation nor require basin dewatering. Include labor and transportation of required equipment. Owner will purchase the required chemical.

7. Section 11400, J-1 Expansion Joints, Specification #RV-J-1 W  
PART 2 PRODUCTS, 2.01, Add the paragraph shown below.

E. 304 Stainless Steel Retaining Rings, 3/8" minimum thickness shall be provided for each Expansion Joint; one split retaining ring design for each rubber flange. Outside diameter shall be same as the standard joint flange and the bolt circle and bolt holes to match the rubber expansion joint flange.

*Drawings*

1. Currently stated in a Demolition Note is "Anchors will be reused and supports will be replaced as needed."

The new statement should say "**Anchors, supports and clamps will be replaced only as needed.**"

Questions & Answers

1. What are the restrictions on shutting down the air supply to the tanks when changing out the air line expansion joints?

*Coordination will be more flexible before May 1<sup>st</sup> and after October 31<sup>st</sup>. As long as 3 tanks are in service the process is not hindered. The blowers can be down no longer than 2-3 hours depending on flow. We have flanges to help direct air to one side or the other when repairs have been needed.*

2. We recognize from our site visit that the lime feed system and valves to be removed have both electric heat trace and electric operated valves. To what extent is the electrical to be removed? Can it be removed to the nearest junction box, or is it required to remove the electrical circuit to include wiring and conduit to the source of origin at the distribution panel?



*The electrical can be removed to the nearest junction box.*

3. Do the limits of the lime feed system piping removal terminate at grade on each end of tank?

*The limits terminate at grade or anywhere old piping is visible.*

4. In reviewing Section 11375, Part 3, a shop oxygen transfer test is required by any supplier that has not provided equipment at the plant. The shop test must demonstrate the equipment meets the specified oxygen transfer requirements. Please clarify what the oxygen transfer requirement is? *Follow up addendum will address.*

5. Would you please consider making the base bid and award on the contractor providing Sanitaire aeration equipment?

*A revision to the bid form has been included in the addendum.*

6. Would you please consider revising your documents to allow for Voluntary Alternate Deducts to supply equipment manufacturers other than Sanitaire, and that the alternates would only be evaluated by the owner after award?

*A revision to the bid form has been included in the addendum.*

7. Please clarify the bolded note on page 5 of Section 11375 regarding airman supports. Is this to mean the length of PVC lower drop leg from existing clamp coupling to aeration manifold? Are we in any way to account for the support of the existing SS air drop leg ending at elevation 871.93?

*Coordinate with plant staff to use existing support system.*



Todd Slatin, Director  
Division of Central Purchasing

All other terms and conditions of the Quote and specifications are unchanged.

This letter should be signed, attached to and become a part of your Quote.

COMPANY NAME: HERRICK COMPANY, INC.

ADDRESS: 1385 Tracy Road, Lawrenceburg KY

SIGNATURE OF BIDDER: Donna S. Herrick  
Donna S. Herrick



MAYOR JIM GRAY



LEXINGTON

TODD SLATIN  
DIRECTOR  
CENTRAL PURCHASING

**ADDENDUM #2**

Bid Number: #19-2017

Date: February 6, 2017

Subject: West Hickman Zone 2 Aeration Improvements

Address inquiries to:  
Brian Marcum  
(859) 258-3320

**TO ALL PROSPECTIVE SUBMITTERS:**

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

**The Bid Opening date has been extended to Wednesday, February 15, 2017 at 2:00 PM.**

Todd Slatin, Director  
Division of Central Purchasing

All other terms and conditions of the Quote and specifications are unchanged.

This letter should be signed, attached to and become a part of your Quote.

COMPANY NAME: HERRICK COMPANY, INC.

ADDRESS: 1385 Tracy Road, Lawrenceburg KY

SIGNATURE OF BIDDER: Donna S Herrick  
Donna S. Herrick







**ADDENDUM #3**

Bid Number: #19-2017

Date: February 7, 2017

Subject: West Hickman Zone 2 Aeration Improvements

Address inquiries to:  
Brian Marcum  
(859) 258-3320

**TO ALL PROSPECTIVE SUBMITTERS:**

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

**Questions:**

- Is contractor responsible for disposing of grit offsite?
- Can contractor remove grit from tanks, transfer to city dumpster, and let city dispose of grit offsite? (City is already legally set up to do so.)
- If contractor has to dispose grit offsite, who does the city currently use for disposal? And where do they dispose?

**Answer:**

The CONTRACTOR is not responsible for disposing of grit offsite. The CONTRACTOR will remove the grit and place it on a dewatering pad onsite at the West Hickman WWTP. West Hickman Staff will take care of disposal from the dewatering pad. The dewatering pad is located on top of the hill near the equipment storage garage.

***Specifications***

- 1.** Section 11375, Fine Bubble Aeration System  
PART 3 INSTALLATION AND PERFORMANCE, 3.1, Replace 3.1 with new 3.1 shown below.



## 3.1 TESTING

Diffuser manufacturer must submit 3<sup>rd</sup> party witnessed test results to demonstrate oxygen transfer efficiency for the conditions in the table below. Non project-specific independently witnessed clean water standard transfer efficiency results will be considered in review of alternate bids. Diffuser manufacturer must submit actual testing results that meet the specified transfer efficiencies with the shop drawings. Failure to meet the specified efficiencies will be grounds for rejection.

Zone/Grid	Volumetric Air Flow	Delivered SOR	SWD	Diffuser Submergence	SOTE
	scfm/grid	lb O2/day	ft	ft	%
Condition 1 [1 scfm/diffuser]					
Grid Type 1	880	8,491	20.2	19.3	38.5
Grid Type 2	200	1,825	20.2	19.3	36.4
Condition 2 [2 scfm/diffuser]					
Grid Type 1	1,760	15,916	20.2	19.3	36.1
Grid Type 2	400	3,390	20.2	19.3	33.8



Todd Slatin, Director  
Division of Central Purchasing

All other terms and conditions of the Quote and specifications are unchanged.

This letter should be signed, attached to and become a part of your Quote.

COMPANY NAME: HERRICK COMPANY, INC.

ADDRESS: 1385 Tracy Road, Lawrenceburg KY

SIGNATURE OF BIDDER: Donna S. Herrick  
Donna S. Herrick



Herrick Company, Inc.  
1385 Tracy Road  
Lawrenceburg, KY 40342  
502-839-3484  
502-839-0939 Fax

SCHEDULE OF EQUIPMENT AVAILABLE: (Owned by HCI)

- 35 ton Crane
- 15 ton Boom Truck
- 50 ton Crane
- 15 ton P&H Crane
- CAT D5 Dozer
- CAT 953 Loader
- CAT 315 Excavator
- CAT 416 Backhoe
- CAT 420 Backhoe
- CAT 420E Backhoe
- CAT 302.5 Excavator
- Hyundai R35ZCR Mini-Excavator
- Bobcat Skid Steer Loader
- International Flat Bed Dump
- (2) 185 Air Compressors
- 6" Diesel Pump
- Kundel 8' x 20' trench box
- (8) pickup trucks
- Miscellaneous small equipment and tools

**BID: West Hickman WWTP Zone 2 Aeration Improvements**  
**Bidder: Herrick Company, Inc.**  
**Item 8, Page P-9**

PROJECT NAME	Contract Amount	Owner	Engineer	Contract Date	Status	Type of Work
Paducah WWTP	\$544,678	Paducah-McCracken Joint Sewer Agency, 621 Northview Street, Paducah, KY - John C. Hodges, 270-575-0056	GRW Engineers - Alan Bryan, 859-223-3999	2011	Complete	Replace bar screen & conveyor
Horse Cave WWTP	\$517,717	Caveland Environmental Authority, 508 S Dixie Hwy., Cave City, KY - William Hunley, 270-773-2887	Water Management Services, LLC - Bob Slayden, Jr., 615-366-6088	2011	Complete	WWTP additions
Green River Valley WTP - Clearwell	\$1,483,356	Green River Valley Water District, 85 E Les Turner Road, Cave City, KY - David Paige, 270-773-2135	Water Management Services, LLC - Joe Hinkle, 615-366-6088	2011	Complete	WTP clearwell addition
Frankfort WWTP Oxidation Ditch	\$386,052	City of Frankfort Sewer Department, 1200 KY Avenue, Frankfort, KY -William R. Scalf, 502-875-2448	HMB Professional Engineers, Inc. - Ray Bascom, 502-695-9800	2011	Complete	WWTP oxidation ditch rehabilitation, equipment installation
Burkesville	\$4,585,797	City of Burkesville, 214 Upper River Street, Burkesville, KY - Keith Riddle, 270-864-5391	GRW Engineers, Inc. - Michael L. Jacobs, 859-223-3999	2011	Complete	Water system improvements & WTP expansion
Winchester - Ecton Road Pump Station	\$131,004	East Clark County Water District, PO Box 112, Winchester, KY	Bell Engineering - Mike Williams, 859-2798-5412	2012	Complete	Booster pump station upgrade
Redstone WWTP Sludge Building	\$142,250	PDR Properties, Inc., 1029 Monarch Street, Ste. 250, Lexington, KY - Marie Jacobs, 859-223-0425	NA (internal)	2012	Complete	Improvements to building, etc.
Redstone WWTP NASA/Hanson Grinders	\$85,900	PDR Properties, Inc., 1029 Monarch Street, Ste. 250, Lexington, KY - Marie Jacobs, 859-223-0425	NA (internal)	2012	Complete	Replace/install grinders
KAWC North Grade & Drain	\$77,100	KY American Water North, 16035 Hwy 127 S, Owenton, KY - Dalvin Krug, 502-484-8373	KY American Water - Dalvin Krug, 502-484-8373	2012	Complete	Culverts - drain, re-work, grade, etc.
Hardin County Raw Water Intake Screen	\$279,480	Hardin County Water District No. 2, 360 Ring Road, Elizabethtown, KY - Michael Bell, 270-737-1056	Kenviron, Inc. - Vaughn Williams, 502-695-4357	2012	Complete	Raw water intake screen modifications
Delaplain WWTP Air Header	\$51,482	Delaplain Disposal Corporation, PO Box 4382, Lexington, KY - Dona Ray, 859-223-0425	NA (internal)	2012	Complete	WWTP air header replacement

**BID: West Hickman WWTP Zone 2 Aeration Improvements**  
**Bidder: Herrick Company, Inc.**  
**Item 8, Page P-9**

PROJECT NAME	Contract Amount	Owner	Engineer	Contract Date	Status	Type of Work
Barbourville WWTP Improvements	\$384,690	Barbourville Utility Commission, 202 Daniel Boone Drive, Barbourville, KY 40906	Vaughn & Melton Consulting Engineers, Inc. - Mitchell L. Brunsma, PE., 606-248-6600	2012	Complete	WWTP improvements
West Hickman Weirs & Baffles	\$102,000	LFUCG, 301 Lisle Industrial Road, Lexington, KY - Tiffany Rank, 859-425-2406	NA (internal)	2013	Complete	Removal/installation weirs & baffles as needed
West Hickman Gravity Thickener	\$244,650	LFUCG, 301 Lisle Industrial Road, Lexington, KY - Tiffany Rank, 859-425-2406	Strand Engineers - Mike Davis, 859-225-8500	2013	Complete	Gravity thickener improvements
Redstone Hansen / Thiokol PS	\$445,699	PDR Properties, Inc., 1029 Monarch Street, Ste. 250, Lexington, KY - Marie Jacobs, 859-223-0425	NA (internal)	2013	Complete	Replace pump stations, etc.
Pairs Lift Station - Sludge Pump	\$68,690	City of Paris, 6500 Bypass Road, Paris, KY - Patrick Hamey, 859-987-2116	NA (internal)	2013	Complete	Sludge pump replacement
McCreary WTP No. 1 Improvements	\$2,216,879	McCreary County Water District, 19 Crit King Road, Whitley City, KY - Raymond Taylor, 606-376-2545	Monarch Engineering, Inc. - David Bowles, 502-839-1310	2013	Complete	WTP improvements
KAWC Lexington Miscellaneous Jobs	\$136,393	KY American Water, 2300 Richmond Road, Lexington, KY - Mitzi Combs, 859-268-6347	KY American Water - Mitzi Combs, 859-268-6347	2013	Complete	Replace valves, various improvements to system
Frankfort WWTP Grit	\$83,657	City of Frankfort Sewer Department, 1200 KY Avenue, Frankfort, KY - Eugene Moore, 502-875-2448	GRW Engineers, Inc. - John Martin, 859-223-3999	2013	Complete	WWTP grit channel modifications
Frankfort WTP Sludge Collection	\$244,490	Frankfort Plant Board, 305 Hickory Avenue, Frankfort, KY - David Billings, 502-352-4468	Frankfort Plant Board - Sharmista Dutta, 502-352-4407	2013	Complete	Replace/install sludge collection equipment
Frankfort High Service PS MCC Replacement	\$1,153,607	Frankfort Plant Board, 305 Hickory Avenue, Frankfort, KY - David Billings, 502-352-4468	GRW Engineers, Inc. - Monty Maynard, 859-223-3999	2013	Complete	Pump Station MCC replacement
Drakesboro WWTP	\$83,144	City of Drakesboro, 212 Mose Roger Blvd., Drakesboro, KY, 270-476-8986	GRW Engineers, Inc. - Louis E. Robbins, 615-366-1600	2013	Complete	WWTP return sludge replacement

**BID: West Hickman WWTP Zone 2 Aeration Improvements**  
**Bidder: Herrick Company, Inc.**  
**Item 8, Page P-9**

PROJECT NAME	Contract Amount	Owner	Engineer	Contract Date	Status	Type of Work
Cynthiana WTP Filler Improvements	\$57,836	City of Cynthiana, 201 Waterworks Road, Cynthiana, KY - Todd Blanton, 859-234-7159	HDR Engineering, Inc. - Benton Hanson, 859-223-3755	2013	Complete	WTP filler replacement/improvement
Columbia WTP Improvements	\$2,610,995	Columbia/Adair County Utilities District - Rudy Higginbotham, 270-384-2181	Monarch Engineering, Inc. - David Bowles, 502-839-1310	2013	Complete	WTP improvements
Campbellsville High Service Pump	\$296,164	City of Campbellsville, 110 S Columbia Avenue, Campbellsville, KY, 270-789-3133	Monarch Engineering, Inc. - Deron Byrne, 502-839-1310	2013	Complete	WTP improvements, high service pump replacement
Shepherdsville WWTP Aeration	\$140,374	City of Shepherdsville, PO Box 400, Shepherdsville, KY - Chuck Keith, 502-664-6582	NA (internal)	2014	Complete	Aeration repairs/improvements
Redstone WWTP Pump Station	\$348,865	PDR Properties, Inc., 1029 Monarch Street, Ste. 250, Lexington, KY - Marie Jacobs, 859-223-0425	NA (internal)	2014	Complete	Replace/repair pump station
Redstone UV Installation	\$85,806	PDR Properties, Inc., 1029 Monarch Street, Ste. 250, Lexington, KY - Marie Jacobs, 859-223-0425	NA (internal)	2014	Complete	Install UV system
Middlesboro Sludge Pumps	\$108,600	Middlesboro WWTP, PO Box 596, Middlesboro, KY - Bill Kelly	NA (internal)	2014	Complete	Replace sludge pumps
KAWC River Miscellaneous	\$222,058	KY American Water, 2300 Richmond Road, Lexington, KY - Justin Sensabaugh, 859-268-6342	KY American Water - Justin Sensabaugh, 859-268-6342	2014	Complete	Chemical Bldg. 1 & 2 improvements, alum fill station, air scour blower, control panel
KAWC Chemical Scrubber	\$94,392	KY American Water, 2300 Richmond Road, Lexington, KY - Zachery B. Dukes, 859-268-6342	KY American Water - Zachery B. Dukes, 859-268-6352	2014	Complete	Scrubber repair and improvements
KAWC Ammonia Tanks	\$153,974	KY American Water, 2300 Richmond Road, Lexington, KY - Justin Sensabaugh, 859-268-6342	KY American Water - Zachery B. Dukes, 859-268-6352	2014	Complete	Refurbish ammonia tanks and refill
Jenkins WTP Improvements	\$410,633	Jenkins Water Plant, 755 Lakeside Drive, Jenkins, KY - David Richardson, 606-832-4218	Nesbitt Engineering, Inc. - Steve Vogelsberg, 859-685-4528	2014	Complete	WTP filter improvements

**BID: West Hickman WWTP Zone 2 Aeration Improvements**  
**Bidder: Herrick Company, Inc.**  
**Item 8, Page P-9**

PROJECT NAME	Contract Amount	Owner	Engineer	Contract Date	Status	Type of Work
Burnside WTP	\$704,778	City of Burnside, 7929 S. Hwy. 27, Burnside, KY - Eddie Hines, 606-561-4113	HMB Professional Engineers, Inc. - Jeff Reynolds, 502-695-9800	2014	Complete	WTP improvement
Bardstown Sludge Pumps	\$59,592	City of Bardstown, North 5th Street, Bardstown, KY - Mark Hufford, 502-348-6723	City of Bardstown - Jessica Filiatreau, PE, 502-348-5947	2014	Complete	WWTP sludge pumps installation
Shepherdsville WWTP Scum	\$57,383	City of Shepherdsville, PO Box 400, Shepherdsville, KY - Chuck Keith, 502-664-6582	NA (internal)	2015	Complete	Scum arm repairs, etc
Paris Train Wreck Emergency	\$380,941	City of Paris, 6500 Bypass Road, Paris, KY - Patrick Hamey, 859-987-2116	NA (internal)	2015	Complete	Repair sewer line, provide bypass pumping
Middlesboro WT Facility Improvements	\$325,510	Water Service Corp. of KY, PO Box 818, Middlesboro, KY - James R. Leonard, 606-248-2306	Bell Engineering - Michael Lile, 859-2798-5412	2015	Complete	Remove lube settler, install plate settlers
Lebanon WWTP Rotor Tube	\$64,843	City of Lebanon, PO Box 840, Lebanon, KY - John Thomas, 270-692-6272	NA (internal)	2015	Complete	Oxidation ditch rotor repairs
Hardin County WTP	\$1,202,063	Hardin County Water District No. 2, 360 Ring Road, Elizabethtown, KY - Michael Bell, 270-737-1056	KenVirons, Inc. - Vaughn Williams, 502-695-4357	2015	Complete	WTP aqua ammonia & bulk carbon feed system
Frankfort Vactor Disposal	\$209,735	City of Frankfort Sewer Department, 1200 KY Avenue, Frankfort, KY - Adam Lanning, 502-875-2448	Jacobi, Toombs & Lanz, Inc. - Mark Lacy, 502-583-5994	2015	Complete	WWTP improvements
CSX Paris Sanitary Sewer Repair	\$226,794	CSX Transportation, Inc., 500 Water Street, Jacksonville, FL, 904-366-4160	CSX Transportation - Levi Hudlow, Project Engineer, 904-366-4160	2015	Complete	Sewer line repair
Contract 1 - WWTP Improvements & Sludge Conditioning System Upgrade	\$1,904,309	Columbia/Adair County Utilities District - Rudy Higginbotham, 270-384-2181	Monarch Engineering, Inc. - Lee Mudd, 502-839-1310	2015	Complete	WWTP improvements
Campbellsville WWTP Chemical Feed System	\$776,846	City of Campbellsville, KY - Mayor Tony Young, 270-465-7011	Monarch Engineering, Inc. - Deron Byrne, 502-839-1310	2015	Complete	WWTP improvements

Herrick Company, Inc  
1385 Tracy Road  
Lawrenceburg, KY 40342

February 15, 2017

**BONDED CONTRACTS ON HAND** Item 9, Page P-9

<u>Project Name</u>	<u>Amount</u>	<u>% Complete</u>	<u>Completion</u>
Campbellsville HS Pump # 2 Replacement Campbellsville, KY Monarch Engineers - Lawrenceburg, KY	\$215,800.00	99%	March 2017
WWTP Ultraviolet Disinfection System Radcliff, KY Hardin County Water District No. 1 – Radcliff, KY	\$405,400.00	5%	August 2017
Scottsville WWTP Miscellaneous Modifications Scottsville, KY GRW Engineers – Louisville, KY	\$160,000.00	95%	April 2017
Cave Run WTP Contract 2 Improvements Wellington, KY Kentucky Engineering – Versailles, KY	\$557,468.00	35%	July 2017
WWTP Generator & SCADA System, et al Frankfort, KY HMB Professional Engineers – Frankfort, KY	\$1,073,284.35	20%	November 2017
Contract 11 – WWTP Improvements / Chemical Feed & Phosphorous Removal Hardinsburg, KY KY Engineering Group, PLLC – Versailles, KY	\$1,889,000.00	15%	January 2018



**BID: West Hickman WWTP Zone 2 Aeration Improvements**

Attachment for # 10, Page P-9 and # 9, Page P-25

Donna S. Herrick - Chief Executive Officer

**Years with HCI: 21**

**Experience:** Management, cost-tracking, asset acquisition, budgeting, financial planning, risk management and control, project analysis, corporate taxes, human resources and payroll, new business start-ups

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H. Douglas Herrick - President

**Years with HCI: 21**

**Experience:** Management, SFR contract builder, carpentry, estimating, supervisor on water- and waste-water treatment projects, including new construction, renovation, maintenance and emergency work

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Samuel G. Thorpe - Superintendent

**Years with HCI: 10**

**Experience:** Bridge construction, carpentry, equipment maintenance & control, environmental & safety officer, supervisor

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Eddie R. Johnson - Superintendent

**Years with HCI: 18**

**Experience:** Carpentry, electrical, plumber, layout & design, supervisory

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Ryan P. Gabbard - Superintendent

**Years with HCI: 16**

**Experience:** Laborer, rebar foreman, layout, carpentry, tower construction, supervisory

---

Larry T. Boian - Foreman

**Years with HCI: 18**

**Experience:** Operator, rebar, carpentry, welding, supervisory

---

Sabrina K. Gabbard - Office Manager

**Years with HCI: 11**

**Experience:** Payroll administrator, project reporting, equipment control & maintenance, payables & receivables, year-end information reporting, quarterly tax filing, field work as labor & forklift operator

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BY: HERRICK COMPANY, INC.

DATE: February 15, 2017

BY: Donna S. Herrick

Donna S. Herrick

TITLE: Chief Executive Officer

February 15, 2015

BID: West Hickman WWTP Zone 2 Aeration Improvements

Good Faith Efforts to achieve Participation Goal for MWDBE and Veterans

- Placed an advertisement (copy attached) in the Lexington Herald-Leader. An ad was not placed in a second publication because the Lexington Herald-Leader reaches such an extensive area.
- HCI attended the subject project pre-bid meeting and requested information on known certified MWDBE and Veteran subcontractors and suppliers.
- LFUCG's Sherita Miller supplied a list of MWDBE and a list of Veteran subcontractors and suppliers.
- HCI contacted Susan Marston, Tri-State Minority Supplier Diversity Council, in an effort to get additional MWDBE or Veteran suppliers.
- HCI obtained the current KY DOT Certified DBE Directory and reviewed for pertinent DBE subcontractors or suppliers.
- HCI reviewed project scope and determined area(s) appropriate to solicit subcontractors and/or suppliers.
- Solicitation facsimiles (copies attached) were sent to identified companies.
- HCI may receive quotes or inquiries up to and after project bid time. All serious quotes or inquiries will be given attention that is given to non-MWDBE or Veteran quotes. HCI will use the lowest, most responsive quote that meets the project specifications.

*Donna S. Herrick, CEO*



## Order Confirmation

**Customer**

HERRICK COMPANY, INC.

**Payor Customer**

HERRICK COMPANY, INC.

**Customer Account**

568561

**Payor Account**

568561

**Customer Address**

1385 TRACY ROAD  
LAWRENCEBURG KY 40342 USA

**Payor Address**

1385 TRACY ROAD  
LAWRENCEBURG KY 40342 USA

**Customer Phone**

502-839-3484

**Payor Phone**

502-839-3484

**Customer Fax**

**Customer EMail**

**Sales Rep**

jsidebotham@herald-leader.com

**Order Taker**

jsidebotham@herald-leader.com

**PO Number**

**Payment Method**

Credit Card

**Blind Box**

**Tear Sheets**

0

**Proofs**

0

**Affidavits**

0

**Net Amount**

\$67.98

**Tax Amount**

\$0.00

**Total Amount**

\$67.98

**Payment Amount**

\$67.98

**Amount Due**

\$0.00

**Ad Order Information**

**Ad Number**

0002915833-01

**Ad Type**

LEX-Legal Liners

**Production Method**

AdBooker

**Production Notes**

**External Ad Number**

**Ad Attributes**

**Ad Released**

No

**Pick Up**

**Ad Size**

1 X 11 li

**Color**

**Product**

LEX-Herald-Leader

**Placement**

0300 - Legals Classified

**Times Run**

1

**Schedule Cost**

\$67.98

**Run Schedule Invoice Text**

General Contractor seeking DBE, MBE, VSO

**Position**

0301 - Legals & Public Notices

**Run Dates**

02/05/2017

General Contractor seeking DBE, MBE, VSOB, & WBE Subcontractor/supplier quotes for LFUCG project West Hickman WWTP, Zone 2 Aeration Improvements. Quotes **must** be received before **bid** date of Feb 9, 2017, 2:00pm. Contact Herrick Company at 502-839-3484

0002915833-01

## Donna Herrick

---

**From:** Sherita Miller <[smiller@lexingtonky.gov](mailto:smiller@lexingtonky.gov)>  
**Sent:** Thursday, February 02, 2017 9:53 AM  
**To:** Undisclosed recipients:  
**Subject:** Pre-Bid Meeting #19-2017, West Hickman Zone 2 Aeration Improvements  
**Attachments:** MWDBE Listing\_Public Works\_Wastewater Treatment.xlsx; LFUCG Veteran Owned Small Businesses.xls

Good morning,

As discussed at the pre-bid meeting, attached is a list of minority contractors who specialize in public works and waste water treatment. Also attached is the list of veteran owned small businesses. If you need additional lists, please feel free to contact me.

Thanks, Sherita

*Sherita Miller, MPA  
Minority Business Enterprise Liaison  
Division of Central Purchasing  
200 East Main Street Room 338  
Lexington, Kentucky 40507  
859-258-3323  
859-258-3322 (fax)  
[smiller@lexingtonky.gov](mailto:smiller@lexingtonky.gov)*

## Donna Herrick

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**From:** Donna Herrick <hci@dcr.net>  
**Sent:** Tuesday, February 14, 2017 11:08 AM  
**To:** 'smarston@tsmsdc.com'  
**Subject:** Search for Minority Suppliers

Ms. Marston,

My company is currently bidding a job with specific MWBE/VOSB goals. We are looking for MWBE/VOSB suppliers for this job. But we face this issue often and would like to find some suppliers for our line of work (heavy construction – water & sewer plants) and build relationships that are beneficial to both the suppliers and us as contractors. Do you have any source lists for minority suppliers? If so, would you share it with us? We would appreciate the information. I understand the difficulties of being a WBE because I am 60% owner of our company.

Thank you,

Donna Herrick  
Herrick Company, Inc.  
1385 Tracy Road  
Lawrenceburg, KY 40342  
502-839-3484  
502-839-0939 fax

# Herrick Company, Inc.

1385 Tracy Road  
Lawrenceburg, KY 40342

Phone: 502-839-3484  
Fax: 502-839-0939

February 14, 2017

TO: Subcontractors/Suppliers

FR: Ryan Gabbard

We are planning to bid the job shown below. If you are interested in giving us a quote, please fax your scope letter and price to us prior to bid date.

If you have questions, please contact our office. We look forward to hearing from you.

PROJECT: Bid #19-2017  
West Hickman WWTP – Zone 2 Aeration Improvements  
Lexington Fayette Urban County Government

BID DATE: Wednesday, February 15, 2017 @ 2:00pm EST

ENGINEER: LFUCG Division of Water Quality  
Lexington, KY

PLANS FROM: Engineer/Lynn Imaging

Thank you.

\* THIS ANNOUNCEMENT WAS FAXED TO THE FOLLOWING DBE SUBS.  
FAX VERIFICATION SHEETS ARE ON THE PAGES THAT FOLLOW.

- BAUSAL CONSTRUCTION, INC.
- TEM ELECTRIC
- BISON SERVICES, LLC
- CHARLIES ELECTRIC SERVICE, INC.
- DERBYTOWN SERVICES, LLC
- DOWN ELECTRIC, LLC
- GOULD ELECTRIC, LLC

TRANSMISSION VERIFICATION REPORT

TIME : 02/14/2017 13:07  
NAME : HERRICK COMPANY INC  
FAX : 15028390939  
TEL :  
SER.# : U63315D3J381674

BANSAL CONSTRUCTION

DATE, TIME	02/14 13:07
FAX NO./NAME	15138741346
DURATION	00:00:20
PAGE(S)	01
RESULT	OK
MODE	FINE ECM

TRANSMISSION VERIFICATION REPORT

TIME : 02/14/2017 12:55  
NAME : HERRICK COMPANY INC  
FAX : 15028390939  
TEL :  
SER.# : U63315D3J381674

BISON SERVICES

DATE, TIME	02/14 12:54
FAX NO./NAME	15067470324
DURATION	00:00:28
PAGE(S)	01
RESULT	OK
MODE	FINE ECM



TRANSMISSION VERIFICATION REPORT

TIME : 02/14/2017 12:56  
NAME : HERRICK COMPANY INC  
FAX : 15028390939  
TEL :  
SER. # : U63315D3J381674

CHARLES' ELECTRIC SERVICE

DATE, TIME	02/14 12:56
FAX NO./NAME	12705865719
DURATION	00:00:20
PAGE(S)	01
RESULT	OK
MODE	FINE ECM

TRANSMISSION VERIFICATION REPORT

TIME : 02/14/2017 12:58  
NAME : HERRICK COMPANY INC  
FAX : 15028390939  
TEL :  
SER.# : U63315D3J381674

DUNN ELECTRIC

DATE, TIME	02/14 12:58
FAX NO./NAME	15026716799
DURATION	00:00:20
PAGE(S)	01
RESULT	OK
MODE	FINE ECM

TRANSMISSION VERIFICATION REPORT

TIME : 02/14/2017 13:00  
NAME : HERRICK COMPANY INC  
FAX : 15028390939  
TEL :  
SER. # : U63315D3J381674

GOULD ELECTRIC

DATE, TIME	02/14 12:59
FAX NO./NAME	15022905751
DURATION	00:00:20
PAGE(S)	01
RESULT	OK
MODE	FINE ECM

TRANSMISSION VERIFICATION REPORT

TIME : 02/14/2017 13:03  
NAME : HERRICK COMPANY INC  
FAX : 15028390939  
TEL :  
SER. # : U63315D3J381674

DERBYTOWN ELECTRIC

DATE, TIME	02/14 13:03
FAX NO./NAME	15027780114
DURATION	00:00:00
PAGE(S)	00
RESULT	BUSY
MODE	FINE

BUSY: BUSY/NO RESPONSE

## Ryan Gabbard

---

**From:** Tom Clark <TClark@tmelectric.com>  
**Sent:** Tuesday, February 14, 2017 4:42 PM  
**To:** Doug; Ryan Gabbard  
**Subject:** LFUCG - West Hickman WWTP Zone 2 Aeration Improvements  
**Attachments:** Herrick Co Inc.pdf

Please find attached scope letter in regards to the LFUCG West Hickman WWTP Zone 2 Aeration Improvements Project for your review.

Pricing will follow in the morning.

**Thomas J. Clark, Sr.**  
**Electrical Estimator**  
**T.E.M. Group, Inc.**  
**3560 Bashford Avenue**  
**Louisville, KY 40218**  
**Office: 502-498-1981**  
**Cell: 502-639-4201**  
**tclark@tmelectric.com**



**TEM Group, Inc.**  
3560 Bashford Avenue  
Louisville, KY 40218  
Ph: 502-454-0101  
Fax: 502-454-0110

February 15, 2017

## **Herrick Co Inc**

Re: LFUCG West Hickman WWTP  
Zone 2 Aeration Improvements

Our pricing to furnish labor and materials for the electrical portion work per the scope of work/clarifications below is \$ .00.

### Our price is based on the following scope of work/clarifications:

1. We acknowledge receipt of Addendums #1, #2 & #3.
2. Straight time forty hour work week wage rates are included.
3. Kentucky sales tax is included.
4. A performance and payment bond is **not included**. Add 1.5% if required.
5. TEM Group will furnish fixture heads and replace fixtures on the existing stanchions. Existing wiring will be re-used. New receptacles will be furnished and installed as shown on the drawings. New conduit/wiring will be installed back to terminal boxes and terminate to existing circuits. Existing PVC conduit/PVC Junction Boxes will be replaced with 2 ½" Aluminum Conduit/4X Junction Boxes. Existing wiring circuits will be re-installed in the new conduits and junction boxes.
6. Re-connecting existing disconnect conduit/wiring back to new junction boxes is included.
7. Demo of existing heat tracing circuits is included. Heat tracing will be removed by others.

Please call if you have any questions (502) 498-1981(office) or (502) 639-4201(cell).

Best regards,  
**TEM Electric Co., Inc.**

Electrical Estimator  
tclark@temelectric.com

*We are Certified MBE, DBE  
Equal Opportunity Employer*

## Donna Herrick

---

**From:** Tom Clark <TClark@tmelectric.com>  
**Sent:** Wednesday, February 15, 2017 9:37 AM  
**To:** Doug; Ryan Gabbard  
**Subject:** FW: LFUCG - West Hickman WWTP Zone 2 Aeration Improvements  
**Attachments:** Herrick Co Inc.pdf

Please find attached quote.

Tom Clark

**From:** Tom Clark  
**Sent:** Tuesday, February 14, 2017 4:42 PM  
**To:** 'Doug' <hci@dcr.net>; 'Ryan Gabbard' <ryan\_hci@dcr.net>  
**Subject:** LFUCG - West Hickman WWTP Zone 2 Aeration Improvements

Please find attached scope letter in regards to the LFUCG West Hickman WWTP Zone 2 Aeration Improvements Project for your review.

Pricing will follow in the morning.

**Thomas J. Clark, Sr.**  
**Electrical Estimator**  
**T.E.M. Group, Inc.**  
**3560 Bashford Avenue**  
**Louisville, KY 40218**  
**Office: 502-498-1981**  
**Cell: 502-639-4201**  
**tclark@tmelectric.com**



**TEM Group, Inc.**  
3560 Bashford Avenue  
Louisville, KY 40218  
Ph: 502-454-0101  
Fax: 502-454-0110

February 15, 2017

**Herrick Co Inc**

Re: LFUCG West Hickman WWTP  
Zone 2 Aeration Improvements

Our pricing to furnish labor and materials for the electrical portion work per the scope of work/clarifications below is \$ 153,690.00.

Our price is based on the following scope of work/clarifications:

1. We acknowledge receipt of Addendums #1, #2 & #3.
2. Straight time forty hour work week wage rates are included.
3. Kentucky sales tax is included.
4. A performance and payment bond is **not included**. Add 1.5% if required.
5. TEM Group will furnish fixture heads and replace fixtures on the existing stanchions. Existing wiring will be re-used. New receptacles will be furnished and installed as shown on the drawings. New conduit/wiring will be installed back to terminal boxes and terminate to existing circuits. Existing PVC conduit/PVC Junction Boxes will be replaced with 2 ½" Aluminum Conduit/4X Junction Boxes. Existing wiring circuits will be re-installed in the new conduits and junction boxes.
6. Re-connecting existing disconnect conduit/wiring back to new junction boxes is included.
7. Demo of existing heat tracing circuits is included. Heat tracing will be removed by others.

Please call if you have any questions (502) 498-1981(office) or (502) 639-4201(cell).

Best regards,  
**TEM Electric Co., Inc.**

  
Electrical Estimator  
tclark@temelectric.com

*We are Certified MBE, DBE  
Equal Opportunity Employer*



# AIA<sup>®</sup> Document A310<sup>™</sup> – 2010

## Bid Bond

**CONTRACTOR:**

(Name, legal status and address)

Herrick Company, Inc.  
1385 Tracy Road  
Lawrenceburg, KY 40342

**SURETY:**

(Name, legal status and principal place of business)

United Fire & Casualty Company  
118 Second Avenue SE  
Cedar Rapids, IA 52407

**OWNER:**

(Name, legal status and address) Lexington-Fayette Urban County Government  
200 East Main Street  
Lexington, KY 40507

**BOND AMOUNT:** Five Percent of the Amount Bid

( \$ 5% of Bid )

**PROJECT:**

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

Bid Number 19-2017: West Hickman WWTP - Zone 2 Aeration Improvements

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

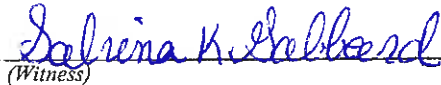
Any singular reference to Contractor, Surety, Owner or other party shall be considered plural where applicable.

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 9<sup>th</sup> day of February 2017

  
(Witness)

Herrick Company, Inc.

(Principal)

 (Seal)

(Title) CEO

United Fire & Casualty Company

(Surety)

  
(Witness)

 (Seal)  
(Title) Leigh McCarthy  
Attorney-in-Fact

Init.

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

Inquiries: Surety Department  
 118 Second Ave SE  
 Cedar Rapids, IA 52401

(original on file at Home Office of Company - See Certification)

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 JAMES T. SMITH, OR JAMES H. MARTIN, OR BROOK T. SMITH, OR RAYMOND M. HUNDLEY, OR DEBORAH NEICHTER, OR BONNIE J ROWE, OR MICHELE LACROSSE, OR SUMMER BETTING, OR JASON CROMWELL, OR LEIGH MCCARTHY, ALL INDIVIDUALLY OF LOUISVILLE KY

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 \$75,000,000.00 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.

The Authority hereby granted shall expire the 1st day of August, 2018 unless sooner revoked by UNITED FIRE & CASUALTY COMPANY, UNITED FIRE & INDEMNITY COMPANY, AND FINANCIAL PACIFIC INSURANCE COMPANY.

This Power of Attorney is made and executed pursuant to and by authority of the following bylaw duly adopted on May 15, 2013, by the Boards of Directors of UNITED FIRE & CASUALTY COMPANY, UNITED FIRE & INDEMNITY COMPANY, and FINANCIAL PACIFIC INSURANCE COMPANY.

**"Article VI - Surety Bonds and Undertakings"**

Section 2, Appointment of Attorney-in-Fact. "The President or any Vice President, or any other officer of the Companies may, from time to time, appoint by written certificates attorneys-in-fact to act in behalf of the Companies in the execution of policies of insurance, bonds, undertakings and other obligatory instruments of like nature. The signature of any officer authorized hereby, and the Corporate seal, may be affixed by facsimile to any power of attorney or special power of attorney or certification of either authorized hereby; such signature and seal, when so used, being adopted by the Companies as the original signature of such officer and the original seal of the Companies, to be valid and binding upon the Companies with the same force and effect as though manually affixed. Such attorneys-in-fact, subject to the limitations set forth in their respective certificates of authority shall have full power to bind the Companies by their signature and execution of any such instruments and to attach the seal of the Companies thereto. The President or any Vice President, the Board of Directors or any other officer of the Companies may at any time revoke all power and authority previously given to any attorney-in-fact.

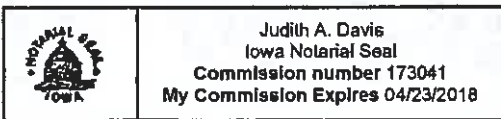
IN WITNESS WHEREOF, the COMPANIES have each caused these presents to be signed by its vice president and its corporate seal to be hereto affixed this 1st day of August, 2016

UNITED FIRE & CASUALTY COMPANY  
 UNITED FIRE & INDEMNITY COMPANY  
 FINANCIAL PACIFIC INSURANCE COMPANY

By: *Dennis J. Richmann* Vice President

State of Iowa, County of Linn, ss:  
 On 1st day of August, 2016, before me personally came Dennis J. Richmann

to me known, who being by me duly sworn, did depose and say; that he resides in Cedar Rapids, State of Iowa; that he 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 he knows the seal of said corporations; that the seal affixed to the said instrument is such corporate seal; that it was so affixed pursuant to authority given by the Board of Directors of said corporations and that he signed his name thereto pursuant to like authority, and acknowledges same to be the act and deed of said corporations.



*Judith A. Davis* Notary Public  
 My commission expires: 04/23/2018

I, David A. Lange, Secretary of UNITED FIRE & CASUALTY COMPANY and Assistant Secretary of UNITED FIRE & INDEMNITY COMPANY, and Assistant Secretary of FINANCIAL PACIFIC INSURANCE COMPANY, do hereby certify that I have compared the foregoing copy of the Power of Attorney and affidavit, and the copy of the Section of the bylaws and resolutions of said Corporations as set forth in said Power of Attorney, with the ORIGINALS ON FILE IN THE HOME OFFICE OF SAID CORPORATIONS, and that the same are correct transcripts thereof, and of the whole of the said originals, 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 the said Corporations this 9th day of February, 2017.



By: *David A. Lange*

Secretary, UF&C  
 Assistant Secretary, UF&I/FPIC