

## GRANT AWARD AGREEMENT

*Fiscal Year 2020 Class B Infrastructure Incentive Grant Program*

THIS AGREEMENT, made and entered into on the 28<sup>th</sup> day of August, 2020, by and between the LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LFUCG), an urban county government of the Commonwealth of Kentucky, pursuant to KRS Chapter 67A (hereinafter "Government"), on behalf of its Division of Water Quality, and THE UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION (UKRF), 500 SOUTH LIMESTONE, 109 KINKEAD HALL, LEXINGTON, KENTUCKY 40506-0057 (hereinafter "Grantee"), on behalf of the COMMONWEALTH OF KENTUCKY UNIVERSITY OF KENTUCKY, 401 ADMINISTRATION DRIVE, LEXINGTON, KENTUCKY 40506, (hereinafter "Property Owner").

### WITNESSETH:

WHEREAS, the Grantee is a documented fee-payer of the Government's Water Quality Management Fee; and

WHEREAS, the Grantee has proposed a need for the funds requested to develop and implement a proposed project by submitting a valid grant application; and

WHEREAS, the Grantee's grant application has been reviewed and selected for funding by the Water Quality Fees Board in accordance with Sections 16-408 and 16-410 of the Government's Code of Ordinances; and

WHEREAS, the Government has funds available through the Stormwater Quality Projects Incentive Grant Program to assist the qualified Grantee in the development and implementation of projects that meet the goals of the program; and

WHEREAS, the Grantee desires to implement a specific project that meets one or more Incentive Grant program goals to improve water quality, reduce stormwater runoff, and provide public or private education related to stormwater quality; and

WHEREAS, any such improvements funded by the Government shall benefit the public through installed improvements and/or educational programming;

**THAT FOR AND IN CONSIDERATION OF THE MUTUAL PROMISES AND COVENANTS HEREIN EXPRESSED, GOVERNMENT AND GRANTEE AGREE AS FOLLOWS:**

- (1) The Government hereby grants the Grantee the sum of \$216,800.00 (hereinafter "the Grant"), for use in implementing the project elements as listed in Attachment A which is incorporated herein by reference as if fully set out herein. The Grantee agrees to cost share the Grant with contributions, labor, and/or other services equal to or greater than 20% of the total project cost.
- (2) The Grantee agrees to use the Grant only for the activities set forth in Attachment A which includes installation of stormwater control infrastructure at the following site location(s): 751 PRESS AVENUE / 220 VIRGINIA AVENUE, LEXINGTON, KENTUCKY 40506 currently owned by the Property Owner.
- (3) The Grantee agrees to meet all design standards specified in the Government's Engineering Manuals or as further described in Attachment A in the design of all Grant-funded im-

provements. This includes all associated activities including but not limited to erosion and sediment control, traffic control, utility relocations, seeding, etc. The Grantee further agrees to design the facilities in such a way as not to preclude the potential for future water quality/quantity monitoring by LFUCG.

- (4) The Grantee agrees to comply with all applicable local, state, and federal rules, regulations, ordinances, and laws in implementation of the project.
- (5) The Grantee agrees to obtain all necessary local, state, and federal permits, encroachments, permissions, approvals etc. in a timely manner and prior to start of construction.
- (6) The Grantee agrees to perform periodic reporting as detailed in Paragraph (7) herein below, and produce a Project Final Report within sixty (60) calendar days of the completion of the project elements in digital and hard copy following a standardized format to be provided by the Government summarizing all work completed and detailing the total grant expenditures. Other deliverables include the following:
  - (a) At the end of the Feasibility Phase (if applicable), the following five deliverables, sealed by a professional licensed to perform such work in accordance with Kentucky Revised Statutes (KRS), shall be provided:
    - Feasibility report evaluating the use of the potential BMP(s) on the proposed site;
    - Conceptual design concept;
    - Detailed cost estimate for design;
    - Conceptual cost estimate for construction;
    - Letter certifying all BMPs proposed for design as viable and feasible for the specific site and application.
  - (b) At the end of the Design Phase or prior to the start of the Construction Phase, the following six deliverables, sealed by a professional licensed to perform such work in accordance with Kentucky Revised Statutes (KRS), shall be provided:
    - Set of all final design calculations;
    - Set of final construction plans, including traffic control, erosion and sediment control, grading plans, etc.;
    - Set of final specifications and bidding documents (if applicable);
    - Final detailed engineer's construction cost estimate including quantities;
    - All required permit submittals and approvals;
    - Inspection, Operation, and Maintenance Plan laying out the plan for regular inspection and maintenance of each proposed facility for design performance and safety in accordance with manufacturer's specifications and the Government's Stormwater Manual.
  - (c) At the end of the Construction Phase, the following five deliverables shall be provided:
    - Summary of final construction costs and quantities;
    - Copies of all federal, state, and local permits obtained for the project;
    - Record Drawing showing all field changes, and signed and sealed by the professional of record certifying the project as shown meets all original design intent;
    - Photo documentation of site conditions and improvements before, during, and after construction;
    - Signed *Agreement to Maintain Stormwater Control Facilities*.
- (7) The Grant to the Grantee shall be disbursed in the following manner:
  - (a) The Grantee shall submit at least once every three (3) months, if not specified otherwise in Attachment A, a Request for Funds to the Government's Grant Manager designated by the Director of the Division of Water Quality for the project. Each Request for Funds shall include documentation that the Grantee has already expended the requested funds or shall be in a position to expend properly the requested funds within thirty (30) days of receipt of the funds. The Request for Funds shall include full accounting of these eligible grant-related expenses, as listed in Attachment A.

Copies of invoices, purchase orders, or receipts showing vendor, date, amount, and items purchased or ordered shall be provided with the Request for Funds. For project specific personnel costs and stipends, documentation of all billed hours shall include copies of employee timesheets, hourly payroll rate, and description of work performed for hours billed.

- (b) Each Request for Funds shall be accompanied by a Project Status Report describing the progress of the project to date, including a description and schedule of all activities completed, and hardcopy or electronic copies of materials (e.g., calculations, preliminary plans, etc.) completed to date. For educational events (if applicable), copies of the class rosters or sign-in sheets documenting the number of attendees shall be provided.
  - (c) The Government's Grant Manager shall review each Request for Funds and supporting documents for compliance with the terms of this Agreement and the guidelines of the Stormwater Quality Projects Incentive Grant Program. If the Grant Manager finds the Grantee's Request for Funds is in compliance with the terms of this Agreement and the guidelines of the Stormwater Quality Projects Incentive Grant Program and that the activity progress and management program of the Grantee satisfy the terms of the grant award, he or she shall approve the Request for Funds within 15 calendar days of receipt and then forward it to the Division of Accounting for payment.
  - (d) The Government shall release payment of the final 10% of the Grant only after receipt and acceptance of the Project Final Report. The Government's Grant Manager shall review the Project Final Report and provide comments to the Grantee or, if acceptable, forward approval within 15 calendar days of receipt to the Division of Accounting for payment.
  - (e) Should the Government's Incentive Grant Program Administrator determine that the Grantee is not in compliance with the terms of this Agreement and/or the Stormwater Quality Projects Incentive Grant Program, including deficiencies in progress and management of the project, the Division of Water Quality shall notify the Grantee, the Mayor's Office, and the appropriate district Council person, and shall meet with the Grantee on matters that prevent approval of the Request for Funds. Failure to resolve any such matters to the satisfaction of the Government may lead to termination of the Agreement for cause pursuant to Paragraph (20) herein below.
- (8) The Grantee agrees to obtain written approval from the Government's Grant Manager or Program Administrator for any proposed changes to the Project Team or Project Plan as listed in Attachment A prior to implementing the changes. Failure to gain written approval prior to making changes may lead to termination of the Agreement for cause pursuant to Paragraph (20) herein below.
  - (9) The Grantee agrees to complete the project phase(s) (i.e., Design and/or Construction) outlined herein within **18** months from the date of this Agreement. The Grantee shall obtain written approval from the Government's Grant Manager or Program Administrator for any time extensions beyond the schedule. Failure to obtain written approval prior to making changes may lead to termination of the Agreement for cause pursuant to Paragraph (20) herein below.
  - (10) This Agreement may not be modified except by written agreement of the Government and the Grantee.
  - (11) The Grantee understands that the Grant amount shown herein in Paragraph (1) is a not-to-exceed amount, and any additional funding needed to complete the project elements listed in Attachment A is the responsibility of the Grantee. If it becomes apparent to the Grantee or the Government that the Grantee will be unable to complete the project either in the manner or for the amount described in this Agreement, then the Grantee must immediately notify the Government's Grant Manager and Program Administrator by providing a complete and detailed written explanation of its inability to comply with the terms of the

Agreement. The Grantee must further provide the Government's Grant Manager and Program Administrator with a complete and detailed written explanation of any proposed changes, and the reasons for those changes.

- (12) The Grantee asserts that it is in full compliance with all applicable provisions of the Lexington-Fayette Urban County Government's Code of Ordinances Chapter 5 – Buildings and Building Regulations, Chapter 7 – Finance and Taxation, Chapter 12 – Housing, and Chapter 16 – Sewage, Garbage, Refuse, and Weeds, or in compliance with Kentucky Department of Housing Buildings and Construction rules and requirements as is appropriate for those state institutions, parcels or buildings which are subject to state regulations and oversight as opposed to local ordinances and regulations. If the Grantee becomes out of compliance with any of these provisions, it will notify the Government's Grant Manager and Program Administrator immediately. Failure to notify the Government and resolve any such matters to the satisfaction of the Government may lead to termination of the Agreement for cause pursuant to Paragraph (20) herein below.
- (13) The Grantee agrees to allow the Government access to its property to perform monitoring of the project elements for compliance with this Agreement, as provided in the "*Agreement to Maintain Stormwater Control Facilities*" (Attachment B).
- (14) In any advertisement of the project funded by the Grant, whether written or oral communications, the Grantee agrees to identify the Lexington-Fayette Urban County Government as the source of the above referenced funds; the Grantee shall not specifically identify any individual or elected official as being responsible for the funds donated by the Government.
- (15) The Grantee agrees to allow the Government to publicize the Grantee's project through the Government's website and other media.
- (16) The Grantee agrees to reference the Lexington-Fayette Urban County Government's Water Quality Management Fee and the Stormwater Quality Projects Incentive Grant Program as a source of funding for the project on any permanent signage or educational brochures, presentations, websites, etc. produced using grant monies.
- (17) The Grantee and Property Owner agree that all stormwater control facilities, including equipment and infrastructure, constructed and funded by a Construction Grant through the Stormwater Quality Projects Incentive Grant Program shall remain in service and maintained by the Grantee or its representatives following the Inspection, Operation, and Maintenance Plan developed for each facility referenced in (6b) above. The Property Owner further accepts and agrees to enter into the "*Agreement to Maintain Stormwater Control Facilities Funded by an LFUCG Stormwater Quality Projects Class B Incentive Grant*" attached hereto as Attachment B and which is incorporated herein by reference as if fully set out herein.
- (18) The Grantee and Property Owner agree that all stormwater control facilities, including equipment and infrastructure, constructed and funded by this Grant shall remain the property of the current Property Owner, or his successors and assigns, unless otherwise specified in Attachments A and B.
- (19) The Grantee and Property Owner understand that if any of the Grant-funded facilities not owned by the Government are removed from service, the property owner of record at the time of removal shall be liable to reimburse the Government for 100% of the Remaining Value of the facility or portion removed, based upon the depreciation schedule provided in Attachment B.
- (20) If, through any cause, the Grantee or Property Owner shall fail to fulfill in timely and proper manner its obligations under this Agreement, or if the Grantee or Property Owner shall violate any of the covenants, agreements or stipulations of this Agreement, the Government shall provide the Grantee or Property Owner thirty (30) calendar days to address the deficiency or violation. If the Grantee or Property Owner does not, after the thirty (30) days, come into compliance with this Agreement, the Government shall thereupon have the right to terminate this Agreement by giving written notice to the

Grantee of such termination and specifying the effective date thereof, at least five (5) calendar days before the effective date of such termination. In that event, all finished or unfinished documents, receipts and reports prepared by the Grantee shall, at the option of the Government, become its property and the Grantee shall immediately repay to the Government all monies received pursuant to this Agreement less any amount representing just and equitable compensation for the Government's share of any satisfactory work completed pursuant to the Agreement; provided, however, that for any project involving the construction of capital infrastructure, other than feasibility only projects, the Government's share of any satisfactory work completed shall not include feasibility or design costs.

- (21) The Grantee shall provide equal opportunity in employment as required by applicable federal, state, and local laws, regulations, and ordinances.
- (22) The Grantee is solely responsible for assuring that adequate and appropriate insurance or other necessary coverage is maintained during the term of this Agreement.
- (23) The Grantee's sole remedy for a breach of this Agreement by the Government shall be limited to the amount of the Grant.
- (24) The Government assumes no responsibility whatsoever in the Grantee's project activities. Grantee and Property Owner shall, to the extent allowed by Kentucky law, defend, indemnify, and hold harmless Government from and against all liability, claims, losses, actions, costs, expenses, obligations, fines, and assessments of whatever kind, including defense costs and attorney's fees that are in any way incidental to or connected with, or that arise or are alleged to have arisen, directly or indirectly, in whole or in part, from or by Grantee's or Property Owner's or its contractor(s), agents, or assigns, negligent acts or misconduct, or errors or omissions, in connection with the activities carried out pursuant to this Agreement, the Grant award or the Stormwater Quality Projects Incentive Grant Program.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement at Lexington, Fayette County, Kentucky, as of the day and year first above written.

LEXINGTON-FAYETTE URBAN COUNTY  
GOVERNMENT

BY: *Linda Gorton*  
LINDA GORTON, MAYOR

ATTEST:

*MaKerzie Summers*  
Deputy CLERK, URBAN COUNTY COUNCIL

GRANTEE ORGANIZATION: THE UNIVERSITY OF KENTUCKY RESEARCH  
FOUNDATION  
500 SOUTH LIMESTONE  
109 KINKEAD HALL  
LEXINGTON, KENTUCKY 40506-0057

VLT BY: *Kim C. Carter 7/23/2020*  
NAME: Kim C. Carter  
TITLE: Associate Director

The foregoing Agreement was subscribed, sworn to and acknowledged before me by *Kim C. Carter* as the duly authorized representative for and on behalf of *University of Kentucky Research Foundation*, on this the *23* day of *July*, 20*20*.

My commission expires: *9-8-2022*

JUDY STIVERS DUNCAN  
Notary Public-State at Large  
KENTUCKY - Notary ID # 607354  
My Commission Expires 09-08-2022

*[Signature]*  
NOTARY PUBLIC

**ATTACHMENT A**  
**to the GRANT AWARD AGREEMENT**  
**between Lexington-Fayette Urban County Government (LFUCG) and**  
**The University of Kentucky Research Foundation (UKRF)**

**GRANT PROGRAM** **FY2020 Stormwater Quality Projects Incentive Grant Program**  
**Class B Infrastructure Projects**

- Funded through the LFUCG Water Quality Management Fee
- Administered by the LFUCG Division of Water Quality in the Department of Environmental Quality & Public Works
- Design and Construction Grant

**PROJECT TEAM AND CONTACT INFORMATION**

**Grantee Organization:** The University of Kentucky Research Foundation (UKRF)  
500 South Limestone  
109 Kinkead Hall  
Lexington, KY 40526-0001  
KY Organization #0052708

**Primary Project Contact:  
& Project Manager:** Kim C. Carter, Associate Director  
859-257-9420 (phone)  
ospa@uky.edu (email)

**Secondary Project Contact:** Shane Tedder  
859-257-0014 (phone)  
shane.tedder@uky.edu (email)

**Project Site Location:** 751 Press Avenue / 220 Virginia Avenue  
Lexington, KY 40506  
Parcel #16703100

**Property Owner:** Commonwealth of Kentucky  
University of Kentucky  
410 Administration Drive  
Lexington, KY 40506  
Eric Monday, Executive Vice President for Finance &  
Administration  
859-257-1841 (phone)  
emonday@uky.edu (email)

**Design Consulting Firm:** TBD

**Other Stakeholders:** Mike Duffy – Utility Plant Manager  
Joe Graft – Facilities Engineer  
Kevin Lewis – Water Quality Compliance Manager  
Jeff Zumwalt – Utilities and Energy Management Executive  
Director

**PROJECT PLAN ELEMENTS**

1) ***STORMWATER CONTROL FACILITIES:***

**No grant-funded activities shall occur until the LFUCG Grant Manager gives notice-to-proceed, in writing, for the start of the design phase of the project.**

All improvements shall be located on the property at 751 Press Avenue / 220 Virginia Avenue, Lexington, KY 40506 owned by the Commonwealth of Kentucky University of Kentucky. The location of the property is shown in Figures 1 and 2 at the end of this document. The property owner shall provide written permission for UKRF to construct the grant-funded items at this

address. No other property or Right-of-Way shall be disturbed without the written permission from the property owners.

The project includes design and construction of the stormwater control facilities at the specified locations on the property as shown in Figure 1. The proposed facilities are listed below and are further described in the Organization's incentive grant application. Alterations to these elements can only be made in consultation with the LFUCG Grant Manager. Significant alteration of these elements may require approval by the LFUCG Water Quality Fees Board.

The primary purpose of this project is to reduce stormwater volumes and peak flows through the Simpson Avenue box culvert by diverting water from the culvert to a University utility plant for use in cooling towers that utilize evaporative cooling processes. This will result in:

- Reductions in the volume and peak flow of stormwater entering Wolf Run
- Reduction in the volume of excess run-off flowing through this outfall point on a daily basis
- Water quality benefits resulting from the removal of up to 29,000,000 gallons of runoff from the stream system
- Reduced quantity of domestic water consumed by the University

### **Project Elements**

- A. **Manufactured Treatment Device:** The manufactured treatment device will be placed between the stormwater box culvert and the harvesting pump station and will be designed to improve water quality by removing pollutants and constituents (*e.g.*, oils, floatables, and sediment) that could interfere with the pumping of the stormwater and/or cooling tower operations. The design will follow criteria outlined in the LFUCG Stormwater Manual, which includes the need for New Jersey Corporation for Advanced Technology (NJCAT) verification, as well as New Jersey Department of Environmental Protection (NJDEP) certification.
- B. **Water Harvesting Pump Station:** By harvesting stormwater and diverting it to the cooling towers, the polluted stormwater will not reach LFUCG's MS4. Once the stormwater flows through the manufactured treatment device, it will flow to the water harvesting pump station to be pumped to the utility plant's cooling towers to be used in the evaporative cooling process in lieu of tap water.
- C. **Evaporation:** Up to 80 percent of the water used in the cooling towers is evaporated to the atmosphere. The water that is not evaporated will be discharged to LFUCG's sanitary sewer.
- D. **Education:** Stormwater education opportunities stemming from this project will include:
- Integration of the project with UK classes: Several units within the College of Engineering have expressed interest in connecting their classes with the design, operation, and evaluation of this project including Civil Engineering and the Power and Energy Institute of Kentucky.
  - Incorporation of this project into extension / outreach activities such as workshops (general public, professionals), extension publications, and videos.
  - Incorporation of the project into UK Physical Plant personnel training.

## **2) DESIGN DOCUMENTS:**

**Design Plans shall be provided to the LFUCG Grant Manager for review prior to starting construction phase of the project.**

- The Stormwater Harvesting Project shall be designed in such a way as to incorporate any applicable sections of the LFUCG Engineering Manuals.
- All existing utilities shall be located and shown on the design plans.
- All existing easements, adjacent property lines, and Rights-of-Way shall be shown on the design plans. If any work is proposed to occur within any easement (*i.e.*, utility, etc.), whether



public or private, the Organization shall obtain all necessary encroachment agreements from the authorized agencies prior to the start of construction.

- Any work proposed within or on public right-of-way, easement, or LFUCG-owned property will require one or more permits or approvals. This includes installation permits for connection into any existing curb inlet or stormwater manhole located within public right-of-way. Please contact the appropriate staff:

Environmental Services (street trees), Tim Queary – <a href="mailto:tqueary@lexingtonky.gov">tqueary@lexingtonky.gov</a> Engineering (right-of-way), Brian Knapp – <a href="mailto:bknapp@lexingtonky.gov">bknapp@lexingtonky.gov</a> Engineering (new development), Hillard Newman – <a href="mailto:hnewman@lexingtonky.gov">hnewman@lexingtonky.gov</a> Sanitary Sewers, Rod Chervus – <a href="mailto:rchervus@lexingtonky.gov">rchervus@lexingtonky.gov</a> Stormwater, Greg Lubeck – <a href="mailto:glubeck@lexingtonky.gov">glubeck@lexingtonky.gov</a>
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- All federal, state, and local permits, approvals, and agreements required for construction of the proposed improvements shall be obtained prior to the start of construction. If the timing of construction is such that a permit may expire before construction can be completed, then the Organization shall coordinate with the LFUCG Grant Manager and permitting agencies on appropriate timing for permit submittals. The Organization is fully responsible to determine which approvals, permits, and encroachments are required for the project.
- Erosion and sediment control and traffic control measures shall be designed to meet all standards and follow guidelines in the LFUCG Engineering Manuals, and shall be shown on the design plans with appropriate notes.

3) ***STORMWATER CONTROL FACILITIES CONSTRUCTION:***

**No grant-funded construction activities shall occur until the LFUCG Grant Manager gives notice-to-proceed, in writing, for the start of the construction phase of the project.**

Facilities shall be constructed per the design plans and specifications. Construction of the proposed facilities shall also meet the following stipulations:

- Construction shall not begin until all permits, approvals, permissions, agreements, etc. are obtained and copies provided to the LFUCG Grant Manager.
- All existing utilities shall be located, contacted, and coordinated with prior to any work being performed.
- The Stormwater Pollution Prevention Plan, including the Erosion and Sediment Control Plan, shall be provided to the LFUCG Divisions of Water Quality and Engineering for review. An LFUCG Land Disturbance Permit shall be obtained by the contractor after placement of the ESC BMPs and traffic control measures.
- Failure to place acceptable erosion and sediment control measures into service prior to start of construction will result in shut-down of the job site until the measures are put in place. Construction practices shall be put in place to prevent the illicit discharge of sediment, dirt, sand, fluids, trash, and any other pollutant into the Municipal Separate Storm Sewer System or Waters of the Commonwealth.
- The Organization shall host a pre-construction meeting with all parties related to the Stormwater Control Facilities. The LFUCG Grant Manager shall be invited 5 days in advance of this meeting.
- The Organization is responsible for providing all construction oversight, administration, and daily inspections. LFUCG shall not provide these services.
- The Organization shall document construction by taking before, during, and after photographs. Photographs shall be provided in digital format to the LFUCG Grant Manager.

- Once construction of the Stormwater Control Facilities is complete, a final punch-list inspection shall be performed. The LFUCG Grant Manager shall be invited to this inspection and given 5 days notice. If punch-list items are identified, a second inspection shall be performed once those items are resolved, and the LFUCG Grant Manager shall be invited to this inspection and given 3 days notice.
- The Organization (and/or Property Owner) agrees to enter into the *Agreement to Maintain Stormwater Control Facilities Funded by an LFUCG Stormwater Quality Projects Class B Incentive Grant* included in Attachment B of the Grant Award Agreement within 21 calendar days of the final (post punch-list) inspection. This Agreement shall be recorded by LFUCG at the Fayette County Clerk's office. It is anticipated the Stormwater Harvesting Project will be included in Attachment B.

## **REPORTING REQUIREMENTS**

- 1) Prior to construction, the Organization shall provide the LFUCG Grant Manager three (3) hard copies and one (1) digital copy of the following deliverables, each sealed by a professional licensed to perform such work in accordance with Kentucky Revised Statutes (KRS):
  - Set of all final design calculations
  - Set of final construction plans, including erosion and sediment control plans, grading plans, etc., including one "half-size" set
  - Set of final specifications and bidding documents (if applicable)
  - Final detailed engineer's construction cost estimate including quantities and/or bid(s)
  - Written permission from the property owner where the grant-funded elements are to be constructed.
  - All local, state, or federal permits, approvals, public or private encroachment agreements, etc. received to date for the project
  - Inspection, Operation, and Maintenance Plan (IOM Plan) laying out the plan for regular inspection and maintenance of each proposed facility for design performance and safety in accordance with manufacturer's specifications and LFUCG's Stormwater Manual
  - Existing condition photographs
- 2) The Organization shall allow LFUCG twenty-one (21) calendar days to review the submittals and provide comments. If revised submittals are required, the Organization shall allow LFUCG ten (10) calendar days for review per submittal. LFUCG may choose to have a third party engineering consultant assist LFUCG in review of these submittals.
- 3) If the project is competitively bid, the selected contractor's unit price contract / bid list shall be provided to the LFUCG Grant Manager prior to the start of construction.
- 4) If the project is not competitively bid, the selected contractor's unit price contract shall be provided to the LFUCG Grant Manager prior to the start of construction, along with a justification for any deviations from the engineer's construction cost estimate.
- 5) **The construction phase shall begin only after the LFUCG Grant Manager gives notice-to-proceed, in writing, for the start of the construction phase of the project.**
- 6) If, during construction, the contractor requests a deviation or addition to the quantities or costs in the construction contract, the LFUCG Grant Manager shall be notified within 2 business days. Additions or modifications to the project that are not directly related to the intended and correct function of the stormwater control project elements as described in the Project Plan Elements listed above and in the original incentive grant application are not eligible for Grant reimbursement. Therefore, the Organization is advised that it should coordinate closely with the LFUCG Grant Manager during construction to ensure the work being performed is in compliance with this Agreement. **Note that per the Grant Award Agreement all overruns that result in the project costs exceeding the Grant amount are the responsibility of the Organization.**
- 7) After construction is completed, the Project Final Report shall include digital and hard copies of the following:
  - Summary of final construction costs and quantities.

- Written permission from the property owner where the grant-funded elements are to be constructed.
  - Copies of all federal, state, and local permits obtained for the project (if not previously provided) and any permit closure documents.
  - 3 copies of a Record Drawing showing all field changes, and signed and sealed by the professional of record certifying the project as shown meets all original design intent
  - Copies of final inspection minutes, punch-lists, etc.
  - Photo documentation of site conditions and improvements before, during, and after construction
  - Signed *Agreement to Maintain Stormwater Facilities Funded by an LFUCG Stormwater Quality Projects Class B Incentive Grant* (this form will be provided by LFUCG after construction is completed and final costs determined)
  - Any materials generated, including educational materials, as well as documentation of how the project has been incorporated into class, workshop, and/or training curriculum
- 8) LFUCG shall make final payment of the 10% retainer after acceptance of the Project Final Report.
- 9) All attachments to Request for Funds & Project Status Reports shall reference the associated line Table 2 – Eligible Expenses.

### **PERMANENT FACILITIES / INFRASTRUCTURE**

**Ownership:** The proposed facilities are expected to reside on University of Kentucky property in Fayette County and be owned by the University.

**Future Inspection and Maintenance:** The Organization (and/or Property Owner) agrees to sign and abide by the terms of the *Maintenance Agreement for Stormwater Control Facilities Funded by an LFUCG Stormwater Quality Projects Class B Incentive Grant* included as Attachment B to the Grant Award Agreement. The property owner is solely responsible for future maintenance of the grant-funded improvements as long as the improvements are in service.

**Monitoring by LFUCG:** The Organization (and/or Property Owner) agrees to allow LFUCG staff future access to any property on which work is performed to monitor the installed features for compliance with this Agreement during the grant period. After the grant period has ended, the Organization (and/or Property Owner) agrees to allow LFUCG access for monitoring per the terms of the Maintenance Agreement. Water quality sampling via grab samples or other methods may be employed by LFUCG staff as part of LFUCG's annual reporting requirement of its Kentucky Pollutant Discharge Elimination System (KPDES) MS4 Phase 1 Permit. Additionally, the Organization (and/or Property Owner) allows LFUCG to inspect and/or verify the meter readings on the meter installed to measure blowdown discharge from the utility plant's cooling towers to LFUCG's sanitary sewer system.

### **EQUIPMENT**

Any equipment purchased with the Grant shall remain the property of the Organization.

### **ADDITIONAL STIPULATIONS**

Note the following additional stipulations related to this project:

1. The project shall not proceed with field work until written approval to proceed is obtained from the Grant Administrator or Director of Water Quality, because of the potential for conflict with future LFUCG Projects.
2. The Inspection, Operation, and Maintenance Plan (IOM Plan) shall be provided at the conclusion of the project.
3. Grantee to coordinate with all pertinent branches and sections at the Kentucky Division of Water prior to project design and construction, and provide documentation from KDOW to DWQ for review. Grantee shall obtain official affirmation from the Kentucky Division of Water (KDOW) as to whether or not a water withdrawal permit is required for the grant-funded project and whether or not KDOW has or wants to establish a low flow amount for the Simpson Avenue culvert (8' x 8' box culvert).

4. Grantee shall obtain approval from DWQ for a metering method to be installed and functional by completion of the grant-funded project to measure blowdown discharge to LFUCG's sanitary sewer system, including provisions allowing LFUCG to inspect and/or verify the meter readings.

**GRANT PERIOD & PROJECT SCHEDULE**

The grant period starts on the date of execution by the Mayor and extends for the time period as listed in the Grant Award Agreement. Any time extensions must be approved in writing by the LFUCG Grant Manager. The project schedule shown in Table 1 is preliminary. Proposed changes to the project which alter this schedule significantly shall be discussed with the LFUCG Grant Manager prior to implementation.

**TABLE 1 – PROJECT SCHEDULE**

Activity	Start Date
Notice-to-Proceed	June 2020
Develop Request for Proposal (RFP) with UK's Purchasing Division	July 2020
Award Design Contract	August 2020
Kickoff Meeting with UK Team Members, LFUCG, and Design Firm	August 2020
Complete Design / Develop Bid Package	September 2020
Develop Request for Proposal (RFP) for Construction with UK's Purchasing Division	September 2020
Award Construction Contract	October 2020
Construction	November 2020 – July 2021
Final Report to LFUCG for Final Payment	September 2021

**PROJECT BUDGET – GRANT ELIGIBLE EXPENSES**

The project budget is broken into the following components based upon the Organization's incentive grant application:

1. Design Phase: **\$ 35,400.00**
2. Construction Phase: **\$ 235,600.00**

<b>TOTAL PROJECT COSTS: \$ 271,000.00</b>
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The total project cost estimate and breakdown of grant to cost share is as follows:

Total Grant Share	\$ 216,800.00 not to exceed
Estimated Cost Share	<u>\$ 54,200.00</u>
<b>Est. Total Project Cost</b>	<b>\$ 271,000.00</b>

Table 2 lists the eligible expenses for this project. Only properly invoiced items shall be reimbursed with grant monies or counted toward the Organization's cost share.

Any work performed on this project prior to grant award by the Urban County Council and Notice-to-Proceed from the LFUCG Grant Administrator is not an eligible expense and shall not be reimbursed or counted toward the cost share.

Construction cost items given in Table 2 are conceptual and the construction estimate will be revised and submitted to the LFUCG Grant Manager for review prior to construction and again once bids are received. **The Grant is a not-to-exceed amount, and any cost overruns are the responsibility of the Grantee.** Note that the Grant shall not be used to fund any project element that is required by local, state, or federal regulation in relation to any new development or re-development associated with the stormwater quality improvement project as described herein. Donated professional service hours shall be valued at the Median Hourly Wage for the service provided as calculated by the U.S. Department of Labor, Bureau of Labor Statistics, State Occupational Employment and Wage Estimates for Kentucky (current website: [http://www.bls.gov/oes/current/oes\\_ky.htm](http://www.bls.gov/oes/current/oes_ky.htm)).

TABLE 2 – ELIGIBLE EXPENSES

Type of Expense	Participants	Item	Unit Price	Quantity	Funded by Organization	Funded by Grant	Total Expense	
<b>1. Design (Consulting) Fees</b>								
2 Design Consultant	TBD	Design	\$ 35,400.00	LS	1	\$ 35,400.00	\$ - \$ 35,400.00	
<b>3 Equipment and Supplies</b>								
4 Equipment and Supplies	UKRF	Filtering Unit	\$ 15,000.00	LS	1	\$ 15,000.00	\$ - \$ 15,000.00	
5 Equipment and Supplies	UKRF	Personnel hours	\$ 185,000.00	LS	1	\$ -	\$185,000.00 \$185,000.00	
<b>6 Construction Costs</b>								
7 Construction	Contractor	Earth excavation	\$ 270.00	LS	1	\$ 270.00	\$ - \$ 270.00	
8 Construction	Contractor	Rock excavation	\$ 2,630.00	LS	1	\$ 2,630.00	\$ - \$ 2,630.00	
9 Construction	Contractor	Rock excavation	\$ 3,620.00	LS	1	\$ -	\$ 3,620.00 \$ 3,620.00	
10 Construction	Contractor	Stone backfill	\$ 900.00	LS	1	\$ 900.00	\$ - \$ 900.00	
11 Construction	Contractor	Piping	\$ 7,000.00	LS	1	\$ -	\$ 7,000.00 \$ 7,000.00	
12 Construction	Contractor	Contingency	\$ 21,180.00	LS	1	\$ -	\$ 21,180.00 \$ 21,180.00	
13			<b>TOTAL PROJECT BUDGET:</b>			\$ 54,200.00	\$216,800.00	\$271,000.00
14						ORGANIZATION	GRANT	
15			COST SHARE % = 20.00% OK			SHARE	SHARE	
16			MUST BE > 20%			20.0%	80.0%	
17	* Note: Organization share must be 20% of total project costs.							

FIGURE 1 – UKRF STORMWATER HARVESTING PROJECT – MAP SHOWING BMP LOCATIONS (FROM APPLICATION)

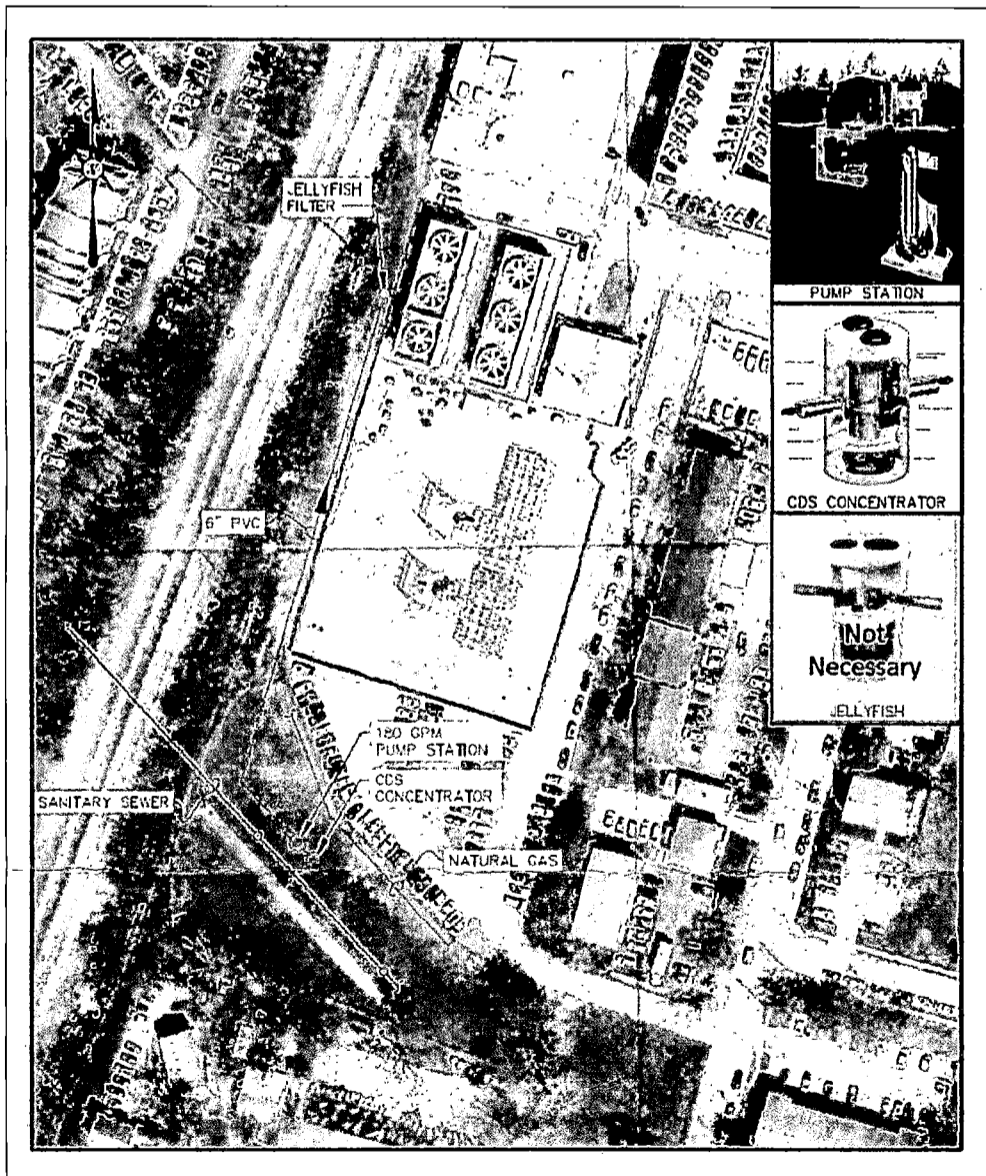
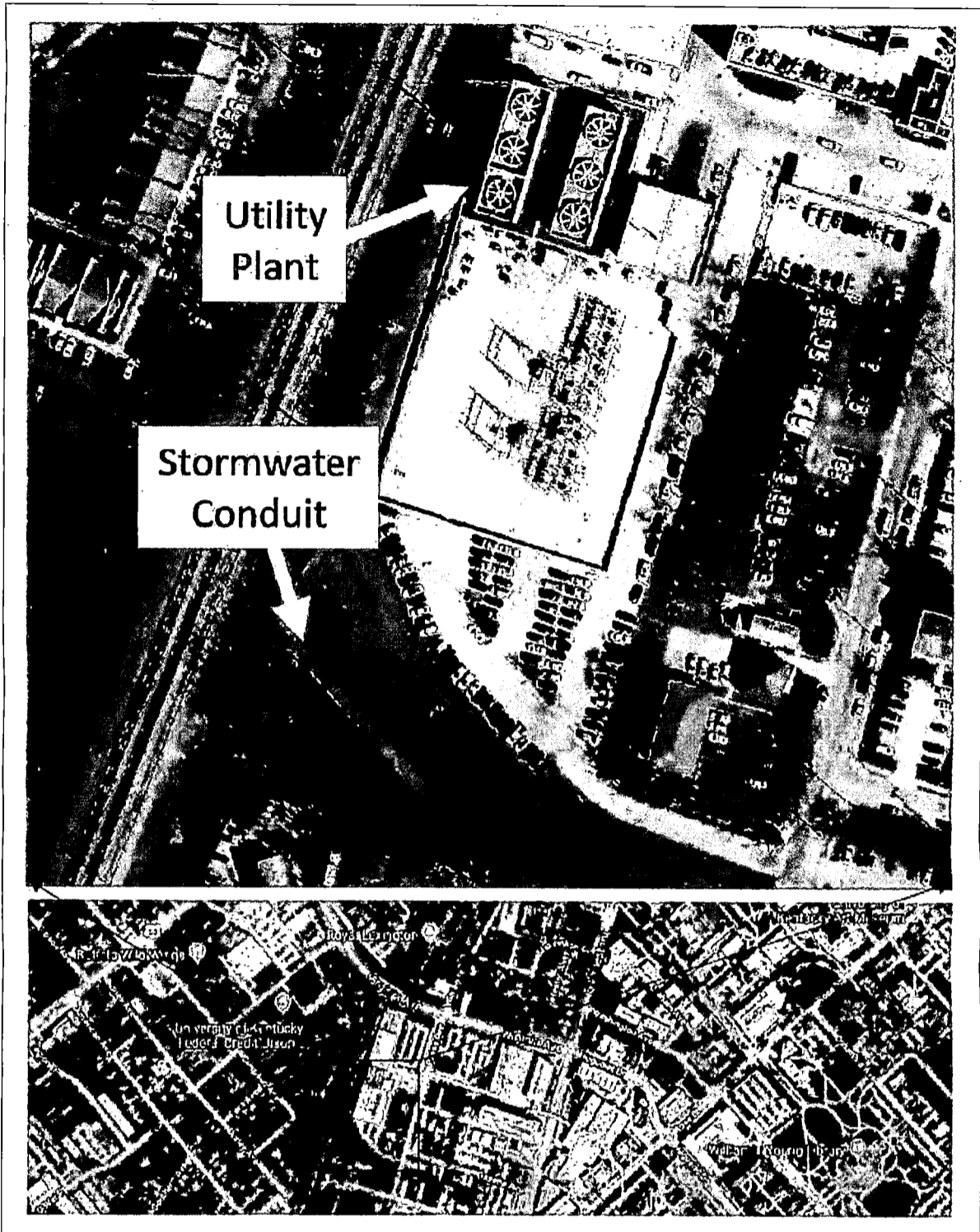
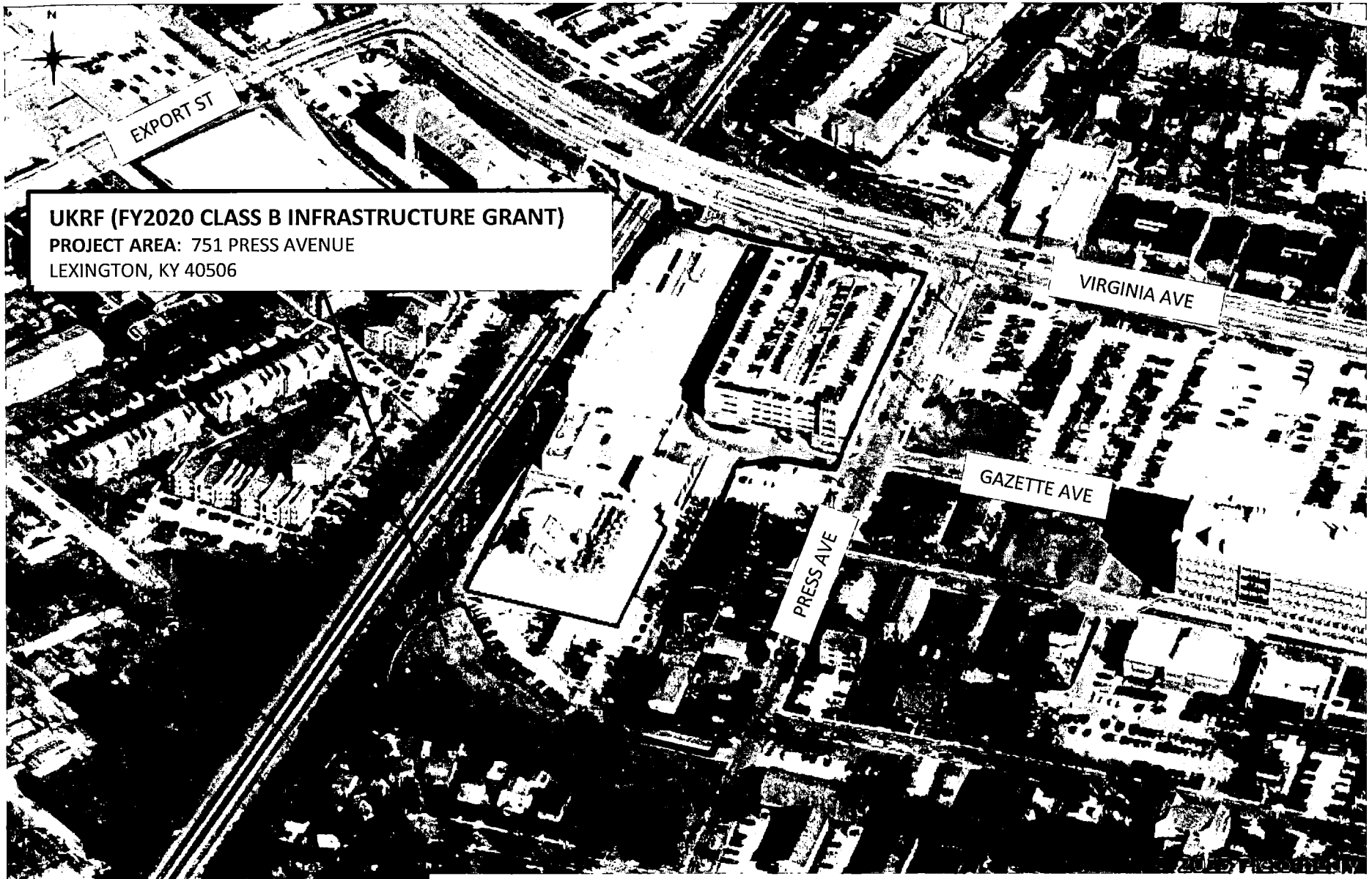


FIGURE 2 – UKRF STORMWATER HARVESTING ARIEL MAP (FROM APPLICATION)



# Stormwater Quality Projects Incentive Grant Program



**UKRF (FY2020 CLASS B INFRASTRUCTURE GRANT)**  
PROJECT AREA: 751 PRESS AVENUE  
LEXINGTON, KY 40506

THE UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION (UKRF)