

GRANT AWARD AGREEMENT

Fiscal Year 2014 Class A Incentive Grant Program

THIS AGREEMENT, made and entered into on the _____ day of _____, 20____, by and between the **LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT**, 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 **Harrod Hills Neighborhood Association, Inc.**, 2001 Bamboo Drive, Lexington, Kentucky 40513, (hereinafter "Grantee").

WITNESSETH:

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

WHEREAS, the Grantee represents directly or indirectly a group of single-family residences in Fayette County who are fee-payers 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 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 for the benefit of its members, community, and the general public; and

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

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 **\$3,530.00** (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.
- (2) The Grantee agrees to match the Grant with contributions, labor and other services equal to or greater than 20% of the total project cost.
- (3) The Grantee agrees to use the Grant only for the activities set forth in Attachment A.
- (4) The Grantee agrees to perform periodic reporting as detailed in Paragraph 5 herein below, and provide to the Government a Project Final Report, in digital and hard copy, within thirty (30) calendar days of the completion of the project elements following a standardized format to be provided by the Government summarizing all work completed and detailing the total grant expenditures.

- (5) The Grant to the Grantee shall be disbursed in the following manner:
- (a) The Grantee shall submit, at least once every three (3) months, a *Grant Reimbursement Form* and a *Request for Funds*, in standardized format provided by the Government, to the Government's Grant Manager designated by the Director of the Division of Water Quality for the project. The *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 all 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*.
 - (b) Each *Request for Funds* shall include documentation of all of the Grantee's Match Costs listed in Attachment A and claimed for the prior period. For cash expenditures this shall include receipts, showing vendor paid, date, amount, and items purchased. For volunteer hours this shall include sign-in sheets describing the events with signatures, name, address, time in and time out (or length of event), for each participant (volunteers must be 12 years of age or older). For mileage, this shall include driver name, type of vehicle, location to and from, date, and miles driven.
 - (c) Each *Request for Funds* shall be accompanied by a *Project Status Report*, in a standardized format provided by the Government, describing the progress of the project to date, including a description and schedule of all activities completed, and hardcopy or electronic copies of materials completed and/or used to date. For educational events (if applicable), copies of the class sign-in sheets documenting the number of attendees shall be provided.
 - (d) 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 Government's Grant Manager finds the Grantee's *Request for Funds* is in compliance with the terms of this Agreement and the Program's guidelines and that the activity progress and management program of the Grantee satisfy the terms of this Agreement, he or she shall approve the *Request for Funds* within 15 days of receipt, and then forward it to the Division of Accounting for payment.
 - (e) Should the Government's 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/or management of the project, the Division of Water Quality shall notify 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 25 herein below.
 - (f) The Government shall release payment of the final 3% 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 within 15 calendar days or, if acceptable, forward approval to the Division of Accounting for payment.
- (6) For any project which includes installation of permanent capital infrastructure as listed in Attachment A (not to include individual rain barrels, small rain gardens, and pond equipment), the Grantee agrees to meet all design standards specified in the Government's Engineering Manuals and/or as further described in Attachment A in the design of all Grant-funded improvements. 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 the Government.

- (7) For any project which includes installation of permanent capital infrastructure as listed in Attachment A, the Grantee agrees to provide in hard copy and electronic format the following deliverables as they become available, each sealed by a Professional Engineer licensed in the Commonwealth of Kentucky (or Registered Landscape Architect when allowed by Kentucky Revised Statutes 323A.010):
- Design calculations;
 - Final construction plans, including erosion and sediment control plans, traffic control plans, grading plans, etc.;
 - Final specifications and bidding documents (if applicable);
 - Detailed engineer's construction cost estimate including quantities;
 - 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.
 - Copies of all federal, state, and local permits, approvals, encroachments, etc. 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.
- (8) For any project which includes installation of permanent capital infrastructure listed in Attachment A, the Grantee shall provide, by the end of the design phase, certification by a Professional Engineer or Registered Landscape Architect licensed in Kentucky that all stormwater control facilities proposed for this project are feasible and viable Best Management Practices (BMPs) for controlling stormwater quality and/or quantity and are appropriate for the project site.
- (9) The Grantee agrees that any and all stormwater control facilities, including equipment and infrastructure, constructed or purchased with Grant monies shall remain the property of the Grantee, or the current property owner, or his successors and assigns, unless otherwise noted in Attachment A.
- (10) The Grantee agrees that all stormwater control facilities, including equipment and infrastructure shall remain in service and maintained by the Grantee or its representatives for at least the Service Life listed in Attachment A. For capital infrastructure, this shall include following the Inspection, Operation, and Maintenance Plan developed for each facility referenced in Paragraph 7 above. For capital infrastructure, the Grantee further accepts and agrees to enter into the "Agreement to Maintain Stormwater Control Facilities for Class A Incentive Grant Projects" attached hereto as Attachment B and which is incorporated herein by reference as if fully set out herein.
- (11) The Grantee agrees, and all individual property owners with grant-funded improvements installed on their properties shall agree, to allow the Government access to perform monitoring of the project elements for compliance with this Agreement.
- (12) The Grantee agrees to comply with all applicable local, state, and federal rules, regulations, ordinances, and laws in implementation of the project.
- (13) The Grantee agrees to obtain all necessary local, state, and federal permits and approvals in a timely manner and prior to the start of any work requiring such permits or approvals.
- (14) 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 25 herein below.
- (15) The term of this Agreement shall be from the date of this Agreement until completion of the project outlined herein. The Grantee agrees to complete the project within **18** months from the date of this Agreement. The Grantee agrees to obtain written approval from the

Government's Grant Manager or Program Administrator for any time extensions beyond the grant period. Failure to gain written approval prior to making changes may lead to termination of the Agreement for cause pursuant to Paragraph 25 herein below.

- (16) The Grantee understands that the **Grant 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.
- (17) The Grantee asserts that it is an incorporated organization registered in active status with the Commonwealth of Kentucky Secretary of State, and 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 Housings 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 contact the Government's Program Administrator immediately. Failure to resolve any such matters to the satisfaction of the Government may lead to termination of the Agreement for cause pursuant to Paragraph 25 herein below.
- (18) This Agreement may not be modified except by written agreement of the Government and the Grantee.
- (19) In any advertisement of the grant-funded project, whether oral or written 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.
- (20) The Grantee agrees to allow the Government to publicize the Grantee's project through the Government's website and other media.
- (21) 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.
- (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 shall provide equal opportunity in employment as required by applicable federal, state, and local laws, regulations and ordinances.
- (24) The Government assumes no responsibility whatsoever in the Grantee's project activities. Grantee shall defend, indemnify, and hold harmless the Government from and against any and all liability, claims, damages, 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 its contractor(s), agents, or assigns, negligent acts or misconduct, or errors or omissions, or in any way connected with the activities carried out pursuant to this Agreement, the Grant award or the Stormwater Quality Projects Incentive Grant Program.
- (25) If, through any cause, the Grantee shall fail to fulfill in timely and proper manner its obligations under this Agreement, or if the Grantee shall violate any of the covenants, agree-

ments or stipulations of this Agreement, the Government shall provide the Grantee thirty (30) calendar days to address the deficiency or violation. If the Grantee 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.

(26) The Grantee's sole remedy for a breach of this Agreement by the Government shall be limited to the amount of the Grant.

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

**LEXINGTON-FAYETTE URBAN COUNTY
GOVERNMENT**

BY: _____
JIM GRAY, MAYOR

ATTEST:

CLERK, URBAN COUNTY COUNCIL

**Grantee Organization: Harrod Hills Neighborhood Association, Inc.
2001 Bamboo Drive
Lexington, KY 40513**

BY: _____
NAME: MARY BETH GRIFFITH
TITLE: PRESIDENT OF HHNA

The foregoing Agreement was subscribed, sworn to and acknowledged before me by Mary Beth Griffith, as the duly authorized representative for and on behalf of Harrod Hills Neighborhood Association, Inc., on this the 1st day of May, 2014.
My commission expires: April 11, 2015.

Cindy Ethington
NOTARY PUBLIC



ATTACHMENT A
to the GRANT AWARD AGREEMENT
between Lexington-Fayette Urban County Government (LFUCG) and
Harrod Hills Neighborhood Association, Inc.

GRANT PROGRAM: FY2014 Stormwater Quality Projects Incentive Grant Program
Class A (Neighborhood) Projects

- Funded through the LFUCG Water Quality Management Fee
- Administered by the LFUCG Division of Water Quality in the Department of Environmental Quality

PROJECT TEAM AND CONTACT INFORMATION

Organization: Harrod Hills Neighborhood Association, Inc.
a.k.a. Harrods Hill Neighborhood Association
2001 Bamboo Drive
Lexington, KY 40513
KY Organization #: 0193678

Organization President: Mary Beth Griffith, President
859-224-2310
harrodshill@gmail.com

Primary Project Contact and Project Manager: Mary Beth Griffith
859-224-2310 (phone)
harrodshill@gmail.com (email)
Will serve as project manager; providing project administration, grant reporting, and volunteer management.

Secondary Project Contact: Walt Gaffield
859-942-2819 (phone)
w.gaffield@gmail.com (email)

Project Site Location(s): 3251 Beaumont Centre Circle, PVA #19992380
3308 Ridgecane Road, PVA #04025900
3338 Ridgecane Road, PVA #20008570
Lexington, KY, 40513

Property Owners: 3251 Beaumont Centre Circle: Young Mens Christian Association
3308 Ridgecane Road: Lexington-Fayette Urban County Gvmt
3338 Ridgecane Road: Harrods Hill Recreation Center Inc

Design Professional Firm: N/A

Contractor: N/A

PROJECT PLAN ELEMENTS

The goals of the Streamside Buffer Stewardship Program are to improve water quality and stormwater management in the South Elkhorn Creek Watershed by establishing a demonstration project along Cave Creek which removes invasive species, plants native species, and educates the community. The project seeks to accomplish the goals through obtaining support from community members and organizations to undertake similar projects in the Cave Creek area as well as providing information through signs, website, email, and information handouts. These goals were set forth in order to improve the quality and quantity of streamside buffers, engage the public in the understanding of the purpose and function of these vegetative buffers, and provide a test/demonstration area that property owners can use to adopt similar practices on their streamside areas. Restoration of the native vegetative buffers will help water quality by increasing nutrient uptake, shade the creeks limiting algae, filter stormwater runoff, and stabilize banks.

MBG

REPORTING REQUIREMENTS

In addition to the reporting requirements outlined in the Grant Award Agreement, the following special items are noted for this project:

1. The Organization shall submit copies of the herbicide application plan to the LFUCG Grant Manager prior to work beginning.
2. The Organization shall provide written authorizations for private property (including LFUCG Parks) access to the LFUCG Grant Manager prior to work on any area for which they are required.

EQUIPMENT

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

PERMANENT FACILITIES/INFRASTRUCTURE

Permanent Capital Infrastructure: This grant does not include “Permanent Capital Infrastructure” as defined in the Grant Award Agreement. Attachment B is not required for this Agreement.

Monitoring: The Organization agrees to allow LFUCG staff access to the project site to monitor the installed features for compliance with this 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.

CONSTRUCTION ACCESS

If work is to be performed on private property, the Organization is responsible to obtain written authorization from the affected property owner(s) allowing such access. No permanent feature (including plantings), shall be placed upon private property without prior signed authorization from the owner.

ADDITIONAL GRANT STIPULATIONS

Design, construction, and plant installation shall meet the following requirements:

- a) All existing utilities shall be located, contacted, and coordinated with prior to any work being performed as necessary.
- b) Planting of trees within 10 feet of existing utilities can only be done if written approval by the utility is provided to LFUCG prior to planting.
- c) No trees shall be planted within 10 feet of any sanitary sewer system or storm drainage pipe.
- d) If herbicides are proposed to be used, a plan for appropriate application controls shall be submitted to LFUCG prior to use, and shall be followed during applications.
- e) A letter of support from LFUCG Parks & Recreation is required prior to performing any work on LFUCG owned park properties.

GRANT PERIOD & PROJECT SCHEDULE

The grant period starts on the date of execution of the Grant Award Agreement 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 Incentive 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 - Streamside Buffer Stewardship Program

| Activity | Anticipated Date |
|--|-------------------------------------|
| Approval of Grant Award and Notice to Proceed | May 2015 |
| HHNA Meetings to Plan Project | Within 1 month of NTP and Monthly |
| Approval of work plan by property managers (HHRC, Parks, YMCA) | Within 60 days of Notice to Proceed |
| Communicate Plan and Organize Volunteers | Within 90 days of Notice to Proceed |
| Conduct stream clean up and trash removal | May – June 2014 |
| Conduct invasive plant removal work days | May – June 2014 |
| Conduct native plant installations | June – October 2014 |
| Follow up work days | June – October 2014 |
| Final Report to LFUCG | December 2015 |

PROJECT BUDGET – GRANT ELIGIBLE EXPENSES & ORGANIZATION MATCH

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 match. Any work performed on this project prior to grant award by Urban County Council and Notice to Proceed from the LFUCG Grant Manager is not an eligible expense and shall not be reimbursed or counted toward the match, except for the following which will be allowed:

- Activities occurring within 50 days of Notice to Proceed which generate match through Volunteer Hours or Donated Professional Service hours. The grantee assumes all risks associated with these expenses. This is being allowed for this project due to the time sensitive nature of the planting and invasive species removal work.

Hours worked by participants under the age of 12 shall not be counted toward the match.

No work on any item outside of the project scope described herein shall be performed without prior written approval from the LFUCG Grant Manager. Failure to do so may result in non-reimbursement for any such items.

Any donated professional service hours not currently listed in the Eligible Expenses shall be valued, at a maximum, at the Median Hourly Wage for the expertise provided – from the U.S. Department of Labor, Bureau of Labor Statistics, State Occupational Employment and Wage Estimates for Kentucky (current website: www.bls.gov/oes/current/oes_ky.htm#17-0000).

TABLE 2. ELIGIBLE EXPENSES

| | Type of Expense | Participants | Item | Unit Price | Quantity | Funded by Organization | Funded by Grant | Total Expense | |
|----|---|----------------------------------|--|------------------------------|----------|------------------------|---------------------------|--------------------|--------------------|
| 1 | Removal of Invasive Species, Trash Removal, and Planting of Native Trees, Bushes, and Plants | | | | | | | | |
| 2 | Invasive Plant Removal and herbicide app. | Volunteers, HHNA, HHRC, YMCA | Volunteer Work Hours | \$ 7.25 per hour | 100 | \$ 725.00 | \$ - | \$ 725.00 | |
| 3 | Invasive Plant Removal | HHNA | Chipper | \$ 85.00 per hour | 5 | \$ - | \$ 425.00 | \$ 425.00 | |
| 4 | Invasive Plant Removal | HHNA | Hauling and Disposal of Invasive Plants | \$ 900.00 per day | 1 | \$ - | \$ 900.00 | \$ 900.00 | |
| 5 | Native Plants and Planting Material | HHNA | Trees, Shrubs, and Native Plants | \$ 1,500.00 per project site | 1 | \$ - | \$ 1,500.00 | \$ 1,500.00 | |
| 6 | Installation of plantings | Volunteers, HHNA, HHRC, YMCA | Volunteer Work Hours | \$ 7.25 per hour | 70 | \$ 507.50 | \$ - | \$ 507.50 | |
| 7 | Maintenance Visits in Project Year | Project Personnel and Volunteers | Weeding, Mulching, Apply Herbicide on Stumps as Needed | \$ 7.25 per hour | 20 | \$ 145.00 | \$ - | \$ 145.00 | |
| 8 | Supplies | HHNA | Herbicide, Trash Bags, Gloves, Refreshments | \$ 200.00 per project site | 1 | \$ - | \$ 200.00 | \$ 200.00 | |
| 9 | Education and Outreach | LFUCG and Signs Now | Informational Signs | \$ 35.00 Each | 3 | \$ - | \$ 105.00 | \$ 105.00 | |
| 10 | Education and Outreach | HHNA | Webmaster | \$ 29.22 per hour | 2 | \$ 58.44 | \$ - | \$ 58.44 | |
| 11 | Education and Outreach | HHNA | UK Extension Publication "Living Along a KY Stream" | \$ 1.00 per each | 400 | \$ - | \$ 400.00 | \$ 400.00 | |
| 12 | Planning and Communicating Grant Execution | HHNA | Volunteer Hours | \$ 7.25 per hour | 10 | \$ 72.50 | \$ - | \$ 72.50 | |
| 13 | Grant Administration | HHNA | Professional Services | \$ 13.56 per hour | 5 | \$ 67.80 | \$ - | \$ 67.80 | |
| 14 | Technical Support and Information | Friends of Wolfe Run | Professional Services | \$ 21.92 per hour | 5 | \$ 109.60 | \$ - | \$ 109.60 | |
| 15 | TOTAL PROJECT BUDGET: | | | | | | \$ 1,685.84 | \$ 3,530.00 | \$ 5,215.84 |
| 16 | | | | | | | ORGANIZATION SHARE | GRANT SHARE | |
| 17 | COST SHARE % = 32.3% OK | | | | | | 32.3% | 67.7% | |
| 18 | MUST BE > 20% | | | | | | | | |

* Note: Organization share must be >20% of total project costs.