

Lexington-Fayette Urban County Government
Division of Grants and Special Programs

Lexington-Fayette Urban County Government
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Horse Capital of the World



LEXINGTON

FY17 NEIGHBORHOOD ACTION MATCH PROGRAM
(NAMP)

*PROGRAM GUIDELINES & APPLICATION
INSTRUCTIONS*

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INTRODUCTION

The Lexington-Fayette Urban County Government established the Neighborhood Action Match Program (NAMP) to support eligible neighborhood associations in carrying out identified neighborhood development activities using the cooperative efforts and voluntary contributions of neighborhood individuals, businesses, schools and other organizations.

This document:

- (1) Notifies the public of the availability of funds;
- (2) identifies program objectives;
- (3) defines eligible applicants;
- (4) sets forth eligible/ineligible neighborhood action activities;
- (5) sets forth requirements for applications for funds, including match requirements;
- (6) identifies selection criteria for award of funds;
- (7) describes the method of allocation and distribution of funds; and
- (8) specifies reporting requirements.

NOTICE OF AVAILABILITY OF FUNDING

The Lexington-Fayette Urban County Government (LFUCG) budget includes funds for the Neighborhood Action Match Program. The funds are to be matched by contributions raised by neighborhood associations, and donations from individuals, businesses, and other organizations located within neighborhoods over a one year grant period. The LFUCG budget for Fiscal Year 2017 has dedicated \$100,000 for the Neighborhood Action Match Program. The maximum amount of Urban County Government NAMP funds per Neighborhood Association is \$10,000.

Following a public announcement and the notification to neighborhood associations, applications will be accepted from eligible neighborhood associations. The NAMP awards are expected to be announced by September 30, 2016.

SUBMISSION REQUIREMENTS

Applications must be received by the deadline of 4:00 p.m. on Friday, August 26, 2016 at the address listed below. (No e-mails or faxes.) **Please do NOT put applications in any kind of binders or folders. Late applications will *not* be considered for funding.**

If you have any questions or require additional information about the Neighborhood Action Match Program, please contact Suzie Loveday at (859) 258-3073 or sloveday@lexingtonky.gov.

The completed application and all supporting material should be returned to:

**LFUCG DIVISION OF GRANTS AND SPECIAL PROGRAMS
ATTN: SUZIE LOVEDAY, GRANTS MANAGER
200 EAST MAIN STREET, 6TH FLOOR
LEXINGTON, KENTUCKY 40507**

| |
|--|
| INCOMPLETE APPLICATIONS MAY BE EXCLUDED FROM FUNDING CONSIDERATION! |
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PROGRAM OBJECTIVES

The program has the following objectives:

- To be a catalyst for neighborhood associations to establish neighborhood linkages to support their programs.
- To provide neighborhood associations with the opportunities to directly affect the quality of life in their neighborhoods.
- To provide inexperienced neighborhood associations with opportunities to gain experience in organizing and managing projects.
- To expand the ability of neighborhood associations to secure and manage the resources necessary to directly impact development in their neighborhoods.

The Neighborhood Action Match Program is designed as an incentive for neighborhood associations to select and plan neighborhood development activities, to secure and organize the resources necessary to carry out the activities and to manage the implementation of those activities. This program is a reimbursement program only. Funds must be expended by the neighborhood association in an amount equal to or greater than the amount of grant funding being requested PRIOR to submitting a request for reimbursement to LFUCG Division of Grants and Special Programs.

There is a 100% match requirement. Match funding *may* be non-cash items but must have a value that is equal to the amount of NAMP Grant funding.

Example #1: *Happy Neighborhood Association has requested and been approved for \$5,000 from the Neighborhood Action Match Program to replace street trees in their neighborhood. The total project cost is \$10,000. ABC Tree Repair has provided a cost estimate of \$10,000 for the purchase and planting of trees. Once the trees are planted, Happy Neighborhood Association will pay ABC Tree Repair the full amount of \$10,000. Happy Neighborhood Association will then submit a request for payment to the LFUCG, attaching a copy of the \$10,000 invoice from ABC Tree Repair and a cancelled check showing that the invoice has been paid. Once the Grants Manager has reviewed the documentation and found it acceptable, the association will receive a reimbursement of \$5,000 from the LFUCG. In this example, the neighborhood association is providing a full cash match for the project.*

Example #2: *Happy Neighborhood Association has requested and been approved for \$2,000 from the Neighborhood Action Match Program to replace the landscaping at the neighborhood's front entrance. ABC Landscaping has provided a quotation for flowers and shrubs in the amount of \$2,000. Happy Neighborhood Association pays ABC Landscaping for the flowers and shrubs and neighborhood residents volunteer their own labor to plant flowers and shrubs. Happy Neighborhood Association will then submit a request for payment to the LFUCG, attaching a copy of the \$2,000 invoice from ABC Landscaping and a cancelled check showing that the invoice has been paid, along with documentation of all volunteer time (in this case, at least 276 hours). Once the Grants Manager has reviewed the documentation and found it acceptable, the association will receive a reimbursement of \$2,000 from the LFUCG. In this example, the neighborhood association is providing volunteer labor as its match.*

Match is discussed in greater detail on page 6.

ELIGIBLE APPLICANTS

An eligible applicant for the Neighborhood Association Match Program must be a neighborhood association that: (1) is established and in operation as a private voluntary, non-profit corporation under the laws of the Commonwealth of Kentucky at the time of application and; (2) has a complete slate of elected officers and a governing body whose membership is at least 60% neighborhood residents. You will be asked to submit documentation of both (1) and (2) in the application.

Neighborhood Associations which have not made substantial progress on previously approved projects will not be considered for a new round of funding. In addition, Neighborhood Associations must be the implementing agency and not simply act as a conduit for other organizations to obtain funds.

ELIGIBLE PROJECT ACTIVITIES

Funds may be used by eligible neighborhood associations to design or carry out the following activities:

- Activities of a physical improvement nature for public or community property. Eligible activities include such projects as the planting of street trees (includes public right of way area between sidewalk and street, but **not in private yards**), sidewalk repair (**excluding sidewalks adjacent to business or personal property**), public park land improvements, installation of playground equipment, or other neighborhood-wide improvement projects. The improvements must be open and available to the public and benefit the whole neighborhood.
- Activities designed to develop new housing or to rehabilitate existing housing within the neighborhood, provided that no such activities will be considered which would cause, either directly or indirectly, the displacement of any individual, family or business. In addition, if as a result of undertaking an activity within this category, a neighborhood association realizes a return on investment, the return may be retained by the neighborhood association provided it is used for further neighborhood development activities which qualify under this program (see Reporting Requirements below).
- Activities necessary to plan, promote, or finance voluntary general clean up and neighborhood improvement efforts, such as on going street and alley clean up programs, removing abandoned cars, and demolishing abandoned buildings.
- Activities necessary to plan and promote re-use of vacant buildings in the neighborhood.
- Activities designed to facilitate the establishment or expansion of businesses within the neighborhood, other than those activities noted below as ineligible.
- Activities to enhance the beauty of neighborhood streets by removing dead or diseased trees and the implementation of a regular pruning regimen as long as pruning activities do not exceed once every 3 years.

INELIGIBLE PROJECT ACTIVITIES

The following activities are not eligible for support through the Neighborhood Action Match Program:

- Administering or managing the NAMP project.
- Program operation activities, such as day care, employment services, recreation programs, and other such programs.
- Routine maintenance activities such as watering plants or pulling out weeds.
- Activities proposing the use of labor and materials provided by employees of the Lexington-Fayette Urban County Government, Fayette County Public Schools, University of Kentucky, BCTC, or any public utilities.
- Construction financing, capital financing, or operational financing, of businesses in the neighborhood or of businesses wishing to become established within the neighborhood.
- Activities involving compensation to residents of the neighborhood or to individuals doing business in the neighborhood for any work associated with this program or with other neighborhood development activities, unless such work is secured through a competitive bidding process.
- Acquisition of small portable or movable equipment/appliances/tools as opposed to permanent fixtures on community or public property. For example, purchase of flowers and mulch are allowable expenses while gardening tools are not.
- Operational expenses of the neighborhood association not directly and exclusively related to the implementation of activities approved in a grant award under this program, except for a one-time grant, not to exceed \$1,000, for initial operating expenses of newly formed neighborhood associations.
- Plans/studies/feasibility reports.

APPLICATION REQUIREMENTS

URBAN COUNTY COUNCIL REQUIREMENTS

- All applications chosen for an award must be approved by Council
- Any change in scope of work or contract terms must be approved by Council

MATCH AND IN-KIND DONATION REQUIREMENTS

In-kind services and donated materials must be directly related to project activities and performed or donated over the contract duration. Documentation from the donors, such as donation letters, written estimates, etc., must be provided on the value of in-kind supplies and materials. With regard to in-kind services, if the services are those of a specialty nature (plumber, electrician, etc.) or professional (architect, engineer, attorney, etc.) the fair market value may be used. If the services are manual labor in nature, (general clean-up, planting shrubs, mowing, etc.), the value given to the labor shall be the same as the federal minimum wage in effect at the time contracts are authorized by the Urban County Council.

For example, if you have a project that requires the use of an architect, and you have an architect that is willing to donate his time to the project, you can have him write a letter documenting the value of his time. Since his profession is of a specialty nature, you can use the generally accepted market rate for that profession. However, if you have general volunteers who complete activities that do not require a specific skillset, you will document that time with volunteer sign-in sheets and attribute the minimum wage to each hour worked.

In-kind match such as donated labor, or donated supplies, typically do not count as part of the total project costs because no actual cost was incurred. However, if the association pays for an expense out of its own revenue source, that money is both a match and an expense.

Examples of match:

- Cash
- Donated Supplies
- Volunteer Labor and Services

Ineligible Sources of Match:

- Funding from other City sources such as the Neighborhood Development Fund
- Federal funding
- Labor provided by the LFUCG, school, or public utility

The total match provided by the neighborhood must equal 100% or more of the LFUCG share.

SELECTION CRITERIA FOR AWARD OF FUNDS

Applications for each funding cycle will be evaluated by a Review Board appointed by the Mayor. The Review Board will be composed of the Division of Grants and Special Programs Director, two citizens, one Councilperson, and a representative from the Mayor's Office. Applications and the activities proposed will be evaluated and recommendations for grant awards will be made to the Mayor and Urban County Council on the basis of consideration of the following outlined factors:

1. Neighborhood/Organizational Factors

- Neighborhood Association's record of effectively managing activities of a similar, or near similar, nature and/or level of complexity. In instances where very complex activities are proposed consideration of this factor will be weighted.
- Evidence of association's financial accountability.
- Evidence of the working relationship of the association with residents of the neighborhood and with businesses and institutions located within the neighborhood.

2. Activity Factors

- Extent to which match sources, especially any funding match sources, have been realistically identified and committed. There must be at least \$1 of in-kind or cash match for each \$1 Neighborhood Action Match Program grant funds.
- Extent to which the activity provides long term benefit(s).
- Probable effectiveness of the activity in achieving objectives of the program.
- Quality of the management plan and budget.

- Feasibility of the activity proposed given the nature of the problem addressed by the activity and the resources available.
3. Urban County Government Matching Ratio
- The Review Board shall consider the extent to which a neighborhood association is able to provide voluntary contributions to an activity thus keeping the Urban County Government matching ratio as low as possible. In no case will the ratio of public funds be allowed to exceed 1 to 1.
4. Combining other LFUCG funding with the NAMP Program
- NAMP funding cannot be combined with any other LFUCG source of funding for the same project.

Be advised, an application does not guarantee an award recommendation or the full amount of funding requested!

ALLOCATION OF FUNDS

The maximum amount of Urban County Government matching funds which will be granted to any neighborhood association is \$10,000.

Funds will not be allocated for reimbursement of expenses made prior to the award of the grant by the Urban County Council and execution of a contract signed by both the Mayor and the neighborhood association representative.

EVALUATION OF APPLICATIONS

The LFUCG Division of Grants and Special Programs Staff will review all applications to establish eligibility and Priority Levels and will select which applications should be considered by the Review Board.

Priority I: Applications that meet the Priority I status are eligible project activities that meet the required match ratio guidelines. To fit in this category, applicants must not have previously received a NAMP grant.

Priority II: Applications that meet the Priority II status are eligible project activities that meet the required match ratio guidelines. To fit in this category, applicants must not have received a NAMP grant in the last 3 years.

Priority III: Applications that meet the Priority III status are eligible project activities that meet the required match ratio guidelines. All other eligible applicants who do not fit Priority I or II but have an eligible project will be placed into this category.

Any application that proposes ineligible activities will not be selected for funding.

The Review Board will then total the dollars which would be necessary to fund the Priority I group of applications. Should sufficient funds be available, all of those activities will be recommended to the Mayor and Urban County Council for funding. If available funds are not sufficient to fund all activities in the first group, the Review Board may make its final funding recommendation to the Mayor and Urban County

Council deleting some activities. In making decisions resulting in deletion or partial funding of activities, the Review Board will consider the matching ratios of the various activities proposed.

Should it happen that all activities in the first group be recommended for funding and additional grant funds are still available, the Review Board will review projects in Priority II.

REQUESTING A REIMBURSEMENT

The grant award shall require a contract between the Urban County Government and the neighborhood association through which each party accepts certain obligations to the other regarding the disbursement and use of funds. **The Urban County Government will not disburse funds for expenses incurred by the Neighborhood Association prior to the execution of a contract signed by both the mayor and an authorized representative of the neighborhood association, as awarded by the Urban County Council.**

Grant awards are not disbursed up front, but on a reimbursement basis.

The treasurer of the neighborhood association or the authorized official identified in the application will submit a Reimbursement Request to the Division of Grants and Special Programs of the Urban County Government. Email submissions are preferred. Please submit the following to Suzie Loveday at sloveday@lexingtonky.gov.

The Reimbursement Request must include:

- cover letter reporting the activity progress, signed by the designated official
- colored pictures
- the reimbursement amount requested, (ROUNDED TO THE NEAREST DOLLAR),
- attached expenditure and match forms,
- attached invoices/receipts
- attached documentation of payment of invoice
- and documentation of match such as volunteer sign-in sheet or letters documenting donations.

Each request for payment must show that the Neighborhood Association has expended cash equal to or more than the amount of reimbursement requested. Additionally, the match requirement must also be met. For every \$1 requested in NAMP funding, an additional \$1 of match must be documented.

The Division of Grants and Special Programs will review each Reimbursement Request and forward to the Division of Accounting for payment. All payments shall be issued directly to the designated neighborhood association representative. LFUCG will not make any payments to suppliers and contractors.

Should the Division of Grants and Special Programs determine that project progress and/or the project management of the neighborhood association do not satisfy the terms of the grant award, the Grants Manager shall contact the Neighborhood Association's representative for the information necessary prior to approving the reimbursement request.

The Division may also notify the Mayor's Office and appropriate district Council person and arrange a meeting with the Neighborhood Association to seek to resolve the problems and/or issues identified which prevent approval of the Request for Reimbursement.

REPORTING REQUIREMENTS

The neighborhood association must submit a Project Completion Report within thirty days of completion of the project. The report shall:

- (1) describe the projects and the benefits derived from its implementation;
- (2) include colored photographs of the completed project;
- (3) report on any financial returns on investments realized or expected to be realized as a result of carrying out the activity; and
- (4) describe how any financial returns are proposed to be used and establish a schedule of reports to be submitted to the Urban County Government on actual expenditures of any financial returns. Prior to expenditure of any financial returns, the neighborhood association must secure written approval of the proposed use from the Mayor's Office.

The Project Completion Report shall be submitted via email to Suzie Loveday at sloveday@lexingtonky.gov. If email is not an option, reports may be mailed to the following address:

**LFUCG DIVISION OF GRANTS AND SPECIAL PROGRAMS
ATTN: SUZIE LOVEDAY, GRANTS MANAGER
200 EAST MAIN STREET, 6TH FLOOR
LEXINGTON, KENTUCKY 40507**

APPLICATION INSTRUCTIONS

PLEASE BE SURE TO CAREFULLY READ AND FOLLOW ALL INSTRUCTIONS FOR COMPLETING YOUR APPLICATION.

The application and accompanying instructions may be obtained from the Division of Grants and Special Programs or downloaded from the government website: <http://www.lexingtonky.gov/index.aspx?page=3728>. **The application format provided must be used.** Neighborhood associations must submit the completed application to the Division of Grants and Special Programs within the time prescribed. **Do not submit applications by e-mail or fax. Late applications will not be considered for funding.**

Each application must contain the following:

1. Neighborhood Association Name – legal name of agency requesting funding
2. Contact Person Name and Title
 - a. Address (include the zip code)
 - b. Phone Number
 - c. E-mail Address

Agency's Authorized signature and Second Contact Person Name and Title

 - a. Address
 - b. Phone Number
 - c. E-mail Address
3. Amount of Funds Needed for Project (**These amounts must be the same as Item 7 totals on page 3 of the application. - ROUND TO THE NEAREST DOLLAR.**)
 - a. **LFUCG NAMP Grant** – The amount you are requesting from the LFUCG NAMP Grant cannot exceed \$10,000.
 - b. **Neighborhood Funds** - Match from cash, in-kind service, or donated materials – must be a 1:1 match.
 - c. **Total** – Add the grant request and the match together.
4. Projected Starting Date and Expected Date of completion (Remember that Urban County Council must approve applications and a contract must be signed by the Neighborhood Association and the Mayor before any work can begin.)
5. Signature authorizing submission of the application – must be signed by a person with authority to execute application on behalf of the association. Also, the application must be submitted with an original signature (not copied or stamped).
6. Project Narrative: A proposal narrative statement defining (1) what neighborhood activities are proposed for funding and, if more than one activity is proposed, the priority of the activities; (2) how neighborhood matching funds, in-kind services, and/or in-kind supplies and materials have been raised or will be raised.
7. **Project Budget and Budget Narrative:** These amounts must be the same as Item 3 totals on the first page of the application. ROUND TO THE NEAREST DOLLAR.

This information must include the listing of all sources of funds, materials or labor; as well as a listing of all uses of the same by specific project element.

The Cash Match is the actual dollars provided by the Neighborhood Association. **Funding from other government sources may not be used as cash match share.**

In-kind services and donated materials match - Include specific information on the value of in-kind services and/or in-kind supplies and materials. In-kind services and donated materials must be directly related to project activities and performed or donated over the contract duration.

Documentation from the donors, such as donation letters, written estimates, etc., must be provided on the value of in-kind supplies and materials.

With regard to in-kind services, if the services are those of a specialty nature (plumber, electrician, etc.) or professional (architect, engineer, attorney, etc.), the market value may be used. If the services are manual labor in nature, (general clean-up, planting shrubs, mowing, etc.), the value given to the labor shall be the same as the federal minimum wage in effect at the time contracts are authorized by the Urban County Council.

Written estimates from the vendors must be attached for all goods and services to be purchased for this project.

The project budget cannot include expenses incurred prior to the award of the grant by the Urban County Council. The Neighborhood Action Match Program will not reimburse these expenses. All requests for funds should be rounded to the nearest dollar.

The total match provided by the neighborhood must equal 100% or more of the LFUCG share.

- 8. Project Management Plan:** Describe the process and time schedule for implementation of the activity.

The neighborhood association is responsible for selection, management and payment of all contractors and suppliers. **The Lexington-Fayette Urban County Government does not recommend nor endorse contractors and suppliers of goods and services.**

The neighborhood association must secure all necessary permits, authorizations, inspections and approvals for work and services. **NOTE: If your proposed project is within parks and public lands, you must contact Chris Cooperrider at the LFUCG Division of Parks and Recreation (288-2963) for project approval, and submit with the NAMP application.**

- 9. Neighborhood Participation:** Provide a description of how the applicant involved the neighborhood residents in the decision making process in choosing what activities funding should be requested for.

For example, list the meetings held, who was invited and who attended. Additionally, discuss the process that the Neighborhood Association will use to communicate with residents should a grant be awarded. Attach meeting minutes regarding decision on activity for NAMP funding.

- 10. Financial Accountability:** Evidence of financial accountability, i.e. treasurer is bonded or will be bonded, location of checking accounts, copy of bank statement, etc.

Please indicate prior receipt of Neighborhood Action Match Program funds, the year(s), amount(s), and outstanding balance. If a new applicant, please indicate any other applicable grant funding experience.

- 11. Project Experience:** Identify any prior or current neighborhood projects undertaken by the neighborhood association. Please indicate status of any prior Neighborhood Action Match projects, i.e., whether complete or still underway.
- 12. Program Objectives:** Provide a brief description of how the planned activity will meet one or more of the Neighborhood Action Match Program Objectives.
- 13. Maintenance Plan:** Describe your plan for providing routine maintenance such as watering plants, pulling weeds, etc. Keep in mind that this grant does not pay for these activities and does not consider these activities as eligible match for the grant.
- 14. Other Pertinent Information:** Describe any unusual features of the project not elsewhere described in this application.

15. List of Attachments

| <u>Attachments</u> |
|---|
| Attachment 1: “Before” Color Photos |
| Attachment 2: Written estimates from the vendors for all goods and services to be purchased for this project |
| Attachment 3: Letters documenting match commitment |
| Attachment 4: Neighborhood Association Status Report from KY Secretary of State report showing your association is active and in good standing * |
| Attachment 5: Neighborhood Association’s Annual Report filed with KY Secretary of State * |
| Attachment 6: Meeting minutes documenting election of current officers |
| Attachment 7: Meeting minutes regarding decision on applying for NAMP funding |
| Attachment 8: Names and addresses of all current association elected officials and members of the governing body |
| Attachment 9: Association’s most recent checking account statement |

* These two documents may be printed from the Kentucky Secretary of State website: <http://www.sos.ky.gov>. (click on “Online Services”, then “Organization Search”, next, click in yellow box and type in the organization name, click on your association name, print that page and then move cursor down on page and click on “Annual Report” for the current year and print the report.)

Please DO NOT put applications in any kind of binders or folders.