

REQUEST FOR BOARD ACTION

HENDERSON COUNTY

BOARD OF COMMISSIONERS

MEETING DATE: November 4, 2024

SUBJECT: Ratification of stream resilience vendor contracts

PRESENTER: Christopher Todd

ATTACHMENT(S): Proposal

SUMMARY OF REQUEST:

On August 5, 2024, the Board approved the selection of Resource Institute to provide project management services for the grant appropriation received from North Carolina for stream resilience projects. Since then, the scope of the project has been narrowed somewhat, on account of previous engineering work done on a portion of the intended work (funded by other grant funds) that could not be used under applicable procurement rules if included in this contract.

Subsequently, the County received proposals for the remainder of the contract not covered by the Resource Institute scope. Resource Institute is recommended by your staff to be selected for this work.

County staff will be present and prepared if requested to give further information on this matter.

BOARD ACTION REQUESTED:

Ratification of the proposed agreement

If the Board is so inclined, the following motion is suggested:

I move that the Board ratify the proposed agreement with Resource Institute, and I further move that the Board approve the selection of Resource Institute for the remainder of the work under the grant.



Request for Qualifications for Project Management Company to assist with implementation of the Disaster Relief and Recovery/Mitigation/Resilience Directed Grant

RESOURCE INSTITUTE, INC

2631 Reynolda Road
Winston Salem, NC 27106
(336) 750-0522

SEPTEMBER 25, 2024



September 25, 2024

Betsy Gerwig
Conservation Engineer
Henderson County Soil & Water District
61 Triple Springs Road
Hendersonville, NC 28792

Re: Request for Qualifications for Project Management Company
to assist with implementation of the Disaster Relief and Recovery/
Mitigation/Resilience Directed Grant

Dear Ms. Gerwig and Members of the Selection Committee:

Please find attached Resource Institute, Inc's (RI) Statement of Qualifications for a Project Management Company to assist with implementation of the Disaster Relief and Recovery/ Mitigation/Resilience Directed Grant. The Resource Institute team intends to provide timely and professional services to Henderson County through our team of professionals. RI received the RFQ supporting information in Section 2: Proposed Scope of Services and are confident that our team has the capacity to deliver the services listed. Alan Walker (awalker@resourceinstituteinc.org) will be our local contact and point person for any communications regarding this proposal.

Resource Institute has a team that is qualified and eager to provide project management services to Henderson County related to the Disaster Relief and Recovery/ Mitigation/Resilience Directed Grant.

Please do not hesitate to contact Alan Walker should you have any questions or concerns. RI genuinely looks forward to collaborating with you and Henderson County on these resiliency projects.

Sincerely,

H. Lee Rollins

H. Lee Rollins
Executive Director
Resource Institute Inc.

Enclosures as stated.

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1. Introduction

Resource Institute, Inc. (RI) is a national 501(c)(3) nonprofit organization focused on resource conservation with a long history of implementing stream restoration conservation projects in conjunction with agricultural and urban land uses. For over 20 years, RI has helped to advance the science of stream and wetland restoration and provides educational services to convey that science to others. RI's partners are non-profit organizations, local, state, and federal government agencies, private organizations, and civic-minded individuals interested in improving the welfare of their communities through the conscientious development of community resources. These groups partner with Resource Institute because they value our assistance and guidance in successfully completing their projects. Resource Institute provides services from project definition to identifying and seeking additional funding sources. RI provides this assistance by directing conceptual planning, design, engineering, permitting, and construction. RI provides additional support through project management with our partners that includes developing Request for Qualifications (RFQ's) and/or Requests for Proposals (RFP's) to solicit teams for design/build projects as well as requests for engineering services and/or construction services. Through our network of agents and vetted engineers/contractors, we provide project oversight, on-the-ground construction management, manage grant reporting requirements, and, most importantly, we help assure project completion. In short, Resource Institute helps its partners transform worthwhile community projects into tangible community assets. Resource Institute, Inc. has an eight (8) member board, including the chair and a five (5) person staff located in Winston-Salem, NC. RI also has a group of five (5) consulting agents that assist with projects in North Carolina. RI has an agreement with nineteen (19) engineering firms and twelve (12) contractors with experience in stream stabilization/restoration and dam rehabilitation through a request for qualifications process completed in 2021 and updated in 2024.

Since 2013, Resource Institute has managed over \$43 million in grant funding related to Western NC Stream Initiative (WNCSI) stream restoration projects that included \$27 million in federal funding and \$16 million in state funding. This grant funding included the Natural Resources Conservation Service, N.C. Land and Water Fund (formerly the Clean Water Management Trust Fund), and the NC Division of Water Resources. These projects involve managing contracts with engineers for survey, assessment, design, permitting and construction oversight services. These projects also include separate contacts with construction firms to implement the stream projects including the planting of the permanent vegetation and tree/shrub establishment, RI has also managed the rebuilding of ponds that were damaged by Hurricane Matthew in partnership with North Carolina Department of Agriculture & Consumer Services (NCDA). These projects also involved managing two teams of engineers that provided the assessment of the damaged dams and the designs to repair/replace the structures. RI solicited bids from contractors and worked with NCDA to select a contractor. RI managed the construction contract of these dam repairs/rehabilitation from beginning to end. In the previous four years RI has also managed grants from the Department of Water Infrastructure, Office of State Budget & Management, and the Department of Public Safety, assisting seven local units of government totaling over \$25 million. The work with these local units of government used the design/build approach to implement projects. In addition to these grants, RI has also worked through agreements with the US Forest Service and USDA-Natural Resources Conservation Service (NRCS). The federal agreements surpassed \$1.7 million. RI has a Regional Conservation Partnership Program (RCPP) agreement with NRCS that includes the Eastern Band of Cherokee Indians and Swain County for a stream project on Raven Fork Creek that has a budget of \$11 million.

Our team also includes Conserving Carolina. Founded in 1994, Conserving Carolina serves part of Western North Carolina and Upstate South Carolina, where it has helped to protect almost 49,000 acres, including adding land to public ownership at many of the region's state and national parks, forests, and game lands. CC holds and monitors over 300 conservation easements, which protect farms, forests, and natural land forever. CC is restoring a natural corridor along the French Broad River, with a growing chain of restoration projects that includes Mud Creek, Pleasant Grove, Kings Bridge, and Carolina Memorial Sanctuary. CC has also protected and restored mountain bogs at over a dozen sites across our region, in partnership with the U.S. Fish and Wildlife Service and their Mountain Bogs National Wildlife Refuge. Over the past 30 years, CC has successfully obtained and administered over \$50 million in grant funding from N.C. Land and Water Fund, N.C. Agricultural Development and Farmland Preservation Trust Fund, N.C.

Division of Water Resources, U.S.D.A. Natural Resources Conservation Service, U.S. Fish and Wildlife Service, U.S. Forest Service, U.S. Environmental Protection Agency, the Corporation for National and Community Service, the National Fish and Wildlife Foundation and other funders.

Furthermore, Kieran Roe and his team with Conserving Carolina are uniquely positioned to assist with the stream projects as they have worked on many similar projects to help landowners engage with the process and provide tools/information for the landowners. The Conserving Carolina team has experience collaborating with private landowners in the area to develop management agreements with landowners to ensure long-term maintenance of implemented projects.

We understand the challenges you face in helping the citizens of Henderson County and taking on the responsibility of managing this funding assigned to the stabilization/rehabilitation of two dams and the stream restoration and stabilization projects.

Our team is uniquely qualified to provide the requested project management services. We have practical experience working successfully with many design-build projects in North Carolina and have strong, effective, established working relationships with regulatory agencies.

2. Team Experience & Availability

For over 20 years, Resource Institute (RI) has restored and enhanced water resources in North Carolina and across the United States. RI has implemented several types of projects, including stream and wetland restoration and enhancement, blueways, greenways, sewage infrastructure, and community development. RI has implemented 194 projects, restored, and enhanced 256 miles of stream, restored 2,135 acres of wetlands, and brought 7,363 acres under conservation easements. Additionally, RI is the leader in Natural Channel Design Restoration training. To date, over 7,500 restoration professionals have completed RI hosted training programs including Wildland Hydrology Courses taught by Dr. Dave Rosgen. We are fully capable and eager to work with Henderson County to complete the requested project management services.

RI is committed to excellence in the rehabilitation/stabilization of the two dam projects and in the stream restoration/stabilization arena, having served as leaders in developing successful design and implementation of projects over the last decade. We enjoy working together to create effective and efficient solutions for challenging water resource problems. We are known for our consistency in personnel, quality of work, follow-through, and management style.

Resource Institute has vetted a list of contractors and engineering firms through an RFQ process that was completed in 2021. This list includes twelve (12) contractors and nineteen (19) engineering firms that we will forward information to solicit design-build teams to implement the projects in this RFQ. We would anticipate one design-build team to implement the two dam projects and another design-build team to implement the stream projects.

Key Staff Members & Experience. Our team members have years of experience working with federal and state funding to implement these types of projects as well as the experience with providing the supporting documentation to the respective governmental units. Alan Walker and Daphne Cartner are both retired federal and state employees respectively, with a combined experience of over sixty-five (65) years. Lee Rollins has experience in local government and served in many capacities including Town Manager and finance director for the Town of Bermuda Run. He is well versed in grant and project reporting to government entities: NCDOT for locally administered transportation projects; FEMA grants administration for storm debris cleanup; NCDEQ for grant funding to

decommission and remove a wastewater treatment plant and connect to a regional system; oversee planning and administration for a new \$90 million dollar community hospital project from Atrium – Wake Forest Baptist Health.

Staff at RI have worked with numerous design-build projects and numerous watershed restoration projects. This includes the dam on the cover page which was a high-hazard dam in Surry County that required rehabilitation following a large storm event. The design-build contract was for repairing the principal spillway of a high-hazard dam on Camp Creek. This project was a part of a larger project management service agreement that included two stream restoration/stabilization sites on the Mitchell River and Big Elkin Creek with Surry County for \$3 million dollars. These projects were completed in 2022 and were a part of funding through the NC Department of Public Safety (DPS). RI is currently assisting Surry County with project management services with several design-build projects related to stream restoration and stabilization that are currently in various stages of design and implementation. These projects total over \$8 million and are funded through the DPS. Other dam rehabilitation projects included a high-hazard dam rebuild that was part of a stream restoration project with Surry SWCD. RI assisted the Western Piedmont Council of Government and the Town of Gamewell with a design /build project to stabilize 700 feet of stream that included the installation of a pedestrian bridge from the Townhall parking area to the Town's Park along Abingdon Creek funded through DPS. RI is currently working USDA-NRCS through a Regional Conservation Partnership Program (RCPP) agreement that includes an agreement with the Eastern Band of Cherokee Indians and Swain County for a stream project on Raven Fork Creek that has a budget of \$11 million. RI is responsible for all aspects of this project including project management and assurance that all the deliverables of the project in the agreement are met. This is a design/build project that includes stream restoration and dam removal.

RI assisted Conserving Carolina with projects in Henderson County (Pleasant Grove and Bat Fork) in the French Broad watershed by developing a RFQ for design build services for these projects. RI is assisting Blue Ridge RC&D with two stream restoration/stabilization projects in Watauga County. These projects were developed to meet the criteria for design/build contracts.

RI assisted with the USDA-NRCS Emergency Watershed Protection (EWP) Projects in Surry, Forsyth, and Hoke counties totaling over \$850 thousand dollars. This is another example of working with federal and state funding following federally declared disasters. The Surry County project consisted of 1 Damage Survey Report (DSR), and RI provided engineering, construction, and project management services. The Forsyth County project comprised 4 DSRs with RI providing engineering and project management services. RI also assisted the county in preparing bid packages, bid solicitation, and contractor selection. The Hoke County project was more complex. RI oversaw 10 sites from assessment to design, construction, project oversight, and project management. In addition to the project work with the USDA-NRCS EWP project management assistance, RI has worked with over 120 USDA-NRCS participants through the Environmental Quality Incentives Program (EQIP) to stabilize over 200,000 feet of streambanks. RI and its team of certified USDA-NRCS Technical Service Providers (TSP) provided the plans and permits for projects totaling over \$16 million dollars state dollars which were matched with over \$27 million in federal funds. RI provides project management services to ensure the work performed by TSPs and contractors implementing the projects meet USDA-NRCS standards and specifications. Additionally we provide the documentation to USDA-NRCS to certify the practices/projects as complete. Currently, RI also has two additional agreements with USDA-NRCS to assist landowners through RCPP, totaling over \$7 million dollars. RI submits annual reports to USDA-NRCS to document project activity and sends the required documentation to USDA-NRCS for reimbursement.

RI has a long history of working with many municipalities and government units to implement their projects. One example is the work with the City of Mount Airy to implement a project that involves over 66,000 feet of stream restoration and 6.2 miles of greenway. Another example is RI's project completed with Surry County and the Surry Soil and Water Conservation District (SWCD) through the Clean Water Management Trust Fund. This project restored and enhanced approximately 2,600 linear feet of streambanks along the Fisher River and adjacent riparian buffer within Fisher River Park in Surry County. Also included was an additional 770 feet of stream restored along an unnamed tributary to the Fisher River. In addition, RI has completed projects with Appalachian State University (dam removal and stream restoration), and over twenty-five soil and water conservation districts in North Carolina.

Resource Institute also assisted the North Carolina Department of Agriculture (NCDA) Division of Soil and Water with dams/ponds impacted by Hurricane Matthew. RI worked through an agreement with NCDA to provide engineering services for the landowners requesting assistance. RI provided project management services to coordinate the engineering teams (TSP's) with approval authority with the NRCS pond and dam practices as they examined the storm damaged dam/ponds in eastern North Carolina. This involved over 15 assessments. NCDA coordinated with the respective SWCD's and landowners to determine if they would proceed to restore the ponds for agriculture use. Nine (9) landowners moved forward with restoring the agriculture ponds. RI coordinated with the engineering firms to complete a design for the sites and coordinated a site visit for potential contractors to rebuild the ponds. RI solicited bids and cooperated with NCDA to select a contractor for construction. RI provided project management services for the construction and construction oversight of the ponds. RI ensured that each pond was constructed according to the design plans and provided NCDA with "as-built" plans and documents to assist NCDA to certify the pond construction including documents for USDA-Farm Services Agency (FSA) to support the financial commitment from USDA-FSA. RI managed each of the projects including paying engineers and contractors and then requesting reimbursement from NCDA. This project management work involved over \$2.2 million dollars.

The project team has experience with state and federal environmental laws, specifically requirements under the Clean Water Act, 401 Water Quality Certification, NCDEQ-DEMLR Dam Safety, NCDEQ-DEMLR Erosion & Sediment Control, US Army Corps Section 404, and Identification of Endangered species. Collectively, the project team has successfully applied for hundreds of permits under these regulations.

Our team's ability to collaborate with people is the foundation of our team's many years of implementing successful projects. We can, and have, conducted community meetings when appropriate. However, through our years of experience, we have found that one-on-one conversations with landowners are the best way to learn about them, their property, and their project goals. Consistent dialogue with landowners is the foundation to satisfied clients and project success. This is the standard you can be assured of when working with Resource Institute.

Resource Institute's team, including Conserving Carolina, has the capability and capacity to provide the project management services indicated in the RFQ.

Similar Projects References

- 1) Mike LaVoie
Natural Resources Director
Eastern Band of Cherokee Indians
P.O. Box 1747
Cherokee, NC 28719
(828) 359-6113 (office)
(828) 788-3427 (cell)
michlavo@ebci-nsn.gov

- 2) Chris Knopf
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- 3) Kieran Roe
Executive Director
Conserving Carolina
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kieran@conservingcarolina.org

- 4) Teresa Kinney
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Senior Community & Regional Planner
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- 5) Charles "Andrew" Jacobs II, MPA, CEM
Emergency Management Coordinator, Hoke County
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Raeford NC 28376
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- 6) Mike Bowman
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Winston-Salem, NC 27101
(336) 703-2840
bowmanml@forsyth.cc

3. Team Organization

PROJECT TEAM

Resource Institute Mission: To enhance America's natural resources by restoring streams, rivers, and wetlands. The Resource Institute team will provide the noted key personnel for the duration of the project management services outlined in the RFQ. Our key staff members are committed to professional excellence within the stream restoration industry. Our team members have contributed to the science's growth and standard operating procedures in North Carolina, the Southeast, and across the United States. Alan Walker will serve as the Project Lead and will be available throughout the projects to provide project management services. Resource Institute has a positive and continuing working relationship with Conserving Carolina and their team.

Conserving Carolina is a 501c nonprofit organization with a mission to protect, restore and inspire appreciation of the natural world. Conserving Carolina's strategic directions, that support their mission, dovetails with RI's mission in the following areas: (1) protect land and water through care for the natural world in partnership with local communities, (2) engage communities by fostering a connection to nature and conservation ethic through partnership, education and outdoor experience, (3) advance climate crisis solutions by reducing climate change impacts and help communities adapt.

KEY PERSONNEL RESUMES



ALAN WALKER | RESOURCE INSTITUTE

Senior Project Manager

Alan Walker has dedicated his career to natural resource management and restoration. After graduating from the University of Tennessee in Knoxville, Mr. Walker joined USDA, NRCS, serving 36 years. He started as a Soil Conservationist and culminated with 6 years as the NC Assistant State Conservationist for Field Operations in Waynesville, NC. His significant duties included: providing supervision, guidance, and assistance to

to 33 western counties in NC, supervising the district conservationists at the field office level, serving as a coach and advisor to the area support staff, and coordinating a well-balanced resource conservation program. He was instrumental in forming a pilot project with federal, state, and a nonprofit partner to accelerate EQIP assistance in western NC. Alan is continuing to restore streams and wetlands as a senior project manager for Resources Institute. He is instrumental in managing the Western NC Stream Initiative. Alan has also completed all four levels of the Wildland Hydrology (Rosgen) Stream Courses and serves as a team assistant for courses in NC and some CO based courses.

Years with the organization: 7

Education: Bachelor of Science, University of Tennessee

Certification: NRCS Certified Planner, Applied Fluvial Geomorphology (Level I), River Morphology and Applications (Level II), River Assessment and Monitoring (Level III), River Restoration and Natural Channel Design (Level IV)

Relevant Project Experience:

- *Western NC Stream Initiative (WNCSI)*
Since 2013, Resource Institute partnered with USDA NRCS and other state agencies to establish the WNCSI, managing over \$26 million dollars. The WNCSI was formed to address water resources issues in Western North Carolina, focusing on soil loss from stream bank erosion impacting cropland and pasture fields. The WNCSI has over 100 completed projects with 22 miles of restored stream. Another 13 projects are ongoing.
- *NRCS Technical Assistance Agreement* – managing \$1.5 million in funding to assist USDA-NRCS with technical assistance to clients
- *Expertise* – Stream Restoration, Watershed Planning



DAPHNE CARTNER | RESOURCE INSTITUTE

Project Manager

Daphne Cartner holds a Bachelor of Science Degree in Biological and Agricultural Engineering Technology from North Carolina State University in Raleigh NC and holds an Engineer-In-Training Certificate issued by the North Carolina Board of Professional Engineers and Land Surveyors. Daphne worked for NCDENR Land Resources (now NCDEQ DEMLR) for 5+ years before working with the North Carolina Division of Soil and Water Conservation as an Environmental Engineer for 27+ years. Her responsibilities included working with Soil and Water Conservation Districts to improve water quality and provide water resources on agricultural lands through the North Carolina Agricultural Cost Share Program (ACSP) and Agricultural Water Resources Assistance Program (AgWRAP). This included designing and overseeing the installation of animal waste management systems, erosion stabilization practices and farm ponds. She also worked with Districts to improve water quality on non-agricultural lands through the Community Conservation Assistance Program (CCAP). Both the ACSP and CCAP provided opportunities to collaborate with landowners to stabilize stream banks and short reaches of stream restoration.

Daphne has completed the Natural Stream Restoration classes sponsored by Pilot View RC&D and Resource Institute. She has aided with these same classes to help train other stream professionals for over 20 years.

Years with the organization: 2

Education: Bachelor of Science Biological & Agricultural Engineering - North Carolina State University

Certification: Applied Fluvial Geomorphology (Level I), River Morphology and Applications (Level II), River Assessment and Monitoring (Level III), River Restoration and Natural Channel Design (Level IV)

Relevant Project Experience:

- *Western NC Stream Initiative (WNCSI)*
- *Expertise - Stream Restoration, Wetland Restoration, Stormwater Mgt., Stormwater BMP's, Watershed Planning, ArcView GIS, RiverMorph, AutoCAD, Stream Classification and monitoring, Data Collection for the development of Regional Curves, Assessment of stream and the analysis of the field data, Surveying & Data Collection, Permit Compliance, and River Morphology Education.*



H. LEE ROLLINS | RESOURCE INSTITUTE

Executive Director

Lee Rollins has over 20 years of public sector experience as a town manager and finance director. His responsibilities included administering over \$30 million dollars in grants ranging from utilities, stormwater, greenway, and residential and commercial development projects. Through the vision of a repurposing project, connected to two regional indoor and outdoor sports park facilities; Mr. Rollins became acquainted with

Resource Institute. Three underutilized ponds with significant dam maintenance issues will be repurposed into a stream project to include additional natural areas and walking trails to provide increased connectivity to the greater community.

Years with the organization: 1

Education: Business Administration – High Point University, Municipal Administration -UNC School of Government, & Economic Development Course - UNC School of Government

Relevant Project Experience:

- *Expertise – Nonprofit Management, Financial Management, Grant Management, Project Management, and Compliance Management.*



KIERAN ROE | CONSERVING CAROLINA

Executive Director

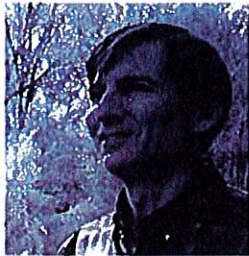
Kieran C. Roe has been Executive Director of Conserving Carolina, and previously with Carolina Mountain Land Conservancy (CMLC), since 1999. As the first full-time staff person hired by CMLC, Kieran helped grow the organization into a powerful force for conservation in the region. With the merger of CMLC and the Pacolet Area Conservancy in July 2017, Kieran has led an organization that has conserved a combined total of nearly 49,000 acres in Henderson, Polk, Transylvania, and parts of neighboring counties. Additionally, Kieran has partnered with public agencies to create and expand places such as DuPont and Headwaters State Forests, Chimney Rock State Park, Green River Game Lands and Pisgah National Forest.

Years with the organization: 25

Education: Bachelor of Arts, Anthropology and MLS in Library and Information Science – Rutgers University, Whole Thinking Leadership Program with the Center for Whole Communities and the Conservation Finance Boot Camp at the Yale Center for Business and the Environment, and was a participant in the 2012 White House Conference on Conservation

Relevant Project Experience:

- *Expertise – Conservation Easements, Project Management, Grant Management, Easement Monitoring, Nonprofit Management*



TOM FANSLow | CONSERVING CAROLINA

Land Protection Director

Tom served for three years as a Peace Corps volunteer in Togo, West Africa working in agricultural education and reforestation following his graduation from Emory University in 1988. After Law School graduation in 1996, Tom worked on coastal conservation issues in Georgia. A native of East Tennessee, Tom began working for Conserving Carolina in 2004 as an AmeriCorps member in the charter year of Project Conserve.

When he is not saving land on behalf of Conserving Carolina—more than 20,000 acres under his leadership—Tom can be found planting milkweed and diversifying the inventory of native plants in the Community Arboretum behind Conserving Carolina’s Hendersonville office.

Years with the organization: 20

Education: Juris Doctor – University of Georgia School of Law

Bachelor of Arts, History – Emory University

Relevant Project Experience:

- *Expertise – Conservation Easements, Project Management, Easement Monitoring*



REBEKAH ROBINSON | CONSERVING CAROLINA

Assistant Director for Programs

Since 2012, Rebekah has served as Assistant Director for Programs. In this role she conducts land protection projects with a focus on public recreational assets, oversees conservation easement stewardship, land management and trail development programs, administers program-related grants and donations, and leads the organization's public policy initiatives.

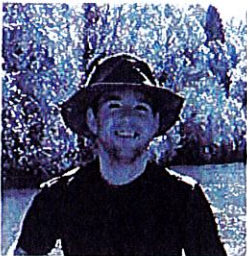
Years with the organization: 15

Education: Juris Doctor – Tulane Law School with a certificate in Environmental Law

Bachelor of Arts, Anthropology – Auburn University

Relevant Project Experience:

- *Expertise – Land Protection Projects, Public Recreational Assets, Conservation Easement Stewardship, Land Management and Trail Development, Public Policy*



DAVID LEE | CONSERVING CAROLINA

Natural Resources Manager

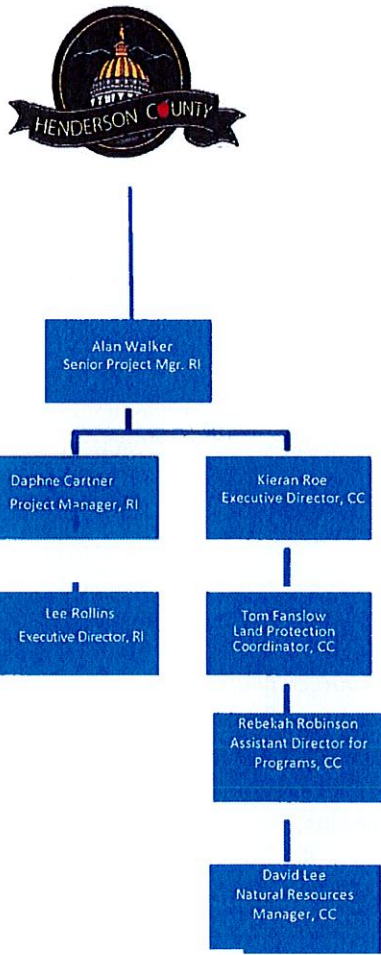
David served as a Bog Steward for The Nature Conservancy for a summer before beginning his first AmeriCorps term as the Hickory Nut Gorge Steward for Conserving Carolina in 2012, where he gained substantial experience in control of non-native invasive species.

David joined Conserving Carolina as a full-time staff member in 2014 and has expanded his area of responsibility since that time. As Natural Resources Manager, he manages a team of three staff and two AmeriCorps members that conduct management of the organization's fee-owned lands. In 2018, David coordinated the team of Conserving Carolina staff, partners and contractors that designed and implemented a comprehensive restoration of the 100-acre Mouth of Mud Creek property, located at the confluence of the Mud Creek and French Broad River. The project has become a model of large-scale conservation in the mountains of North Carolina and an inspiration for a subsequent series of floodplain restoration projects along the French Broad River corridor.

Years with the organization: 10

Education: Bachelor of Science, Environmental Science – West Florida University

The chart below illustrates our assigned team roles. A description of our project team, as well as personnel resumes and capabilities, are included on the previous pages.



4. Project Approach

Resource Institute approach to the project management services outlined in Section 2 of the RFQ will begin with the development of RFQ's for the design/build projects. There will be an RFQ developed for one (1) high hazard dam project and one (1) stream restoration/floodplain development project. RI will work with Henderson County to develop RFQ's required criteria for these two projects acknowledging that some work has already been completed by the owners. The RFQ's will include a current condition of the work completed and the additional needs to complete any additional engineering activities and construction activities if needed in a separate RFQ. The qualifications will include experience with design, permitting, and construction of projects with similar requirements. Including meeting the requirements of NC Dam Safety. RI will simultaneously develop an RFQ for the stream restoration/stabilization projects to include the required qualifications for the engineering and construction/contractor's services to utilize Natural Channel Design concepts and the experience with design, permitting, and construction of projects with similar requirements. RI will also share with Henderson County a draft contract that can be edited to include any specific language required by Henderson County to be used with the successful engineers/contractors.

These RFQ's will be developed with a four (4) year timeline in mind for the implementation of the respective projects associated with the RFQ's.

RI will solicit applications for the respective RFQ's and collect the RFQ's based on the proposed dates as agreed to by Henderson SWCD/County. RI will coordinate with Henderson SWCD and Henderson County staff to review the RFQ submittals for completeness and ensure the qualifications for the respective RFQ's are documented in the submitted RFQ's. RI will assist in the development of a matrix to aid Henderson SWCD/Henderson County in selecting the engineers/contractors. Following the selection of the design/build team(s), RI will coordinate with the team(s) to develop a contract that outlines the expectations of each milestone and date of expected completion of the respective milestones. Resource Institute will act as a liaison for Henderson County working with the selected engineering firm as well as the construction firm all the way through project completion. RI has a process in place to provide communication during the project implementation to keep all partners informed of the project activity. This includes digital imagery during project implementation, tracking project activity, and milestones during project implementation all the way through project completion.

RI's team will develop Agreement Documents with the respective landowners that detail the expectations of private property owners in the operation and maintenance of the implemented projects. RI's team has examples of agreement documents that have been used previously with similar projects and will review the documents with Henderson SWCD and Henderson County staff to ensure expectations of operation and maintenance are met.

Our team will coordinate with Henderson SWCD and Henderson County staff to follow the budget for the respective projects. This will include managing the overall grant budget and the individual budgets associated with these projects and assisting Henderson County with being fiscally responsible for the funds and ensuring the projects remain within the respective budgets. RI will develop a budget spreadsheet for each project and provide Henderson County with a quarterly expense/balance sheet that includes project management services.

Resource Institute's team will develop milestones for each project that includes all phases of project from (1) survey/assessment, (2) 60% design that will be reviewed with respective property owners prior to permitting, (3) permitting, (4) final plans, (5) construction and (6) vegetation. The expectation is that the engineer would submit an invoice following the completion of each of these milestones. During construction, the contractor would invoice monthly. Depending on the timing of the construction, permanent vegetation may be planted later to

ensure the plantings occur during the proper season for success. RI has developed protocols that will provide documentation along these milestones and will use these tools to communicate with Henderson SWCD and Henderson County with the progress of each project. As each project budget and schedule is developed, RI will use an existing Project Communication tool to communicate with all project partners. This tool includes a project schedule and provides a means to communicate the progress of the project throughout the planned schedule. This tool will also be utilized to provide at a minimum, quarterly updates on the progress of the project(s). RI will provide a Pre-Construction meeting with all partners and landowners to review the project design and document the items in this meeting that identifies staging areas for equipment and materials, identifies utilities or other special areas that may be in the "limits of disturbance area", construction entrance(s), day(s)/hours that construction may not take place and where/how to dispose of excess material/dirt, as examples. RI uses a "Weekly Construction Project Communication Checklist" that includes digital photos of work progress and indicates the anticipated construction end date and planting dates for the permanent vegetation. This checklist provides a means to document progress during construction as well as any issues encountered during construction that may impact the project or the project schedule. This checklist provides an area to document a construction checkout and means to certify the items installed. RI will ensure the projects are constructed according to the design plans and provide a certified set of "as-built" plans approved by the engineer that sealed the design plans.

RI will review and approve the invoices/pay applications associated with each of the milestones described above and communicate with Henderson County that the work has been completed. RI and its team will also provide Henderson County with documentation to support the project budgets and assist with documentation to close out the project(s) when completed.

Potential Challenges & Issues of Concern: The potential challenges expected are the unknown amount of time for plan approval and/or permit time for the dam. NCDEQ-DEMLR Dam Safety office has been understaffed and the review time for their approval of the design plans and letter to proceed will impact the schedule of this dam. We are confident that the design team will be timely and efficient with an appropriate plan, but the estimated time between plan submission and letter of approval may take a year to get through the process. We will plan for this timeframe and hopefully it will not take that long, but construction cannot begin until this approval is in place. RI will work with property owners and Henderson SWCD to provide a timeline for construction that will have the least impact, however this will also depend on when the letter of approval is received.

The only issue of concern regarding the stream project is the potential impact of Threatened and Endangered (T & E) species and working around times when trees along the stream project may be harvested for use in the project. The harvested wood is used in the project construction in areas for "toewood" and we will coordinate with the design/build team to work with USFWS to mitigate any impacts of T&E species in the buffer areas.

Proposed Schedule: Within the first six weeks of the notice to proceed (contract is in place between Henderson County and the RI Team) we will develop an RFQ for the dam and an RFQ for the stream project. There would be a goal to have the solicitation for the RFQ's back within a month. There should be selections made for both RFQ's within two weeks of the RFQ acceptance date (provided there were acceptable RFQ's received, and an adequate number are received). Following the selection of a design/build team for each RFQ, there should not be an issue to have the engineering/construction teams under contract within a month.

The engineering/construction team for the stream project will begin the survey/assessment phase, late fall/early winter would be a reasonable estimate should everything follow a good schedule. This would place the 60% plan reviews by late winter/early spring with submission for permitting to follow. The ideal desired outcome would have some of these stream projects under construction in the summer of 2025 with plantings to follow in the winter of 2025/26. Again, this is based on the amount of work completed on the stream project. The stream project may also be completed in phases/reaches that allows for a sequenced/phased approach to engineering/construction. RI has experience collaborating with local units of government with phased projects such as a project in Mount Airy that has implemented seven (7) phases of stream stabilization

projects over several years.

The engineering/construction team for the dam would follow the same schedule up to the submission of permits/plan approval from NCDEQ-DEMLR Dam Safety office. Starting on construction will depend on the amount of work already completed on the project and the time it takes for plan/permit approval. RI would plan on dam construction in the fall/winter of 2025/26, based on previous experiences with NCDEQ-DEMLR Dam Safety office. If there has been a lot of work completed on the engineering of the high hazard dam, this timeline could be much shorter.

The RI Team will develop agreement documents with the private landowners to fully outline the expectation of O&M of the respective dam and stream projects. There will be an O&M plan, and an Emergency Action Plan developed with dam project that is consistent with NC Dam Safety Requirements. RI is familiar with these agreements as they are consistent with the work completed with NCDA on the Hurricane Matthew Dam repair projects. The O&M agreement for the stream project will also be developed for the landowner to understand the requirements of maintaining the vegetation for the stream projects. RI has experience with working with private landowners with multiple stream projects that have been implemented using federal and state funds. RI will get these documents signed by the private landowners prior to work being implemented to ensure the private landowners understand the requirements of maintaining the respective projects.

The RI team and Henderson SWCD/County will have an initial budget for each project according to the respective design/build RFQ's. This will indicate the number of other stream projects mentioned in Sec. 2 of the RFQ that can be included in the next phase. Resource Institute would suggest holding a 10-15% contingency funding amount to cover any unforeseen issues that may arise during the rehabilitation of the two dams.

Project Management Services:

Manage Grant Budget

The RI Team will review all invoices from the engineers and contractors and approve. RI will sign off on the invoices as "Project Management" and will assist with tracking the budget of each respective project. RI will also be on sight and in communication with the respective engineer/contractor to verify the work has been completed. This will include at a minimum quarterly invoice(s) for payment as well as providing a quarterly expense/balance sheet.

Oversee Project Schedules

As described in previous sections, the RI Team will communicate with the engineers/contractors and utilize a "Weekly Project Communication Form" to keep everyone informed of the project's status. This form also provides a means to communicate issues that arise and/or means to communicate an adjustment in the project schedule (milestones) as needed.

Provide Quarterly Updates on all Projects

The RI Team will provide an update on all active projects associated with the Disaster Relief and Recovery/Mitigation/Resilience Directed Grant. These updates will include an updated schedule and cost per project. These updates will include documentation of the project progress that includes digital imagery of the construction progress. RI utilizes a "Weekly Project Communication Form" to communicate the project updates to all partners.



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)
7/8/2024

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

| | | |
|--|---|----------------------|
| PRODUCER Morris Insurance Agency, Inc. 2000 W 15th St. Washington NC 27889 License#: PC-1647832 RESOINS-01 | CONTACT NAME: Kimberly Warren | |
| | PHONE (A/C No, Ext): | FAX (A/C No): |
| | E-MAIL ADDRESS: Kimberly@morrisins.com | |
| INSURER(S) AFFORDING COVERAGE | | NAIC # |
| INSURER A: Cincinnati Insurance Company | | 10677 |
| INSURER B: Cincinnati Indemnity | | 23280 |
| INSURER C: | | |
| INSURER D: | | |
| INSURER E: | | |
| INSURER F: | | |

COVERAGES **CERTIFICATE NUMBER: 1698847620** **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| INSR LTR | TYPE OF INSURANCE | ADDL SUBR INSD WVD | POLICY NUMBER | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS | |
|----------|--|-------------------------------------|----------------------------|-------------------------|-------------------------|---|--------------|
| A | <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER: | | EPP 0466205 | 12/1/2023 | 12/1/2024 | EACH OCCURRENCE | \$ 1,000,000 |
| | | | | | | DAMAGE TO RENTED PREMISES (Ea occurrence) | \$ 500,000 |
| | | | | | | MED EXP (Any one person) | \$ 10,000 |
| | | | | | | PERSONAL & ADV INJURY | \$ 1,000,000 |
| | | | | | | GENERAL AGGREGATE | \$ 2,000,000 |
| | | | | | | PRODUCTS - COMP/OP AGG | \$ 2,000,000 |
| | | | | | | | \$ |
| A | <input type="checkbox"/> AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO OWNED AUTOS ONLY <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS NON-OWNED AUTOS ONLY | | EPP 0466205 | 12/1/2023 | 12/1/2024 | COMBINED SINGLE LIMIT (Ea accident) | \$ 1,000,000 |
| | | | | | | BODILY INJURY (Per person) | \$ |
| | | | | | | BODILY INJURY (Per accident) | \$ |
| | | | | | | PROPERTY DAMAGE (Per accident) | \$ |
| | | | | | | | \$ |
| A | <input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED RETENTION \$ | | EPP 0466205 | 12/1/2023 | 12/1/2024 | EACH OCCURRENCE | \$ 3,000,000 |
| | | | | | | AGGREGATE | \$ |
| | | | | | | | \$ |
| B | WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below | Y/N <input type="checkbox"/> N/A | EWC 0466207 | 12/1/2023 | 12/1/2024 | PER STATUTE | OTH-ER |
| | | | | | | E.L. EACH ACCIDENT | \$ 500,000 |
| | | | | | | E.L. DISEASE - EA EMPLOYEE | \$ 500,000 |
| | | | | | | E.L. DISEASE - POLICY LIMIT | \$ 500,000 |
| A | D & O | | EMN 0405037 EPP 0466205 | 8/6/2023 12/1/2023 | 8/6/2024 12/1/2024 | D & O | 2,000,000 |

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

| | |
|--|---|
| CERTIFICATE HOLDER Henderson County Soil & Water 61 Triple Springs Rd. Hendersonville NC 28792 | CANCELLATION SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. |
| | AUTHORIZED REPRESENTATIVE <i>Kimberly Warren</i> |

6. Fee Schedule

The project team will provide project management services that are typically ten (10) percent of projects costs. This is calculated following the solicitation of Request for Proposals (RFP's) for design build services. Resource Institute anticipates one (1) RFP for the dam and (1) RFP for the stream project. The ten (10) percent rate is consistent with the federal "de minimis" rate. This rate and/or percentage is negotiable with Henderson County if our team is chosen in response to the RFQ.

Attachment I: Vendor Information Form

| | | | |
|--|------------|--|---|
| Company/Firm Name Resource Institute, Inc. | | | |
| Mailing Address 2631 Reynolda Road, Winston Salem, NC 27106-4502 | | | |
| Contact Name Lee Rollins | | Contact Title Executive Director | |
| Phone Number (336) 750-0522 | Fax | Email lrollins@resourceinstituteinc.org | Website https://resourceinstituteinc.squarespace.com/ |
| Federal Tax ID Number 56-2261040 | | Unique Entity Identification Number (SAM.gov) MH35C186FFX7 | |
| Required Documentation Completed IRS W-9 form dated within calendar year and signed by authorized personnel. | | Internal Routing W9 Received | |
| Minority and Women Owned Business (M/WBE) certification, if applicable. | | M/WBE Certification Received | YES |
| | | Unique Entity Identification Number confirmed in SAM.gov | YES |

Request for Taxpayer Identification Number and Certification

Go to www.irs.gov/FormW9 for instructions and the latest information.

Give form to the
 requester. Do not
 send to the IRS.

Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

| | | |
|--|--|--|
| Print or type. See Specific Instructions on page 3. | <p>1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)</p> <p>Resource Institute, Inc.</p> | |
| | <p>2 Business name/disregarded entity name, if different from above.</p> | |
| | <p>3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes.</p> <p><input type="checkbox"/> Individual/sole proprietor <input checked="" type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate</p> <p><input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership)</p> <p>Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner.</p> <p><input type="checkbox"/> Other (see instructions)</p> | <p>4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____</p> <p><i>(Applies to accounts maintained outside the United States.)</i></p> |
| | <p>3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions <input type="checkbox"/></p> | |
| | <p>5 Address (number, street, and apt. or suite no.). See instructions.</p> <p>2631 Reynolda Road</p> | <p>Requester's name and address (optional)</p> |
| | <p>6 City, state, and ZIP code</p> <p>Winston-Salem, NC 27106</p> | |
| | <p>7 List account number(s) here (optional)</p> | |

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

| | | | | | | | | | |
|---------------------------------------|---|---|---|---|---|---|---|---|---|
| Social security number | | | | | | | | | |
| | | | | | | | | | |
| or | | | | | | | | | |
| Employer identification number | | | | | | | | | |
| 5 | 6 | - | 2 | 2 | 5 | 1 | 0 | 4 | 0 |

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

| | | | |
|------------------|--------------------------|---|----------------------|
| Sign Here | Signature of U.S. person | <i>Harold Lee Allen, Executive Director</i> | Date 7/5/2024 |
|------------------|--------------------------|---|----------------------|

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they

Attachment I: Vendor Information Form

| | | | |
|---|--|--|--|
| Company/Firm Name | | | |
| Resource Institute, Inc. | | | |
| Mailing Address | | | |
| 2631 Reynolda Road, Winston Salem, NC 27106-4502 | | | |
| Contact Name | | Contact Title | |
| Lee Rollins | | Executive Director | |
| Phone Number | | Fax | |
| (336) 750-0522 | | | |
| Federal Tax ID Number | | Email | |
| | | lrollins@resourceinstituteinc.org | |
| Required Documentation | | Website | |
| Completed IRS W-9 form dated within calendar year and signed by authorized personnel. | | https://resourceinstituteinc.squarespace.com/ | |
| Minority and Women Owned Business (MWBE) certification, if applicable. | | Unique Entity Identification Number (SAM.gov) | |
| MWBE Certification Received | | Unique Entity Identification Number confirmed in SAM.gov | |
| International Routing | | W9 Received | |
| | | YES | |
| Unique Entity Identification Number confirmed in SAM.gov | | M/WBE Certification Received | |
| | | YES | |
| | | N/A | |
| | | YES | |

Request for Taxpayer Identification Number and Certification

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Give form to the
 requester. Do not
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| | |
|--|---|
| Print or type. See Specific Instructions on page 3. | 1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.) Resource Institute, Inc. |
| | 2 Business name/disregarded entity name, if different from above. |
| | 3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor <input checked="" type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) _____ |
| | 4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____ (Applies to accounts maintained outside the United States.) |
| | 3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions <input type="checkbox"/> |
| | 5 Address (number, street, and apt. or suite no.). See instructions. 2631 Reynolda Road |
| | 6 City, state, and ZIP code Winston-Salem, NC 27106 |
| | 7 List account number(s) here (optional) |
| | Requester's name and address (optional) |

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Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

| | | | | |
|---|--|--|--|--|
| Social security number | | | | |
| <table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> </table> | | | | |
| | | | | |
| or | | | | |
| Employer identification number | | | | |
| <table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> </table> | | | | |
| | | | | |

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3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

| | | | | |
|-----------|--------------------------|--|------|----------|
| Sign Here | Signature of U.S. person | <i>Harold Lee Hall, Executive Director</i> | Date | 7/5/2024 |
|-----------|--------------------------|--|------|----------|

General Instructions

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