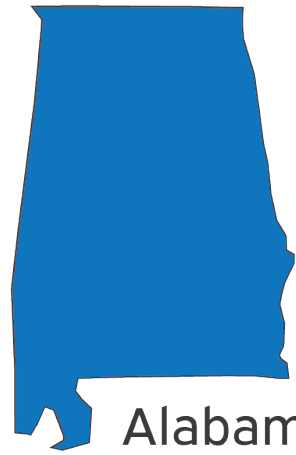




Appalachian
Regional
Commission



ADECA

Alabama Department of Economic and Community Affairs

May 3, 2023

Appalachian Regional Commission Application Workshop

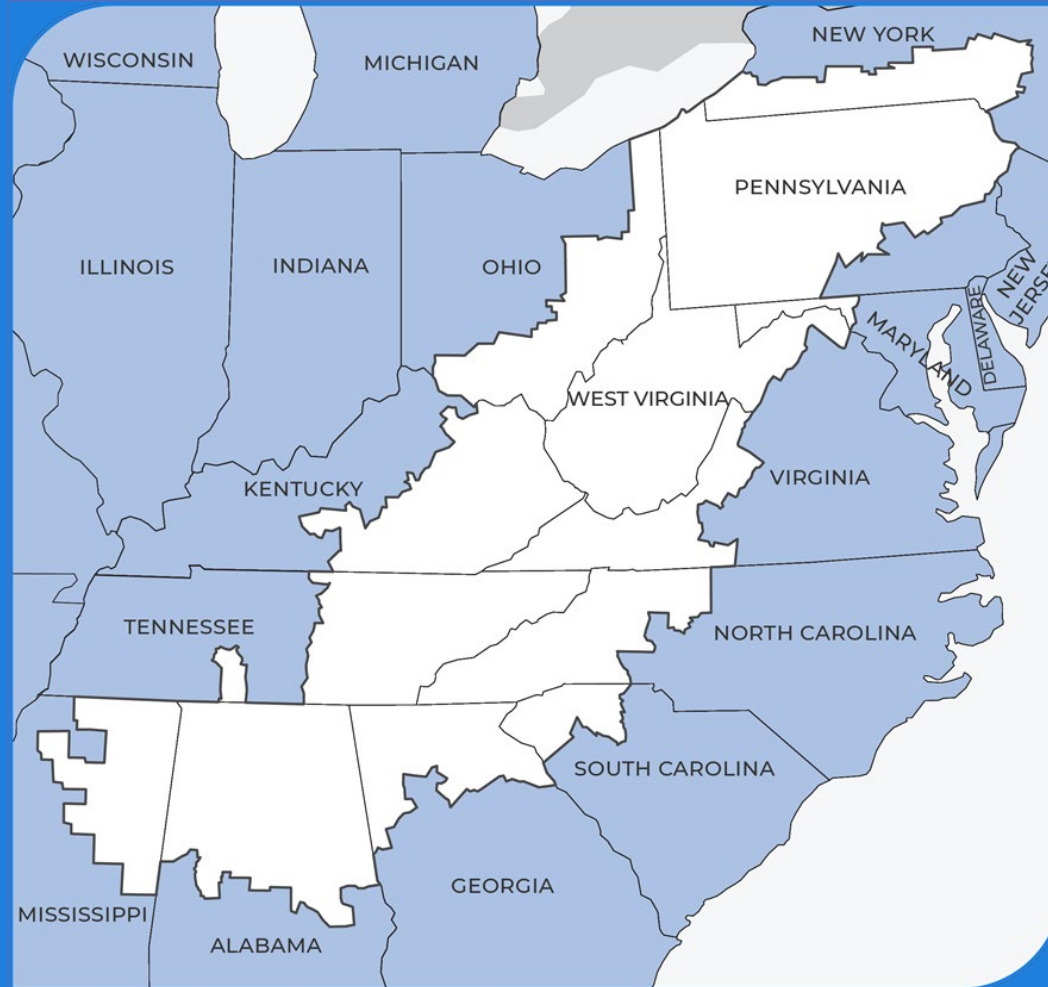
Agenda

- ARC Overview
- Alabama Program Specifics
- ARC Application Overview and Guidance: Construction and Non-Construction Checklists and Forms
- Other Required Application Components
- Budget Information and Match Requirements
- Project Examples
- Break (30 Min)
- Environmental Review Process
- ARC Policy Statements and Other Considerations
- Compliance Factors
- Application Submission Instructions
- ARC Application Review and Approval Process

Workshop Learning Objectives

The workshop will provide support to Appalachian communities in Alabama so that they may plan for effective use of ARC funding, understand Alabama's and ARC's investment priorities, discuss expectations for the applications, and help develop impactful projects.

Appalachian Regional Commission



- Created in 1965
- Federal, state and local government partnership
- 13 states
- 423 counties
- 206,000 square miles
- 26 million people
- 74 local development districts

ARC Unique Structure

- Partnership of local, state and federal government
 - Federal Co-Chair
 - Governors of 13 Appalachian states
 - Local Development Districts
- Regional in focus and broad in scope

Local Development Districts (LDDs)

- Local partners
- Active and essential part of the ARC partnership
- Operated by a board of directors typically elected officials, private individuals, banks
- Available to provide technical assistance and assistance in the preparation of grant applications

Appalachian Regional Commission



ARC VISION STATEMENT

Appalachia is a region of great opportunity that will achieve socioeconomic parity with the nation

ARC MISSION STATEMENT

To innovate, partner and invest to build community capacity and strengthen economic growth in Appalachia

ARC's Purpose: Economic Development

What is Economic Development?

How do we
define
economic
development?

What are the
elements of
economic
development?

How Do We Measure Economic Development?

Jobs obtained

Jobs created

Jobs retained

Businesses improved

Businesses created

Leveraged private investment

How Does ARC Promote Economic Development?



Strengthen Businesses and Entrepreneurs



Develop a Workforce Ecosystem



Build Critical Infrastructure



Invest in Culture and Tourism



Foster Leadership and Community Capacity

Basic Qualifiers

Eligible Organizations:

- Local development districts (LDDs);
- Indian Tribes or consortium;
- States, counties, cities, or other political subdivision of a state;
- Institutions of higher education or a consortium of institutions;
- Public or private nonprofit organizations or associations.
- **Individuals and For-Profit Entities are not eligible for ARC funding.**

Eligible Geography:

- Projects must serve and benefit a portion of the Appalachian Region as defined by the Appalachian Regional Development Act (ARDA) of 1965, as amended.
- *If projects extend beyond the Appalachian Region only that portion that is within the Region is eligible for ARC funding.*

Unique Entity Identifier and System for Award Management (SAM)

Applicants are required to meet the following criteria:

- Be registered in the System for Award Management (SAM) before submitting their application (www.sam.gov);
- Provide a valid Unique Entity ID (UEI) in their application; and
- Continue to maintain an active SAM registration with current information at all times during which they have an active federal award or an application or plan under consideration by a federal awarding agency.

ARC Projects and Activities

- **ADHS** (Appalachian Development Highway System)
- **Formula-driven area development program**
- **Research and evaluation**
- **Local Development Districts**
- **Academies and Institutes**
- **Direct competitive funding programs**
 - **POWER** (Partnerships for Opportunity and Workforce Revitalization)
 - **INSPIRE** (INvestments Supporting Partnerships in Recovery Ecosystems)
 - **ARISE** (Appalachian Regional Initiative for Stronger Economies)
 - **READY Appalachia**





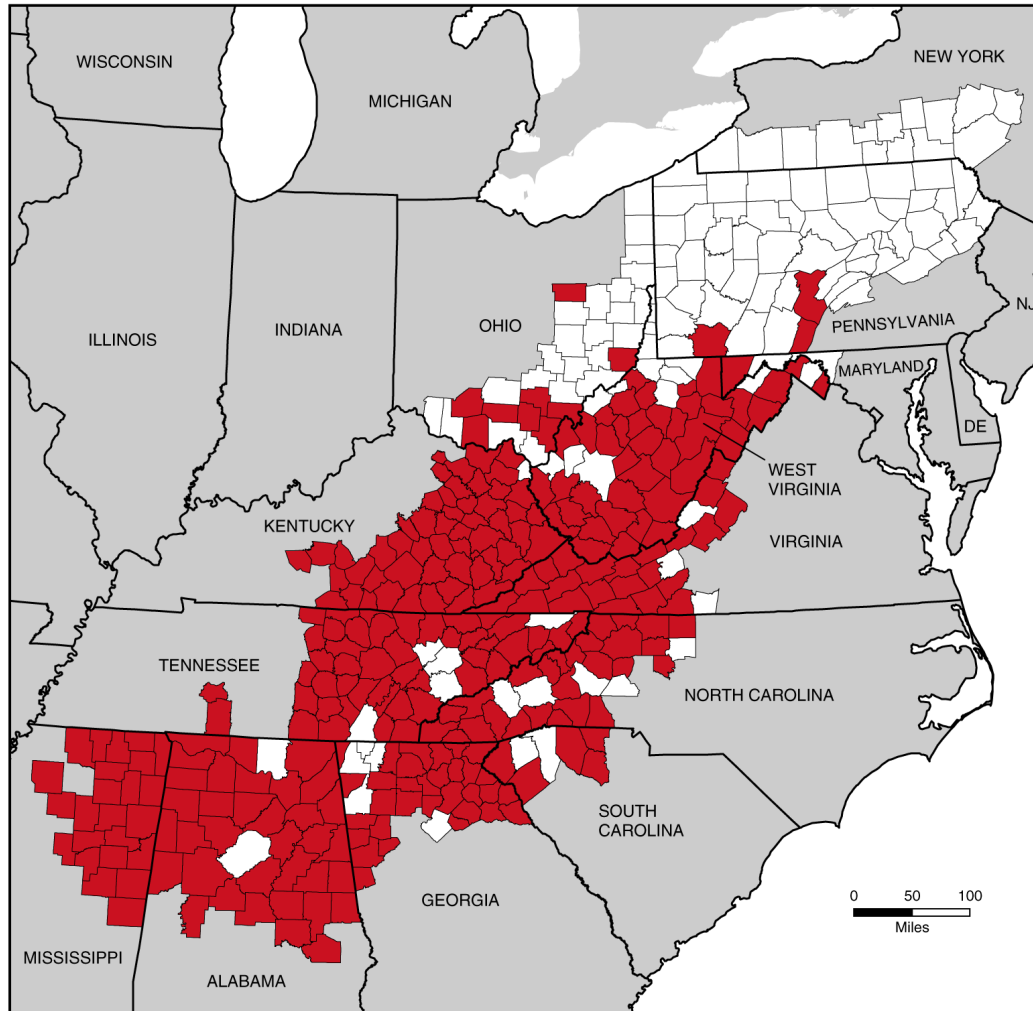
Appalachian
Regional
Commission

High-Poverty Counties in the Appalachian Region

(Counties with Poverty Rates At Least 1.5 Times the U.S. Average)

1960

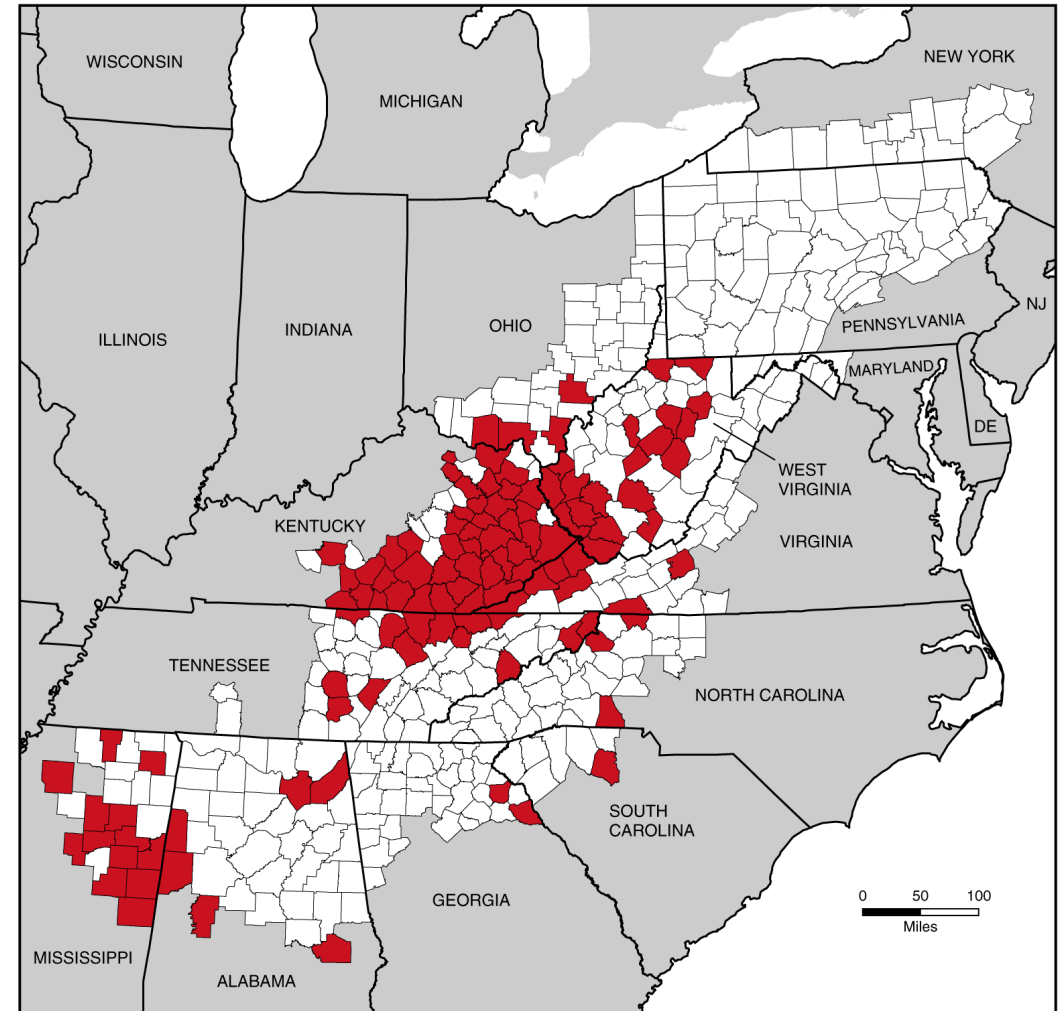
297 High-Poverty Counties



Data Source: U.S. Census Bureau, 1960 Census
Revised with 3 new counties added on 11/15/2021

2015–2019

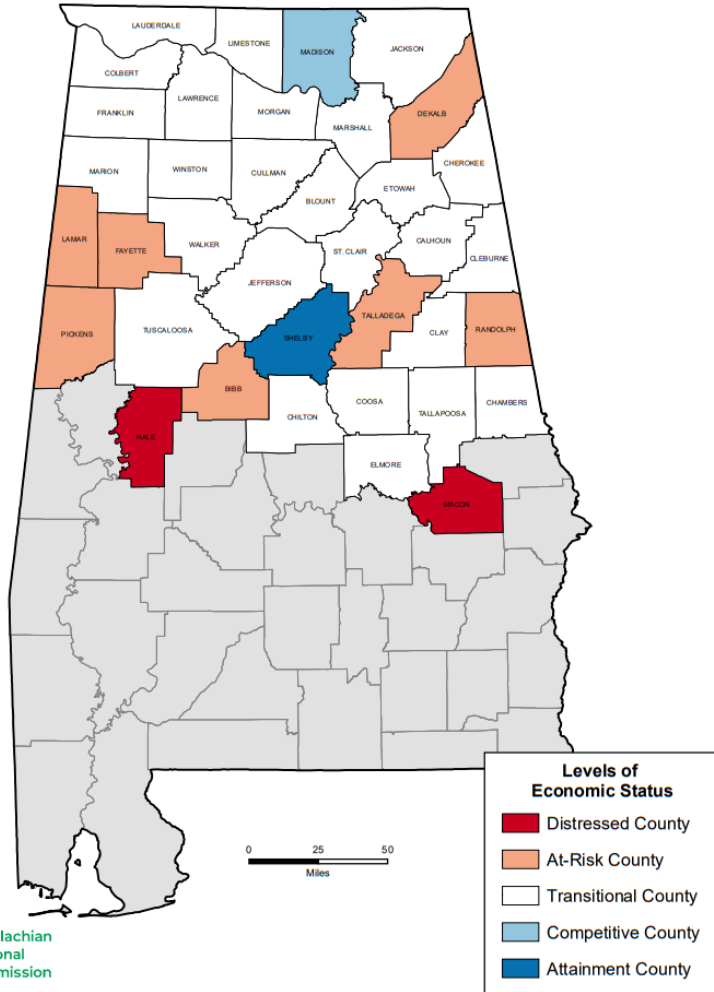
112 High-Poverty Counties



Data Source: U.S. Census Bureau, American Community Survey, 5-Year Estimates, 2015–2019
Revised with 3 new counties added on 11/15/2021

Alabama ARC Program Overview

**County Economic Status in Appalachian Alabama,
Fiscal Year 2023**



Distressed Counties: Macon, Hale

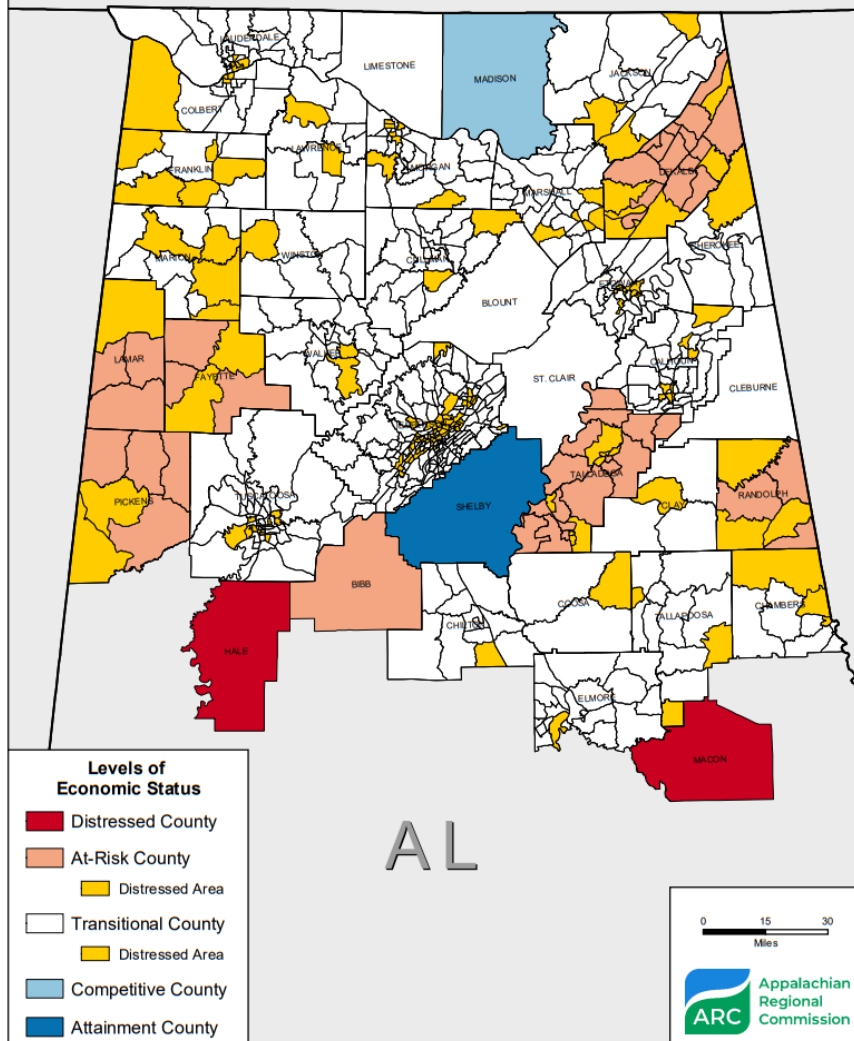
At-Risk Counties: Bibb, DeKalb, Fayette, Lamar, Pickens, Randolph, Talladega

Transitional: Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, Elmore, Etowah, Franklin, Jackson, Jefferson, Lauderdale, Lawrence, Limestone, Marion, Marshall, Morgan, St. Clair, Tallapoosa, Tuscaloosa, Walker, Winston

Competitive: Madison

Attainment: Shelby

County Economic Status and Distressed Areas in Appalachian Alabama, Fiscal Year 2023



This map shows distressed areas within counties that may otherwise be designated with a different economic status.

ARC assigns the “distressed area” designation to census tracts in at-risk and transitional counties that have a median family income no greater than 67 percent of the U.S. average and a poverty rate 150 percent of the U.S. average or greater.

Local Development Districts

Northwest Alabama Council of Local Governments

Counties: Colbert, Franklin, Lauderdale, Marion, Winston

North Central Alabama Regional Council of Governments

Counties: Cullman, Lawrence, Morgan

Top of Alabama Regional Council of Governments

Counties: DeKalb, Jackson, Limestone, Madison, Marshall

West Alabama Regional Commission

Counties: Bibb, Fayette, Hale, Lamar, Pickens, Tuscaloosa

Regional Planning Commission of Greater Birmingham

Counties: Blount, Chilton, Jefferson, St. Clair, Shelby, Walker

East Alabama Regional Planning and Development Commission

Counties: Calhoun, Chambers, Cherokee, Clay, Cleburne, Coosa, Etowah, Randolph, Talladega, Tallapoosa

Central Alabama Regional Planning and Development Commission

County: Elmore

South Central Alabama Development Commission

County: Macon



ALABAMA

STATE PROFILE | FISCAL YEAR 2022
(OCTOBER 1, 2021–SEPTEMBER 30, 2022)

FISCAL YEAR 2022 INVESTMENT SNAPSHOT



\$8M ARC INVESTMENT

\$7.3M PROJECT MATCH

\$15.3M TOTAL PROJECT INVESTMENT

29 PROJECTS

\$45M ADDITIONAL PRIVATE INVESTMENTS LEVERAGED

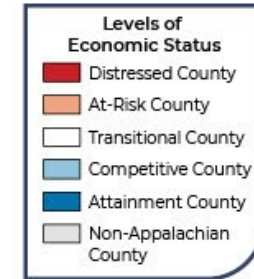
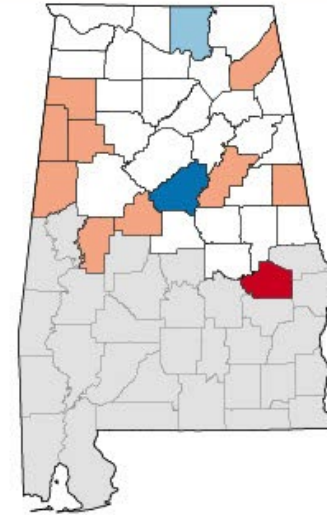
140 JOBS CREATED OR RETAINED

1,540 STUDENTS AND WORKERS TRAINED AND EDUCATED

1,900 HOUSEHOLDS/BUSINESSES SERVED WITH INFRASTRUCTURE



FY 2022 COUNTY ECONOMIC STATUS IN ALABAMA



FISCAL YEAR 2022 INVESTMENT PRIORITIES



WORKFORCE ECOSYSTEM
\$2.7M

invested in Alabama to expand community systems that will help Appalachians obtain a job, stay on the job, and advance their careers



COMMUNITY INFRASTRUCTURE
\$2.8M

invested in Alabama to ensure access to reliable and affordable broadband, clean water and updated wastewater systems, highways, and more



COMMUNITY LEADERS & CAPACITY
\$2M

invested in growing the capacity of local leaders, organizations, and communities to address challenges and create opportunities in Alabama



BUILDING BUSINESSES
\$488K

invested in entrepreneurship and business development to strengthen the economy in Appalachian Alabama

Available Funds

- **Area Development** – Approximately \$12.5 million
- **Distressed** – Approximately \$1.8 million

GRANT CEILING

Construction Projects - \$500,000

Non-construction Projects - \$350,000

Planning Projects - \$50,000

A wide-angle photograph of a rural landscape. In the foreground, there are green fields and scattered trees. In the middle ground, there are rolling hills and a small cluster of buildings. In the background, there are large, forested mountains under a blue sky with white clouds. A large blue semi-circular graphic is overlaid on the bottom right of the image, containing the text.

Combined Construction and Non-Construction Application Workshop

Standard Forms for ALL Projects

SF 424: Official Application for all Federal Awards

Follow the instructions that accompany the form

Catalog for Domestic Assistance Number and Funding Opportunity Number: 23.002 (for Area Development Grants)

The image shows a screenshot of the 'Application for Federal Assistance SF-424' form. The form is divided into several sections, with many fields redacted with yellow boxes. Key sections include:

- 16. Congressional Districts Of:** * a. Applicant [redacted] * b. Program/Project [redacted]
- * 9. Type of Applicant 1: Select Applicant Type:** [redacted]
- * 1. Type of Submission:** Preapplication, Application, Changed/Corrected Application
- * 2. Type of Application:** New, Continuation, Revision
- * 3. Date Received:** Completed by Grants.gov upon submission
- 4. Applicant Identifier:** [redacted]
- 5a. Federal Entity Identifier:** [redacted] **5b. Federal Award Identifier:** [redacted]
- 6. Date Received by State:** [redacted] **7. State Application Identifier:** [redacted]
- 8. APPLICANT INFORMATION:**
 - * a. Legal Name:** [redacted]
 - * b. Employer/Taxpayer Identification Number (EIN/TIN):** [redacted]
 - * c. Organizational DUNS:** [redacted]
 - d. Address:**
 - * Street1:** [redacted]
 - * Street2:** [redacted]
 - * City:** [redacted]
 - County/Parish:** [redacted]
 - * State:** [redacted]
 - Province:** [redacted]
 - * Country:** USA: UNITED STATES
 - * Zip / Postal Code:** [redacted]
 - e. Organizational Unit:**
 - Department Name:** [redacted]
 - Division Name:** [redacted]
 - f. Name and contact information of person to be contacted on matters involving this application:**
 - Prefix:** [redacted] *** First Name:** [redacted]
 - Middle Name:** [redacted]
 - * Last Name:** [redacted]
 - Suffix:** [redacted]
 - Title:** [redacted]
 - Organizational Affiliation:** [redacted]
 - * Telephone Number:** [redacted] **Fax Number:** [redacted]
 - * Email:** [redacted]

Make sure to use correct legal name, include all funding sources, have all authorized reps sign, and **include email address of authorized rep**

MOU

Required for all ARC Grant Applications

<https://www.arc.gov/resource/memorandum-of-understanding/>

Appalachian Regional Commission
Program Operations Division
1666 Connecticut Ave, NW
Washington, DC 20009

Phone 202-884-7750
Fax 202-884-7682

Memorandum of Understanding For ARC Projects

Project Name: _____

State: _____ Federal Agency: _____

The Following Conditions Apply to all ARC Projects

Deadline:	The Commission may revoke or revise its approval of any project if work intended to be assisted is not underway within 18 months after the date of approval of such project.
Davis Bacon Wages:	Davis Bacon wage rates (as determined by the Department of Labor for your respective area) must be paid for all construction projects in accordance with Section 402 of the Appalachian Regional Development Act of 1965, as amended.
ARC Underrun Policy:	Each disbursement of funds for a project receiving assistance from more than one Federal source will be deemed to be a proportional disbursement from each source. In the event of an underrun, the ARC will be entitled to recover its proportionate share of the underrun.
Additional Funds Added to the Project After ARC Approval:	It is understood that if the applicant receives additional funding from any new source towards the eligible cost of this project after the ARC approval, these funding sources should not be used to reduce the amount of local funds pledged. If new funds are made available to this project, the ARC and the Basic Federal Agency, if any, should be notified immediately. ARC reserves the right to reconsider the level of its funding approval in such an eventuality.
Changes in Scope:	It is understood that a change-in-scope may not be implemented without prior written approval from the ARC and the Basic Federal Agency, if any. A change of scope is any major change to the project design, the type of project to be completed, capacity of the system, size of project, the number and/or type of customers served or equipment items purchased.
Close Working Relationship With Basic Federal Agency:	It is understood that the applicant must work closely with the Basic Federal Agency identified in the ARC application, if any, and follow bidding and contract award procedures to insure that all pertinent Federal laws are complied with. Coordination with the Federal agency begins with filing an application with the basic Federal agency.
Restrictions on Assistance:	ARC funds shall not be used for: a. any form of assistance to relocating industries; b. recruitment activities that place a state in competition with other state or states; and c. projects that promote unfair competition between businesses within the same immediate service area.
Cornerstone or Plaque:	Any facility constructed in whole or in part by funds provided under the ARDA shall include a cornerstone, or plaque appropriately acknowledging the assistance provided through the ARC program, provided that such an item not be required if it would be prohibited as an eligible project cost under the basic federal program through which the ARDA assistance is provided.

Applicant/Authorized Representative _____

Date _____

Construction Project Forms

Construction Project Application Checklist

<https://www.arc.gov/resource/arc-construction-project-application-checklist/>



ARC Construction Project Application Checklist

All applicants requesting ARC investment funding should use this checklist to develop a complete project application. The framework for the checklist is based on [ARC's 2022-2026 Strategic Plan](#), which emphasizes strategic focus, collaboration, sustainability, and measurable impact. Words in bold identify materials that should be included as supporting materials.

List the page in your application where the required information can be found in the blank space next to each section and subsection. Submit completed applications to your state's ARC program office.

SECTION 1: Transmittal Letter

SECTION 2: REQUIRED APPLICATION FORMS, Page # ___

Include the required application forms:

- Federal Standard Form 424: Application for Federal Assistance
(Include ARC funds and all matching funds)
- Federal Standard Form 424C: Budget Information
- Federal Standard Form 424D: Construction Assurances
- ARC Memorandum of Understanding
- Forms required by state ARC program offices (ARC Forms 1 or 2 may be required)

SECTION 3: EXECUTIVE SUMMARY, Page # ___

- Provide a short executive summary of project goals and strategies, purpose, key activities, strategic rationale, collaborative partnerships, project sustainability and capacity, and performance measures. This should be a synopsis of the longer project narrative, provided in Section 4. See the ARC [Executive Summary template](#) for format and guidance.

SECTION 4: PROJECT NARRATIVE, Page # ___

Formatting instructions: Use the headings below as headings in the project narrative. The suggested length of the narrative is five to eight pages. Please number the pages.

1. Goals and Strategies, Page # ___

- List the primary ARC goal and the primary ARC objective the project will address (one goal and one objective only). See ARC's 2022-2026 Strategic Plan for a list of ARC goals and objectives.
- List the primary ARC state strategy the project will address. Consult your state's most recent Strategy Statement and your state's ARC program manager for additional guidance.

2. Project Description, Page # ___

- Identify the counties where the proposed project will be based and the counties in the project's entire service area. If the project is not county-wide, identify the census tracts (and economic status, particularly if a Distressed Area) of the project's entire service area. See ARC's County Economic Status tables and map.
- Provide a detailed work plan that includes a description of all major project activities (what will be done and by whom) and timelines for each activity during the course of the project. Include details, such as linear feet to be constructed, square footage built, acreage served, and timelines for starting and completing each component.
- For projects where energy-efficiency can be improved (in the scope of the project), discuss efforts that may have been made to improve the energy-efficiency and green-building practices of the project, as outlined in ARC's Project Guidelines.
- For industrial sites or community facilities, describe approaches to marketing the project to potential users and beneficiaries, including strategic sectors to be pursued and an explanation of who will be responsible for marketing activities. Describe any plans for leasing or transferring ownership of the property, if applicable.

3 Page Document

Read carefully and use as a guide to ensure a complete and comprehensive application package

View Burden Statement

OMB Number: 4040-0008
Expiration Date: 02/28/2025

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
2. Land, structures, rights-of-way, appraisals, etc.	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
3. Relocation expenses and payments	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
4. Architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
5. Other architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
6. Project inspection fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Site work	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
8. Demolition and removal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9. Construction	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
10. Equipment	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
11. Miscellaneous	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
12. SUBTOTAL (sum of lines 1-11)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
13. Contingencies	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
14. SUBTOTAL	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
15. Project (program) income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

FEDERAL FUNDING

17. Federal assistance requested, calculate as follows:
(Consult Federal agency for Federal percentage share.) Enter eligible costs from line 16c. Multiply X %
Enter the resulting Federal share. \$

SF 424C: Construction Budget Form

SF 424D: Construction Assurances

<p style="text-align: center; margin: 0;">View Burden Statement</p> <p style="text-align: center; margin: 0;">ASSURANCES - CONSTRUCTION PROGRAMS</p> <p style="text-align: right; font-size: small; margin: 0;">OMB Number: 4040-0009 Expiration Date: 02/28/2025</p> <p style="font-size: x-small; margin: 5px 0;">Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.</p> <p style="text-align: center; border: 1px solid black; padding: 5px; font-weight: bold; font-size: small;">PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.</p> <p>NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.</p> <p>As the duly authorized representative of the applicant, I certify that the applicant:</p>	<ol style="list-style-type: none"> 1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application. 2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives. 3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project. 4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications. 5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State. 6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency. 7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain. <ol style="list-style-type: none"> 8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F). 9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures. 10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29) U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application. 								
<ol style="list-style-type: none"> 11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. 12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds. 13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements. 14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more. 15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of 	<p>Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).</p> <ol style="list-style-type: none"> 16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system. 17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.). 18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations." 19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program. 20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award. 								
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 2px;">SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</td> <td style="width: 50%; padding: 2px;">TITLE</td> </tr> <tr> <td style="height: 30px;"></td> <td style="height: 30px;"></td> </tr> <tr> <td style="padding: 2px;">APPLICANT ORGANIZATION</td> <td style="padding: 2px;">DATE SUBMITTED</td> </tr> <tr> <td style="height: 30px;"></td> <td style="height: 30px;"></td> </tr> </table>	SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE			APPLICANT ORGANIZATION	DATE SUBMITTED			<p>SF-424D (Rev. 7-97) Back</p>
SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE								
APPLICANT ORGANIZATION	DATE SUBMITTED								
<p>Previous Edition Usable</p> <p>Authorized for Local Reproduction</p> <p>Standard Form 424D (Rev. 7-97) Prescribed by OMB Circular A-102</p>									

Construction Projects Must Include:

A description of those responsible for
Administrative and Review Processes:

- Environmental Review and Continuing Compliance
- Davis Bacon Act Regulation and Continuing Compliance
- Management of Procurement Activities

On ARC's Grant Resource Page:

Standard Forms for Construction Projects

<https://www.arc.gov/resource/standard-forms-for-construction-applications/>

Resource Link

Non-Construction Project Forms

Non-Construction Project Application Checklist

<https://www.arc.gov/resource/arc-non-construction-project-application-checklist/>



ARC Non-Construction Project Application Checklist

All applicants requesting ARC investment funding should use this checklist to develop a complete project application. The framework for the checklist is based on [ARC's 2022-2026 Strategic Plan](#), which emphasizes strategic focus, collaboration, sustainability, and measurable impact. Words in bold identify materials that should be included as supporting materials.

List the page in your application where the required information can be found in the blank space next to each section and subsection. Submit completed applications to your state's ARC program office.

SECTION 1: Transmittal Letter

SECTION 2: REQUIRED APPLICATION FORMS, Page # ___

Include the required application forms:

- Federal Standard Form 424: Application for Federal Assistance
 - (Include ARC funds and all matching funds)
- Federal Standard Form 424A: Budget Information for Non-Construction Programs
- Federal Standard Form 424B: Non-Construction Assurances
- ARC Memorandum of Understanding
- Forms required by state ARC program offices (ARC Form 3 may be required)

SECTION 3: EXECUTIVE SUMMARY, Page # ___

- Provide a short executive summary of project goals and strategies, purpose, key activities, strategic rationale, collaborative partnerships, project sustainability and capacity, and performance measures. This should be a synopsis of the longer project narrative, provided in Section 4. See the ARC [Executive Summary template](#) for format and guidance.

SECTION 4: PROJECT NARRATIVE, Page # ___

Formatting instructions: Use the headings below as headings in the project narrative. The suggested length of the narrative is five to eight pages. Please number the pages.

1. Goals and Strategies, Page # ___

- List the primary ARC goal and the primary ARC objective the project will address (one goal and one objective only). See ARC's 2022-2026 Strategic Plan for a list of ARC goals and objectives.
- List the primary ARC state strategy the project will address. Consult your state's most recent Strategy Statement and your state's ARC program manager for additional guidance.

2. Project Description, Page # ___

- Describe the project's primary purpose, main activities, and expected outcomes.
- Identify the counties where the proposed project will be based and the counties in the project's entire service area. If the project is not county-wide, identify the census tracts (and economic status, particularly if a Distressed Area) of the project's entire service area. See ARC's County Economic Status tables and map.
- Provide a detailed work plan that includes a description of all major project activities (what will be done and by whom) and timelines for each activity during the course of the project. Include as many details as possible.

3 Page Document

Read carefully and use as a guide to ensure a complete and comprehensive application package

View Burden Statement

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 02/28/2025

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	
2.						
3.						
4.						
5. Totals		\$				

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)					

Standard Form 424A: Budget Information

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal	\$	\$	\$	\$	\$
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:		22. Indirect Charges:	
23. Remarks:			

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Standard Form 424A (Rev. 7-97)
Prescribed by OMB (Circular A-102) Page 2



Appalachian
Regional
Commission

SF-424B

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

- Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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Standard Form 424B (Rev. 7-97)
Prescribed by OMB Circular A-102

- Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
- Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
- Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
- Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED January 12, 2023

Standard Form 424B (Rev. 7-97) Back

Resource Link

On ARC's Grant Resource Page:

Standard Forms for Non-Construction
Projects

<https://www.arc.gov/resource/standard-forms-for-non-construction-applications/>

Executive Summary

Executive Summary

Follow the Template

Use concise, consolidated language

<https://www.arc.gov/resource/executive-summary-template-for-arc-applications/>



Executive Summary Format

(2 pages maximum)

- Project Title:** Identify descriptive title of the project
- Project Grantee:** Identify applicant's legal name
- Counties Served:** Identify each county and its economic status (e.g. transitional, distressed, etc.)
- Basic Agency:** Identify the administering agency (construction projects only)
- Goal/Strategy:** Identify the primary ARC Goal and State Strategy that project will address
- Purpose:** 1-sentence statement describing purpose of proposed project
- Funding:**
- | | Amount | % | Source |
|--------------|------------------|-------------|---------------------------------------|
| ARC | \$200,000 | 36% | Area Development, Distressed Counties |
| Federal | 200,000 | 36% | Other Federal Grant |
| State | 100,000 | 18% | State Grant |
| <u>Local</u> | <u>100,000</u> | <u>10%</u> | (Other Federal Loan, Grantee, etc.) |
| Total | \$560,000 | 100% | |
- Project Description:** (Maximum 1-2 paragraphs) Describe major activities to be conducted. The description should address who, what, where, when and how for each major activity.
- Strategic Rationale:** (1 paragraph max)
- Identify the problems and/or opportunities project will address.
 - Explain the critical circumstances that compel project to be funded by ARC.
 - Describe how project supports a regional strategy or plan.
- Collaborative Partnerships:** (1 paragraph max)
- Identify local, regional and/or state partnerships that will support project.
- Project Sustainability & Capacity:** (1 paragraph max)
- Describe capacity to undertake the proposed activity by describing previous experience with similar activity.
 - Explain how the project will be sustainable once ARC support is no longer available.
- Impact Measures:**
- Identify quantifiable output and outcome measures, consistent with ARC guidance (include any leveraged private investment resulting from the project).



Any Questions?

Project Narrative

Basic Components

- Goals and Strategies
- Project Description
- Strategic Rationale
- Performance Measures
- Collaborative Partnerships
- Sustainability and Capacity

Goals and Strategies

What primary goal or objective of ARC's strategic plan does your project advance?

What primary goal or regional objective of your state's strategic plan does your project advance?

Does it help to build or strengthen:

- Appalachian businesses?
- Workforce system?
- Infrastructure?
- Culture and Tourism?
- Community Leaders and Capacity?



Appalachia Envisioned

A New Era of Opportunity | ARC Strategic Plan Fiscal Years 2022-2026



Identify **one** ARC Strategic Goal and **one** State Strategy

- More information on our investment priorities as well as our strategic plan can be found <https://www.arc.gov/investment-priorities/>
- State Strategies can be found on ARC's website <https://www.arc.gov/appalachian-states/>

Examples of Projects and the Goals they Advance

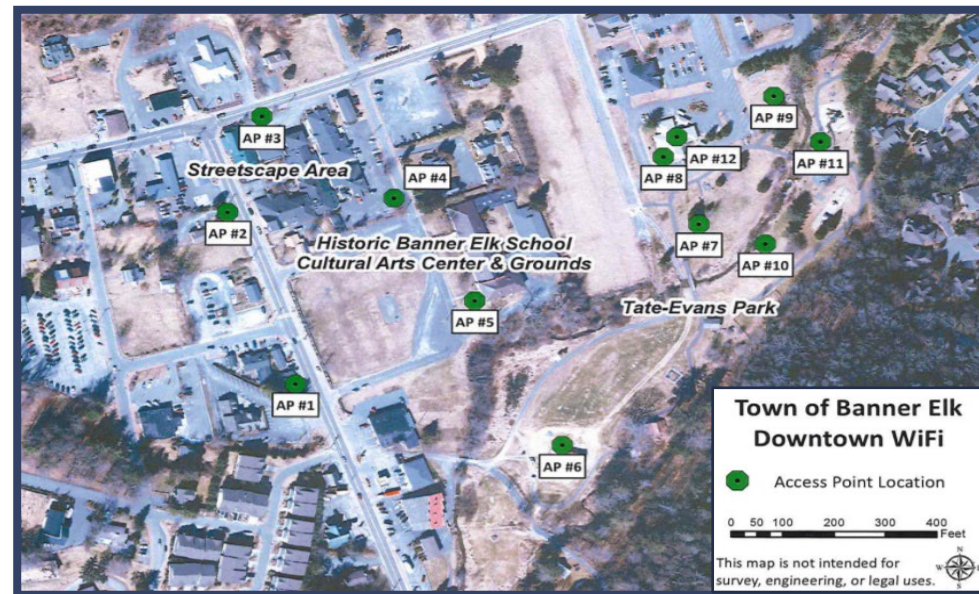
ARC Goals	Construction	Non-Construction
Goal #1: Building Appalachia's Businesses	Incubators, industrial sites	Providing TA to businesses
Goal #2: Building Appalachia's Workforce System	Training center construction	Workforce training program Healthcare/SUD recovery program
Goal #3: Building Appalachia's Infrastructure	Water, sewer system expansion Installing Broadband fiber EV charging network construction	Planning, studies to assess need
Goal #4: Building Regional Culture and Tourism	State Park trails extension Historic building renovation	Tourism Promotion
Goal #5: Building Community Leaders & Capacity		Community Strategic Planning

Project Description

- **First paragraph** should summarize the project's primary purpose, main activities, and expected impacts. This can be lifted from the Executive Summary.
- **Subsequent paragraphs** should spell out the specific details of your project.
- Provide context about your organization and the communities you serve. **Assume the reader has never heard of your organization or been to your locality.**

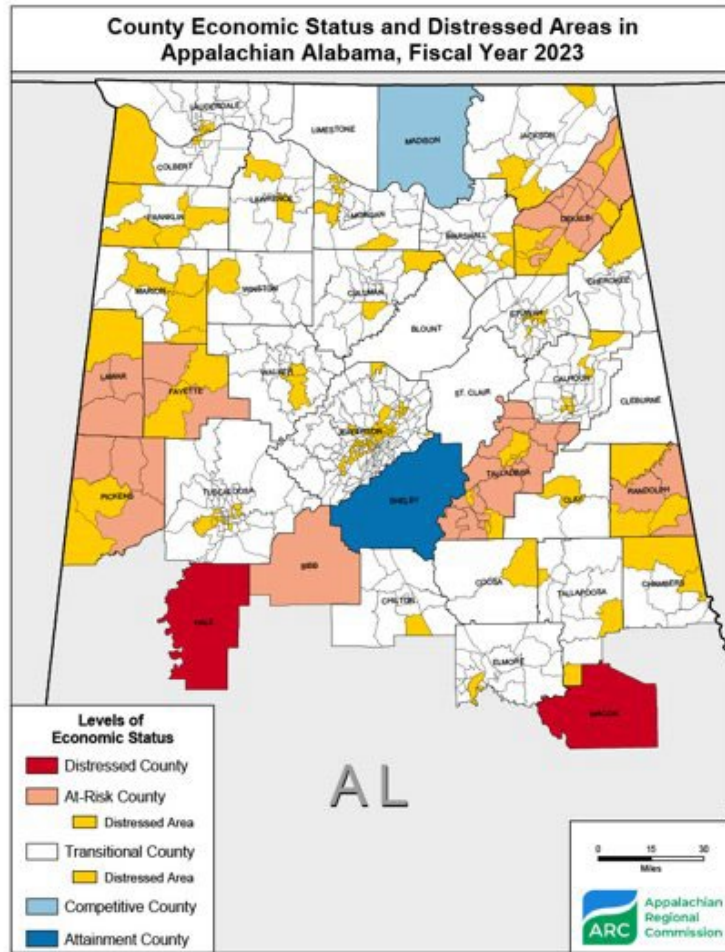
Please include:

- A detailed workplan outlining major project activities. Include who is responsible and timeline for each activity.
- Attach maps, diagrams, floorplans, etc. to illustrate the service area & scope.



Describe who the primary users/beneficiaries of the project are, and what your plan is for outreach/marketing your project to them.

Activity	Responsible Party	Timeframe
Meet with members of the Advisory Committee to develop strategy for recruiting outstanding teachers and to identify sites for industry internships (industry partners)	KFP Director and Associate Director	Nov 2018
Recruit and accept online applications from WNC teachers	KFP Staff	Nov 1, 2018 – Jan 31, 2019
Obtain commitments from local industries to host internships for the selected teachers (industry partners)	KFP Director and Associate Director	Nov 2018 – Feb 2019
KFP Staff, Advisory Committee, review applications and select top candidates	KFP Director	Feb 2019
KFP Staff, Advisory Committee, and industry partners conduct face-to-face interviews with top candidates	KFP Director	March 2019
Announce selection of the project's six teacher leaders and award the first stipend payment	KFP Staff	May 2019



Example of a map showing distressed areas in counties of differing economic statuses. To find this info, please go to <https://www.arc.gov/classifying-economic-distress-in-appalachian-counties/>

*match rates are still determined by county status, regardless of distressed areas within

- Non-Profits must provide background information on their organization (who they are, what they do)
- Note efforts to address energy efficiency or incorporate green-building practices
- Describe marketing campaigns or any plans for transfer of ownership once the project is completed
- Explain where the scope of work will take place. Identify any **Distressed Census Tracts** included in the project service area.

Strategic Rationale

Strategic Rationale and Project Benefits

- What is the **problem** to be solved or opportunity to take advantage of?
- How does this **impact** the community?
- Letters of **demand** from businesses or other community stakeholders

Pro-Tip – Your application must have letters that show someone will use your program



Letters of Support

Include letters of support that show need, demand, proposed project impact

*Avoid templates or form letters

As you know, to ensure compliance with both COMAR and Maryland's new Environmental Literacy Graduation Requirement, Allegany County Public Schools (ACPS) has been working with the Evergreen Heritage Center Foundation and our other partners since 2011 to improve environmental literacy across the school system. Since first collaborating on this initiative, we are pleased that our students participating in your field trips consistently achieve positive gains in their knowledge of environmental literacy as measured by pre/posttests. These field trip programs, which explore issues such as alternative energy solutions and environmental conservation, align with both the Maryland State Curriculum and Maryland Environmental Literacy Standards and this past year served all of our 6th, 8th, and high school Earth Science and Biology students, as well as our After School program.

Since we realize that in addition to our contribution, these programs depend on grants and donations supplied by your Foundation, we hope that you will persist in your work to obtain these necessary supporting funds so that together we may continue to offer these and other meaningful outdoor education experiences to our region's children. We certainly appreciate the great partnership that we have with the Evergreen Heritage Center Foundation.

Sincerely,

Additional questions to help shape your strategic rationale:

- Most practical, cost-effective, and beneficial way to achieve desired results when compared to alternatives. **Why?**
- Progress toward a **regional strategy**?
- Does the project serve **distressed areas**?
- Is the project a **continuation or expansion** of an existing ongoing program? If so, explain outcomes and milestones reached so far?
- Other **benefits** likely to result from the project



Any Questions?

Performance Measures

ARC can track measures at the beginning (estimated), the project close (actual), and up to 3 years after closeout.

Requirements:

1. At least one output & outcome.
2. Explanation for how measures are estimated, collected, and tracked.

- See the Performance Measures Guide for more info:
www.arc.gov/resource/guide-to-arc-project-performance-measures/

Guide to ARC Project Performance Measures

Stand-Alone Performance Measures

Stand-alone output measures can be used with any of the outcome measures on the stand-alone outcome measures list below.

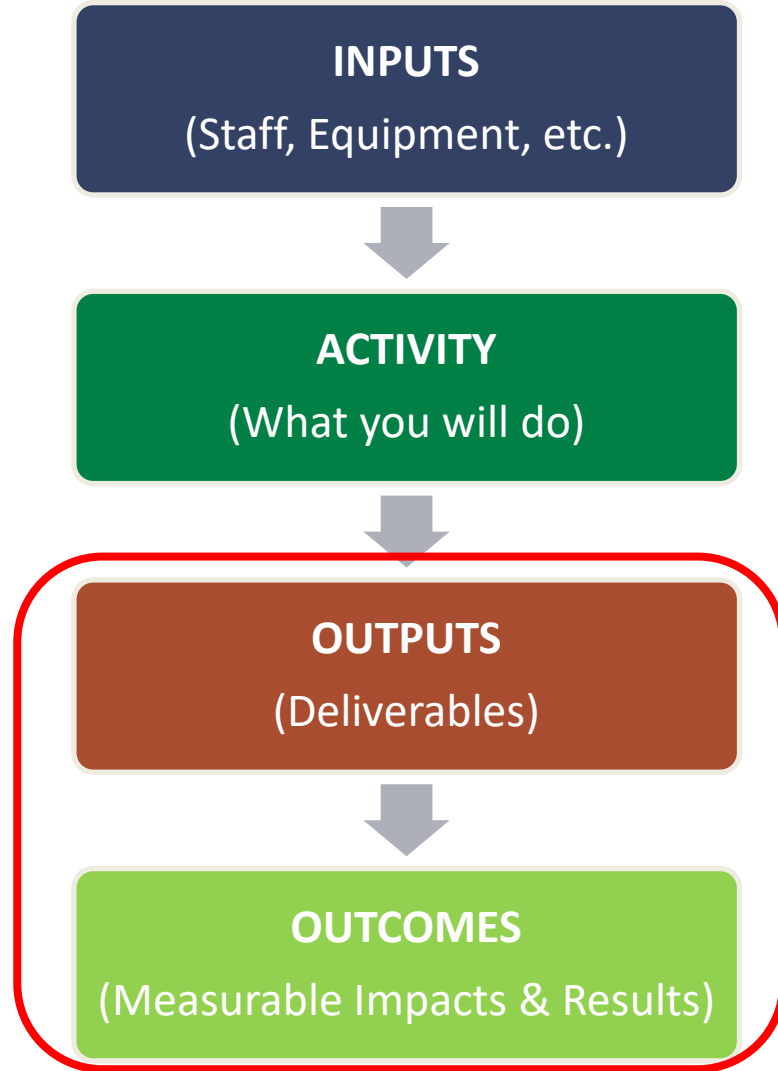
Stand-Alone Output Measures

- access road miles
- acreage
- data--megabits per second (Mbps)
- data--terabytes (TB)
- gas--million cubic feet (MMCF)
- gas--million cubic feet per day (MMCFD)
- heat--million BTU (MMBTU)
- heat--million BTU per day (MMBTUD)
- linear feet
- million gallons (MG)
- million gallons per day (MGD)
- new visitors: days
- new visitors: overnights
- power- kilowatt-hours (kWh) per year
- power--kilowatts (kW)

- plans/reports
- square feet
- waste--tons per day reduced/reused/recycled (TPD)
- waste--tons reduced/reused/recycled

Stand-Alone Outcome Measures

- businesses created
- costs reduced
- housing units constructed/rehabbed
- jobs created
- jobs retained
- leveraged private investment (LPI)
- programs implemented
- revenues increased: export sales
- revenues increased: non-export sales
- telecom sites



Performance Measures should be **SMART**:

- **Specific** – how did you define 'service' or 'improvement'?
- **Measurable** – how will you collect your data?
- **Attainable** – is it achievable given your budget, scope, and time constraints?
- **Relevant** – do the outcomes align with your project activities?
- **Time-bound** – is it achievable within the grant period or within 3 years of the grant end date?

Paired Measures

- The outputs and outcomes **must be paired** as shown in the chart below
- The number “improved” (outcome) is always **equal to or a subset of** the number “served” (output)

OUTPUTS	OUTCOMES
Businesses Served	Businesses Improved
Communities Served	Communities Improved
Households Served	Households Improved
Organizations Served	Organizations Improved
Participants Served	Participants Improved
Patients Served	Patients Improved
Students Served	Students Improved
Workers / Trainees Served	Workers / Trainees Improved

Paired Measures

What does “served” typically mean?

MEASURE	DEFINITION OF SERVED (OUTPUT)
Students Workers/Trainees	Enroll in an academic or workforce training program
Businesses	Receiving technical assistance or participate in training, entrepreneurship, export, or other business development and improvement programs
Communities	Number of communities (counties) in the project service area that will be impacted by the project

Paired Measures

What does “improved” typically mean?

MEASURE	DEFINITION OF IMPROVEMENT (OUTCOME)
Students Workers/Trainees	Obtain employment, earn diploma, earn job skill certification, pass examination, etc. Obtain a new job in training-related field or improve existing job prospects
Businesses	Growth in sales, acquired new capital, expanded employment, new facility, launched new product/service, etc.
Communities	Develop/implement a plan, use results of study to implement changes, make improvements, etc.

Paired Measures

Do I count them as students, workers/trainees, or participants?

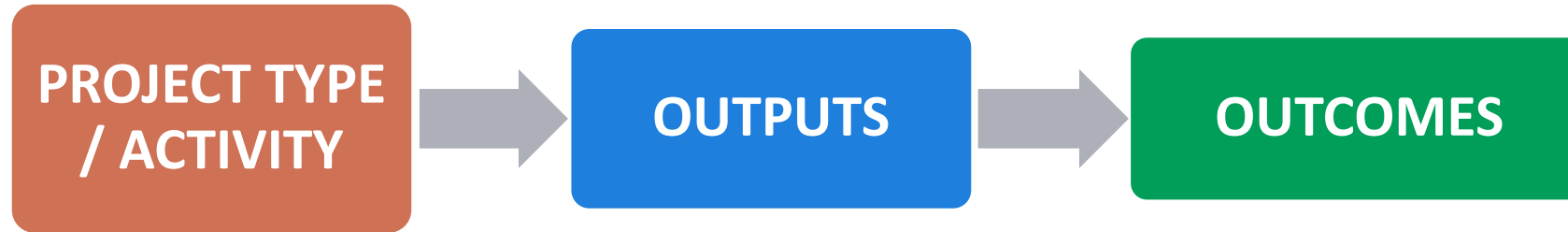
MEASURE	DEFINITION
Students	Those working towards a diploma or degree.
Workers/Trainees	Those developing job skills and NOT in a diploma or degree seeking program.
Participants	Attendees at a conference, workshop, or field trip where it would be difficult to track improvements resulting from attendance.

Stand-Alone Measures

Common stand-alone outputs and outcomes:

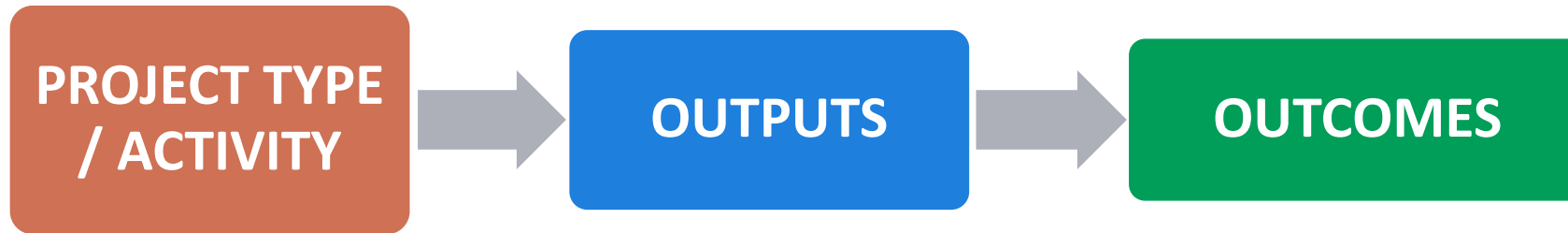
OUTPUTS	OUTCOMES
Access road miles	Programs implemented
Acres	Businesses created
Data - Mbps	Revenues increased
Linear feet (water, sewer, fiber, trail, etc.)	Jobs created**
Square feet	Jobs retained**
Million gallons / Million gallons per day	Leveraged Private Investment (LPI)**
New visitors (days / overnights)	
Plans/Reports	**Must be verified via letter from employer, investor, etc.

Performance Measure by Project Type / Activity



Water / Sewer Improvements	<ul style="list-style-type: none"> • 1,500 linear feet water / sewer main • 0.75 MGD capacity increased • 7 businesses served 	<ul style="list-style-type: none"> • 7 businesses improved • 50 jobs retained • \$2.4 million LPI
Outdoor Recreation / Tourism	<ul style="list-style-type: none"> • 6,000 linear ft of new trail • 3,000 sq ft theater renovation • 800 new visitor days (annual) • 18 businesses served 	<ul style="list-style-type: none"> • 3 FTE jobs created • 12 businesses improved
Downtown Revitalization	<ul style="list-style-type: none"> • 1 Strategic Plan • 600 linear feet streetscape • 1 community served • 15 businesses served 	<ul style="list-style-type: none"> • 1 plan implemented • 1 community improved • 10 businesses improved

Performance Measure by Project Type / Activity



Education and Workforce Training	<ul style="list-style-type: none"> • 50 students served • 75 workers/trainees served 	<ul style="list-style-type: none"> • 43 students improved • 52 workers/trainees improved
Leadership/Community Capacity	<ul style="list-style-type: none"> • 12 communities served • 260 participants served • 1 Plan developed 	<ul style="list-style-type: none"> • 10 communities improved • 260 participants improved • 1 Program Implemented
Business Development	<ul style="list-style-type: none"> • 25 businesses served • 15 workers/trainees served 	<ul style="list-style-type: none"> • 17 businesses improved • 10 workers/trainees improved • 10 new businesses created • \$500,000 LPI

Performance Measures

Water/Sewer Projects

Measure	Details
Households and Businesses Served / Improved	All non-residential customers = businesses
	Only count all businesses/households connected to the system if it's a system-wide improvement
	Served = number able to connect to service Improved = number that will connect to service *for water/sewer, these are often the same
Jobs Created / Retained, LPI	Must be documented by a letter from employer committing to create/retain jobs or make LPI
	Cannot count temporary construction jobs

Performance Measures

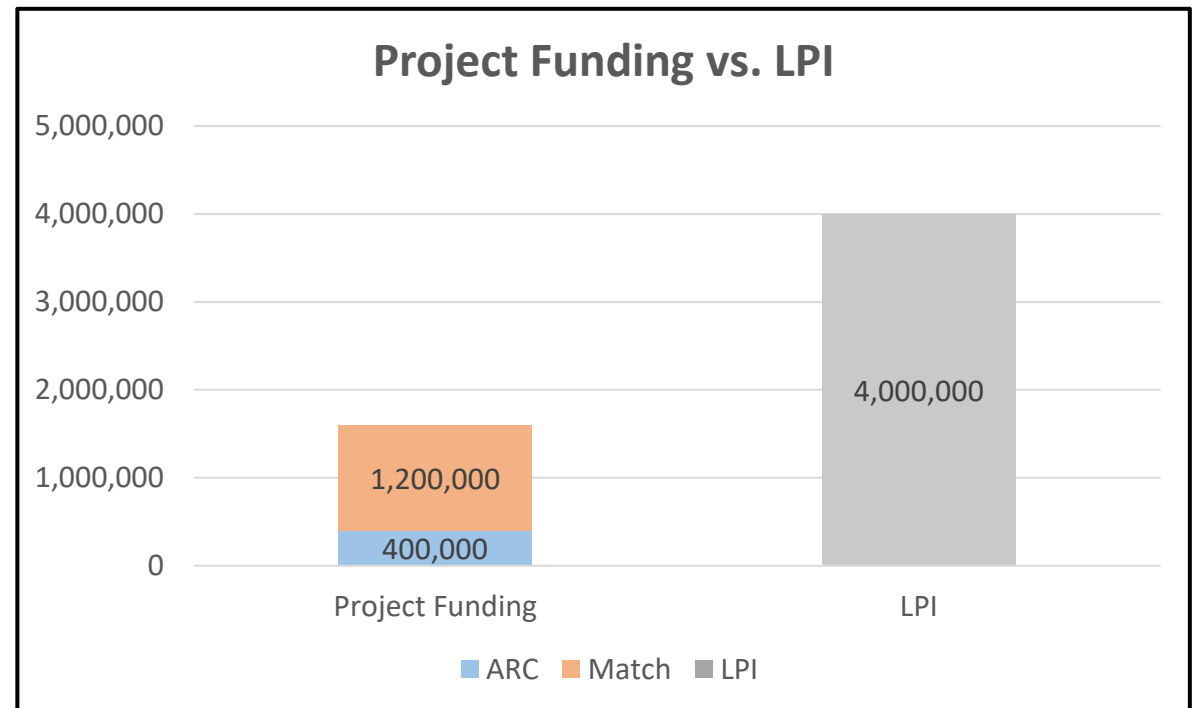
Tourism Projects

Measure	Definition
Visitor: Days or Overnights	Must be able to track and verify visitor numbers post-award
Visitor: Days	Number of new visitors to an attraction
Visitor: Overnights	Number of new visitors x number of nights stayed
	Must be specific to project (don't use county numbers unless it's a county-wide project)
Businesses Improved	Improvement must be tangible – survey, increase in sales, etc.

Performance Measures

Leveraged Private Investment

- **What it is:** Non-project, private capital expenditures that come as a result of the project (usually after project completion)
- **What it is not:** Match, public expenditures



Performance Measures Examples

Incomplete:

An SUD recovery workforce training project will serve and improve 400 workers.

Better:

An SUD recovery workforce training project will serve 400 workers through classes and workshops throughout the grant period and will improve 250 of those workers as measured by obtaining full-time employment within 6 months of program completion.

Performance Measures Examples

Incomplete:

This project will construct water and sewer lines to a new industrial park.

Better:

The project will construct 2,500 linear feet of water and sewer lines to enable construction of up to five new buildings in the Tioga Industrial Park.

Performance Measures: Key Takeaways

- Table included in the application is fine but must be accompanied by a **written narrative**.
- Include **time horizon** (i.e., achieved at project completion, or up to three years after grant closeout).
- Define what is meant by **“served”** and **“improved”** for paired measures.
- Include letters **documenting** 'jobs created', 'jobs retained', and 'leveraged private investment' measures.
- Describe how outcomes will be **tracked/measured**.



Any Questions?

Collaborative Partnerships

ARC and its state partners place **high value** on projects that cultivate partnerships and that make connections within and among various agencies and communities.

- Describe partnerships or collaborations with other local, state, federal, or private partners in the development of the proposal.
- Partnership is more than just “we support this project.” **How are your partners involved?**
- Provide letters of engagement from partner organizations that commit to undertake specific activities in support of the project.

Project Sustainability and Organizational Capacity

Demonstrate that you have what it takes to successfully execute your project and that it will have lasting effects

- What is your organization's experience with similar activities?
- What is your experience with federal grant awards?
- What are the qualifications of those who are involved with the project?
- Who will be responsible for maintaining the assets/property after construction?

- Include information about previous experience with **similar activities**
- Include information on organizational experience **managing federal grants**
- Note the qualifications of **key individuals** including **consultants and contractors**
- Attach **position descriptions** for unfilled positions and **resumes/biographical sketches** of key staff
- Provide a strategy for **long-term** financial and operational sustainability (e.g., organizational partnerships, other funding sources, plan for self-sustainability)

Budget Information and Match Requirements

Budget Components

Construction

- 424C Budget Form
- Engineer or Architect Report
- Budget Narrative
- ARC Match Rate Calculation
- Match Funding
- Commitment Letters

Non-Construction

- 424A Budget Form
- Budget Narrative
- ARC Match Rate Calculation
- Match Funding
- Commitment Letters

Construction 424C and PER

SF-424C

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$.00	\$.00	\$ 0.00
2. Land, structures, rights-of-way, appraisals, etc.	\$.00	\$.00	\$ 0.00
3. Relocation expenses and payments	\$.00	\$.00	\$ 0.00
4. Architectural and engineering fees	\$.00	\$.00	\$ 0.00
5. Other architectural and engineering fees	\$.00	\$.00	\$ 0.00
6. Project inspection fees	\$.00	\$.00	\$ 0.00
7. Site work	\$.00	\$.00	\$ 0.00
8. Demolition and removal	\$.00	\$.00	\$ 0.00
9. Construction	\$.00	\$.00	\$ 0.00
10. Equipment	\$.00	\$.00	\$ 0.00
11. Miscellaneous	\$.00	\$.00	\$ 0.00
12. SUBTOTAL (sum of lines 1-11)	\$ 0.00	\$ 0.00	\$ 0.00
13. Contingencies	\$.00	\$.00	\$ 0.00
14. SUBTOTAL	\$ 0.00	\$ 0.00	\$ 0.00
15. Project (program) income	\$.00	\$.00	\$ 0.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 0.00	\$ 0.00	\$ 0.00
FEDERAL FUNDING			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X _____% To autocalculate, press TAB key after entering percent. These instructions will not print.		\$ 0.00

Enter data into columns a and c only

Must incur engineering and admin costs according to federal regulations

- Preliminary Engineer's Report (PER) Budget
- Asset management plan that demonstrates technical sustainability
- Five-year pro forma financial projections that demonstrate financial sustainability
- Other independent assessments of sustainability like feasibility studies or business plans

***As need upon
request or required
depending on
project type:***

Non- Construction 424A

- **Section A (Budget Summary):**
 - Grant Program: can be completed as ARC
 - Catalog of Federal Domestic Assistance Number 23.002 (Area Development)
 - Federal (ARC) and Non-Federal (Match) funds entered under "Estimated Unobligated Funds" section
- **Section B (Budget Breakdown):**
 - Indirect costs **must** be included in budget submitted in application
 - Program Income (uncommon) - ordinarily deducted from award; can be counted towards match with prior approval from ARC
 - Project budget expenses must align with the scope of project activities

BUDGET INFORMATION - Non-Construction Programs							OMB Approval No. 0348-0044
SECTION A - BUDGET SUMMARY							
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget			
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)	
1. ARC		\$	\$	\$ ARC funds	\$ Match funds	\$ Total Budget	
2.						0.00	
3.						0.00	
4.						0.00	
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION B - BUDGET CATEGORIES							
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)		
	(1)	(2)	(3)	(4)			
a. Personnel	\$	\$	\$	\$	\$		
b. Fringe Benefits	\$	\$	\$	\$	\$		
c. Travel	\$	\$	\$	\$	\$		
d. Equipment	\$	\$	\$	\$	\$		
e. Supplies	\$	\$	\$	\$	\$		
f. Contractual	\$	\$	\$	\$	\$		
g. Construction	\$	\$	\$	\$	\$		
h. Other	\$	\$	\$	\$	\$		
i. Total Direct Charges (sum of 6a-6h)	\$	\$	\$	\$	\$		
j. Indirect Charges	\$	\$	\$	\$	\$		
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$		
7. Program Income	\$	\$	\$	\$	\$ 0.00		

Previous Edition Usable Authorized for Local Reproduction Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

Section C

- List matching funds

Section D

- List forecasted funding needs by quarter, for the FIRST YEAR broken out by ARC funds (line 13) and match (line 14).
- Funding needs should follow workplan and timeline.**

Section E (optional)

- List ARC funding needs for each year (12-month period) of the grant

Section F (optional)

- Line 22 total should match total indirect in Section B of this form



SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. ARC	\$ applicant match funds	\$ state match funds	\$ all other sources of match	\$ Total Match	
9.	\$				
10.	\$				
11.	\$				
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$ total ARC funds for 1st year	\$ ARC funds for 1st quarter year 1	\$ ARC funds for 2nd quarter year 1	\$ ARC funds for 3rd quarter year 1	\$ ARC funds for 4th quarter year 1
14. Non-Federal	\$ total match funds for 1st year	\$ Match funds for 1st quarter year 1	\$ Match funds for 2nd quarter year 1	\$ Match funds for 3rd quarter year 1	\$ Match funds for 4th quarter year 1
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTUR FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. ARC	\$ total ARC funds for 1st year	\$ total ARC funds for 2nd year	\$ total ARC funds for 3rd year	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	
				0.00	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges: Leave Blank			22. Indirect Charges: Section B, Line J Total Budget Entered Here		
23. Remarks: Leave Blank					

View Burden Statement

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 02/28/2025

SECTION A - BUDGET SUMMARY

	Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
			Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.			\$	\$	\$	\$	
2.							
3.							
4.							
5. Totals			\$				

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)					

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS				
Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$
14. Non-Federal	\$	\$	\$	\$
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	
22. Indirect Charges:	
23. Remarks:	

Current versions can be downloaded from <https://www.arc.gov/resource/standard-forms-for-non-construction-applications/>

Budget Narrative

1. Figures should align with:

SF-424A (Non-Construction Projects)

SF-424C (Construction Projects)

2. Recommend preparing in Excel or other budgeting software

***For construction projects,** budget narrative should draw from the PER. Must have Engineer seal.

Very important to provide detailed explanation of expenditures and how they align with project scope!



Appalachian
Regional
Commission

Make sure to include:

- ✓ Details on personnel & fringe benefits, contractual expenses
- ✓ Purpose of Travel
- ✓ Itemized supplies and equipment items
- ✓ **Information on procurement procedures and copy of procurement policy**
- ✓ Itemized “Other” budget line items. No “Miscellaneous items” or “Etc.”
- ✓ **Subtotals for each category**

Section 4: Budget Information and Supporting Material

Budget Narrative	ARC	Matching Funds	Total
PERSONNEL			
Center Director--██████████ State Center Director, .25 FTE Salary & Benefits--Cash contribution from ██████████ oversees project management, developing partnerships and recruiting applicants.		\$ 54,296	\$ 54,296
Support Staff--██████████ State support staff, .33 FTE Salary & Benefits--Cash contribution from ██████████ oversees event planning, client support, and administrative duties.		\$ 29,304	\$ 29,304
Indirect Charges- 5% (Business office, marketing department, grant administration assistance)		\$ 18,500	\$ 18,500
Subtotal	\$ -	\$ 102,100	\$ 102,100
OPERATIONS			
Contract Services--Specialized expertise from faculty and business owners to provide curriculum, training, assessment, mentoring and technical assistance for physical and virtual incubator. Contracted services are estimated at \$50/hour for 500 total hours or University teaching overload stipends for faculty.	\$ 25,000	\$ 8,400	\$ 33,400
Programming/Events--Develop and host programming aimed at multiple, monthly training events, after hours industry specific programming and classroom activities to promote regional entrepreneurial mindsets.	\$ 20,000	\$ 5,000	\$ 25,000
Travel--Provide funding for in-state to visit regional incubators, secure partnerships and professional development for staff. Provide funding for travel to one national conference.	\$ 7,000		\$ 7,000
Telecommunications--Provide ongoing Center telephone and internet based services. Prorated to cover 50% of building estimated costs.		\$ 2,500	\$ 2,500
Janitorial Services--Provide ongoing janitorial services in the building. Prorated to cover 50% of building estimated costs.		\$ 9,000	\$ 9,000
Software/Licenses--Purchase software to handle the management of co-work facility and registration of events.	\$ 6,000		\$ 6,000
Utilities--Provide ongoing Center power, water, sewer and gas services. Prorated to cover 50% of building estimated costs.		\$ 7,500	\$ 7,500
Subtotal	\$ 58,000	\$ 32,400	\$ 90,400
BUILDING/TECHNOLOGY UPGRADES			
Renovation costs-- Renovate existing building in preparation for conversion to entrepreneur center.		\$ 30,000	\$ 30,000

Open work space--Outfit 2000 square feet open-concept area with large community tables, furniture, and technology upgrades to help entrepreneurs and business owners collaborate.	\$ 60,000		\$ 60,000
Develop a technologically advanced classroom to facilitate large group training events.	\$ 10,000	\$ 10,000	\$ 20,000
Co-work space technology--Provide immersive video conference technology at three collaborative workstations (e.g. 360 camera and monitors)	\$ 15,000	\$ 6,000	\$ 21,000
Conference Room Technology--Outfit two conference rooms with technology to host video conferencing and event programming. (Smart boards and appropriate video equipment)	\$ 10,000	\$ 5,000	\$ 15,000
Subtotal	\$ 95,000	\$ 51,000	\$ 146,000
MARKETING/WEB			
Advertising/Marketing/Printing--Develop and implement marketing plan for virtual and physical training, ongoing programming, and technical assistance throughout Limestone County.	\$ 22,500	\$ 2,500	\$ 25,000
Web Development--Develop of resource-based website to host training materials, collect public/community input, and disseminate information on entrepreneurship and small business development	\$ 12,500		\$ 12,500
Subtotal	\$ 35,000	\$ 2,500	\$ 37,500
Total Project Cost	\$ 188,000	\$ 188,000	\$ 376,000
Required Matching Funds		50.0%	

ARC Match Rate Calculation:

The ██████████ Center will serve businesses and participants in ██████████ County is designated by ARC with the economic status of Transitional.

Service Area: ██████████ County
Economic Status: Transitional
Match Rate Calculation: 50%

Indirect Costs

- Costs not directly related to the project, but necessary for **general operations** - rent, utilities, accounting, record keeping, etc.
- Calculated as a % of the **modified total direct costs (MTDC)**.
- MTDC excludes equipment, capital expenditures, rental costs, tuition, scholarships, participant support costs, and the portion of each subaward in excess of \$25,000.
- Indirect costs exceeding 10% may be considered **if already approved by another federal agency**.
- Cost rate above 10% may be credited towards match funding commitment
- If you do not have an established indirect cost rate, **you may use 10% of the modified total direct costs**.

What is Match?

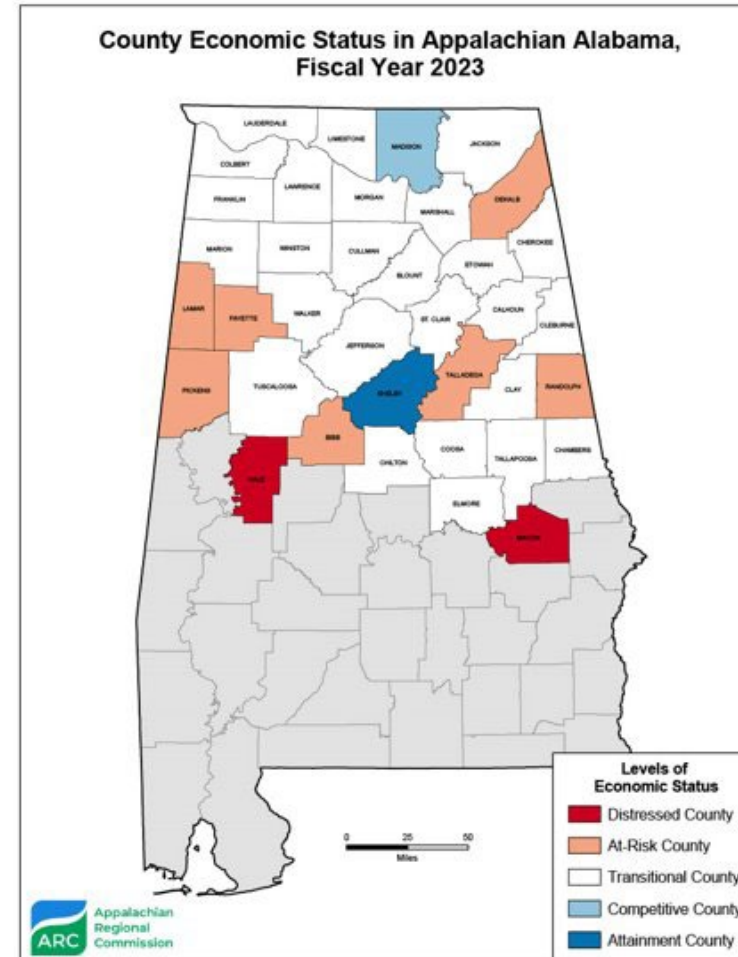
Funds or resources contributed to the project outside of ARC.
In general, ARC projects require match:

- Acceptable match sources:
 - Applicant
 - Foundations
 - Public Sector
 - Private Sector
- Types of match:
 - Cash
 - Loans
 - **Other Grants**
 - In-kind donations– property, equipment, services, personnel etc.

Match Requirements

- ARC match rates are determined by county economic status designations

County Designation	Max ARC	Min Match
Distressed	80%	20%
At-Risk	70%	30%
Transitional	50%	50%
Competitive	30%	70%
Attainment	0%	100%



FY 2023 Alabama County Designations

- **Attainment:** Shelby
- **Competitive:** Madison
- **Transitional:** Blount, Calhoun, Chambers, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, Elmore, Etowah, Franklin, Jackson, Jefferson, Lauderdale, Lawrence, Limestone, Marion, Marshall, Morgan, St. Clair, Tallapoosa, Tuscaloosa, Walker, and Winston
- **At Risk:** Bibb, De Kalb, Fayette, Lamar, Pickens, Randolph, Talladega
- **Distressed:** Hale, Macon

Calculating Match for multi-county projects

For multi-county projects, the required match can be determined in the following ways:

- If at least half of the counties are distressed – max 80% funding.
- If at least half of the counties are some combination of distressed and at-risk and there are no competitive or attainment counties involved – max 70% funding.
- Otherwise funded at the average percentage applicable to the various counties in the project, excluding attainment counties.

How to calculate the average match rate if less than half of the counties in the project service area are distressed and/or at-risk...

County	Economic Designation	Maximum ARC Percentage
Rockcastle	Distressed	80%
Jackson	Distressed	80%
Madison	Transitional	50%
Garrard	Transitional	50%
Clark	Transitional	
		= 310% divided by 5 = 62% ARC funds and 38% match

For more information on match, please contact your state program manager and visit our website <https://www.arc.gov/match-requirements-for-arc-grants/>

Match Commitment Letters

- All match must be documented through a commitment letter from the match source
- On letterhead or copy of official document
- Must include:
 - Dollar amount (or value of in-kind) committed
 - Signature of authorized individual
 - Description of in-kind match and how value was determined
 - If match is in-kind real estate, must attach copy of MAI appraisal

****Note – once project starts, you must track in-kind match (i.e., time sheets for personnel hours).**

Match Commitment Letter Example

City of Baxter

P.O. Box 335 • 200 Main
Baxter, Tennessee 38544
Telephone: (931) 858-4111 • Fax: (931) 858-5904

November 25, 2019

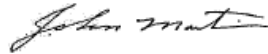
Brooxie Carlton, Deputy Assistant Commissioner
312 Rosa L. Parks Ave.
Tennessee Tower-2nd Floor
Nashville, TN 37243

Dear Ms. Carlton

The City of Baxter is pleased to provide the necessary match funding for the 2019 Baxter Water and Wastewater Systems Rehabilitation Grant. As of the date of this letter, the projected match amount from the City of Baxter is \$550,000. I am extremely excited to see the economic positive impact that this project will have for the citizens of the City of Baxter.

If you have any questions, or require additional information, please feel free to contact me.

Sincerely,



John Martin
Mayor, City of Baxter

The City of Baxter prohibits discrimination on the basis of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation and marital or family status.



Any Questions?

Project Examples

The Urban Ag Entrepreneurial Food Hub Phase I Aquaponics

Grantee: Valley Shenango Economic Development Corporation VSEDC

Location: Sharon, PA

Grant Amount: \$320,000.00

Scope of Work: The Valley Shenango Economic Development Corporation in partnership with Penn State University Shenango, Penn State Extension and the Small Business Development Center at Gannon University will develop a commercial aquaponics facility. Through this project, the proposed facility will use a proven aquaponic system in a controlled environment to grow fresh, nutritious food. Not only will this facility serve as an anchor for further development in the area, the facility will increase vegetable and specialty crop food production for Western PA, offer hands-on training opportunities and provide critical infrastructure for existing and aspiring agripreneurs. It is anticipated that 4 businesses, 12 participants, 40 students and 30 workers/trainees will be served; 4 businesses, 12 participants, 40 students and 30 workers improved; 2 businesses, 7 jobs, and 2 programs created; and \$400,000 in private investment leveraged as a result of this project.



Wheeling Food Hub Operations Project

Grantee: Grow Ohio Valley, Inc.

Location: Wheeling, WV

Grant Amount: \$736,943.00

Scope of Work: The overarching mission of Grow Ohio Valley (GOV) is to strengthen and expand revenues for farmers and food entrepreneurs selling fresh and value-added products. To do this, GOV works at every level of its local food system, from farms to markets. The Wheeling Food Hub Operations Project will involve Grow Ohio Valley leveraging its renovated warehouse property (134 17th Street, Wheeling, WV) to provide local food entrepreneurs with the tools, guidance, and business development support services to scale-up their production of packaged, shelf-stable products to be distributed in larger markets.



Underground Railroad Heritage Tourism Initiative

Grantee: Lawrence County Economic Development Agency, Ohio

Location: Nine Counties in OH, KY & WV

Grant Amount: \$1,500,000 (POWER)

Scope of Work: A tri-state Underground Railroad tourism initiative. Strategies to build this initiative include: strengthening the hospitality workforce through trainings and business engagement; establishing an online platform for promoting regional tourism assets and analyzing visitor traffic; seeking the placement of 27 local heritage sites on the National Underground Railroad Network to Freedom of the National Park Service; and collaborating with local tourism bureaus, museums, arts organizations, and other cultural assets to host a series of tourism-oriented events throughout the region.



Sneedville Automatic Meter Reading System

Grantee: Sneedville Utility District

Location: Hancock County, TN

Grant Amount: \$236,000

Scope of Work: Replace existing water meters with automatic read meters throughout its service area. Associated software and training will also be provided as part of this project to allow Utility workers to read and service the meters. The meters will record up to a 90 day data profile showing usage trends allowing for better leak detection and increased transparency for the customer. Data from the meters will transmit at broadband-level speed and be captured by a portable receiver.



Contact Information

Mary Moran, Program Analyst

Business and Workforce Investment Division, ARC

Mmoran@arc.gov

Sue Long, Program Analyst

Critical Infrastructure Division, ARC

Slong@arc.gov

For general inquiries, direction, or additional guidance, please reach out to the Technical Assistance Program at TA@arc.gov.

30 Minute Break

Environmental Review Process for ARC Responsible Entities (REs)

Chris Perkins, PE

CED Engineer/Environmental Specialist

334-353-1028

christopher.perkins@adeca.alabama.gov

- **Engineering Fees Subject to CDBG Guidelines**
 - See “Engineering” tab on ADECA website for details
- <https://adeca.alabama.gov/cdbg/engineering/>
- **Engineering Service Requirements (20%)**
- **Architectural Service Requirements (12%)**

Sub-recipient (Grantee) Responsibilities

- Sub-recipient = Grantee = Responsible Entity (RE)
- Chief Elected Official = Certifying Officer
- Certifying Officer represents RE in court
 - Delegation of Authority (ENV-DOA)
- Designate Environmental Review Officer
 - Employee of the RE or contracted
 - Must follow proper procurement procedures

Environmental Review Officer's Responsibilities

- **Create an Environmental Review Record (ERR)**
- **Classify Activities Correctly**
- **Conduct Environmental Review**
- **Complete Public Notification Correctly (if required)**
- **Submit the Required Documentation**

Governing Laws & Regulations

- **National Environmental Policy Act of 1969**
- **24 CFR Part 51 – Manmade Hazards**
- **24 CFR Part 55 – Floodplains & Wetlands**
- **24 CFR Part 58 – Local Government**

Conducting the Environmental Review

Remember

No More TVA

- ADECA no longer uses the TVA's Eligible Activities List
- All ARC Projects that contain a construction element are subject to the same Environmental Review requirements as the CDBG Program

Where?

CDBG Env Review Requirements

- CDBG Requirements are in the Environmental Review Guide (ERG)
- The ERG can be found by conducting a Google Search for the terms "ADECA Environmental"
- In-depth trainings can be scheduled via WebEx or Microsoft Teams. Contact me to schedule.

Additional Information

- **ADECA Environmental Review website:**
<https://adeca.alabama.gov/cdbg/environmental/>
- **HUD webinars:**
<https://www.hudexchange.info/environmental-review/environmental-review-training/>
- **HUD Web-Based Instructional System for Environmental Review (WISER):**
[https://www.hudexchange.info/trainings/wiser/?utm_source=HUD+Exchange+Mailing+List&utm_campaign=9f0713617d-WISER Training Modules 2017 12 01&utm_medium=email&utm_term=0_f32b935a5f-9f0713617d-19295981](https://www.hudexchange.info/trainings/wiser/?utm_source=HUD+Exchange+Mailing+List&utm_campaign=9f0713617d-WISER+Training+Modules+2017+12+01&utm_medium=email&utm_term=0_f32b935a5f-9f0713617d-19295981)
- **HUD Related Federal Laws & Authorities:**
<https://www.hudexchange.info/environmental-review/federal-related-laws-and-authorities>

The background features a series of concentric, overlapping circles in light gray, some solid and some dashed, creating a sense of depth and movement. A large, solid green speech bubble is centered on the page, containing the text.

Questions???

Thank You.

christopher.perkins@adeca.alabama.gov

ARC Policy Statements

ARC Residential Infrastructure Policy

- Generally, ARC does NOT fund water/sewer projects that **only** serve **residences**.
- Except they may be approved in Distressed Counties.
- Exceptions for at-risk or transitional counties ONLY if:
 - A compelling need is shown (i.e.: poor water quality, distressed census tract)
 - It is disaster relief
 - It addresses a mandate from EPA

ARC Travel/Tourism Policy

ARC supports tourism activities that fit within a regional or community strategic plan

Projects should have a clear economic benefits

Examples:

- Planning and research
- Training and technical assistance
- Education and capacity building
- Marketing and promotional efforts

*Grantees are encouraged to apply for an ARC planning grant to confirm the need for an implementation grant if no regional or local plan has been created

Other Considerations

Issues to Remember

- Project Types that are generally not approved:
 - Municipal Buildings and Services
 - Court Houses and Fire Houses
 - Day Care Centers, K-6 Education Programs
 - Housing
- *ARC reviews each project on its own merits
- New Strategic Plan process identified the importance of **employment support services**
 - **Emphasize economic impact** from the project so there can be no confusion between social services related activities and economic development activities
 - Location is important as well – projects providing services in distressed counties often fill a major gap

ARC Grants: Compliance Factors

Topics

- Program Income
- Domestic Preference
- Disposition of Property

Program Income

What **IS** program income?

- **Gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance** except as provided in [§ 200.307\(f\)](#). *(Note: This section refers to income after the period of performance.)*
- **Includes but is not limited to:**
 - income from fees for services performed
 - use or rental of real or personal property acquired
 - sale of commodities or items fabricated
 - principal and interest on loans

2 CFR 200.1 Definition of “program income”

What Program Income is **Not**

- Interest earned on advances of Federal funds. (200.1)
- Rebates, credits, discounts, as well as interest earned on any of them. (200.1)
- Taxes, special assessments, levies, fines, and other such revenues raised by a non-Federal entity...unless the revenues are specifically identified in the Federal award or Federal awarding agency regulations as program income. (200.307 (c))
- Proceeds from the sale of real property, equipment, or supplies (200.307 (c)). *See Uniform Guidance "Property Standards."*

Costs to Generate Income May Be Deducted

Program Income = Gross Income – Incidental
cost to generate PI**

(2 CFR 200.307 (b))

** Only if these costs have not been charged to the Federal Award

Default Use for Most NFEs if No Prior Approval - (e) (1)

“Deduction. Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the Federal awarding agency authorizes otherwise. Program income that the non-Federal entity did not anticipate at the time of the Federal award must be used to reduce the Federal award and non-Federal entity contributions rather than to increase the funds committed to the project.” (2 CFR 200.307 **(e) (1)**)

“If the Federal awarding agency does not specify in its regulations or the terms and conditions of the Federal award, or give prior approval for how program income is to be used, **paragraph (e)(1)** of this section must apply.” 2 *CFR* 200.307 (e)

Default Rule

- Program income earned to defray program costs should be **encouraged**. (2 CFR 200.307 “Program Income” (a))
- Prior approval is **key**, since there are more usage options if grantees request prior approval from ARC before expenditure.

Principles of Program Income

What does the grantee agree to?

Grant Agreement (Part II, Art. 12)

Article 12 Grant-Related Income.

Grant-related income means gross income earned by Grantee from grant supported activities and shall include, but not be limited to, income from service fees, sale of commodities, or usage or rental fees. All grant-related income shall be reported to ARC in the progress and final reports required by this Agreement.

Remember: Report
Program Income in your
progress and final report.

What does the grantee agree to?

Grants Manual (pg. 14)

POST-CLOSEOUT OBLIGATIONS

You must promptly liquidate all obligations incurred under your ARC grant and promptly return any unused advance payments to ARC.

You must account for any real property or equipment purchased or improved with, or used as match for, your ARC grant, in accordance with 2 CFR 200.310 *Insurance coverage* through 200.316 *Property trust relationship*.

Program income is not required to be reported after a project is closed out.

Use of PI Options with Prior Approval

Addition: Added to funds committed to the project. Must be used for the purposes and under the conditions of the Federal award. (*2 CFR 200.307 (e) (2)*) (default for IHEs and nonprofit research institutions)

Match: Can be used as match. Amount of the Federal award remains the same. (*2 CFR 200.307 (e) (3)*).

Implementation

Grantees should request and receive prior approval from ARC.

- While pending: Ensure that the 424A/C stipulates anticipated program income, and that we approve use.
- While project is underway: If you know program income will be earned, reach out to your program coordinator.
 - Elements:
 1. Project activity generating the income
 2. Income amount
 3. Requested use

After Period of Performance

- No federal requirements.
- ARC can negotiate an appropriate use as part of grant closeout process.

2 CFR 200.307 (f)

Key Takeaways on Program Income

- If the grantee earns program income/charges for a federally-funded activity that is not revealed to ARC, they may have to return funds (for example, IG audit).
- Generally, NFE must disburse program income and interest funds (including repayments to an RLF) before requesting additional cash payments. (*2 CFR 200.305 (b) (5)*)
- Rules for revolving loan funds are different than for grants, generally (see RLF Guidelines).

Domestic Preference

Domestic Preferences in the Uniform Guidance

Disclaimer: This presentation includes discussion points included in a proposed rule and is subject to change consistent with the rulemaking process*

2 CFR 200.322

- Current guidance for domestic preference
- General (beyond infrastructure)

What would be new in the Uniform Guidance (forthcoming)- BABA

- 2 CFR 200.322 (c)
- 2 CFR part 184
- Infrastructure projects

* *Guidance for Grants and Agreements*, 88 Fed. Reg. 8374 (proposed Feb. 9, 2023) (to be codified at 2 CFR part 184).

Domestic Preferences for Procurement

2 CFR 200.322

- NFE **should** prefer materials **produced in the USA** when **purchasing, acquiring, using**:
 - Goods
 - Products
 - Materials
- Domestic preference is to **the maximum extent practicable** under the Federal award.
- This domestic preference is **not limited** iron, aluminum, steel, cement, and other manufactured products.
- This domestic preference requirement **must be included in subawards**, including:
 - All contracts
 - Purchase orders for work or products under the award.

Domestic Preferences for Procurement

2 CFR 200.322

What means “produced in USA”?

For iron and steel products=
All manufacturing processes (melting
through application of coatings) occurred
in USA

What means “manufactured product”?

Items and construction materials
composed in whole or in part of:

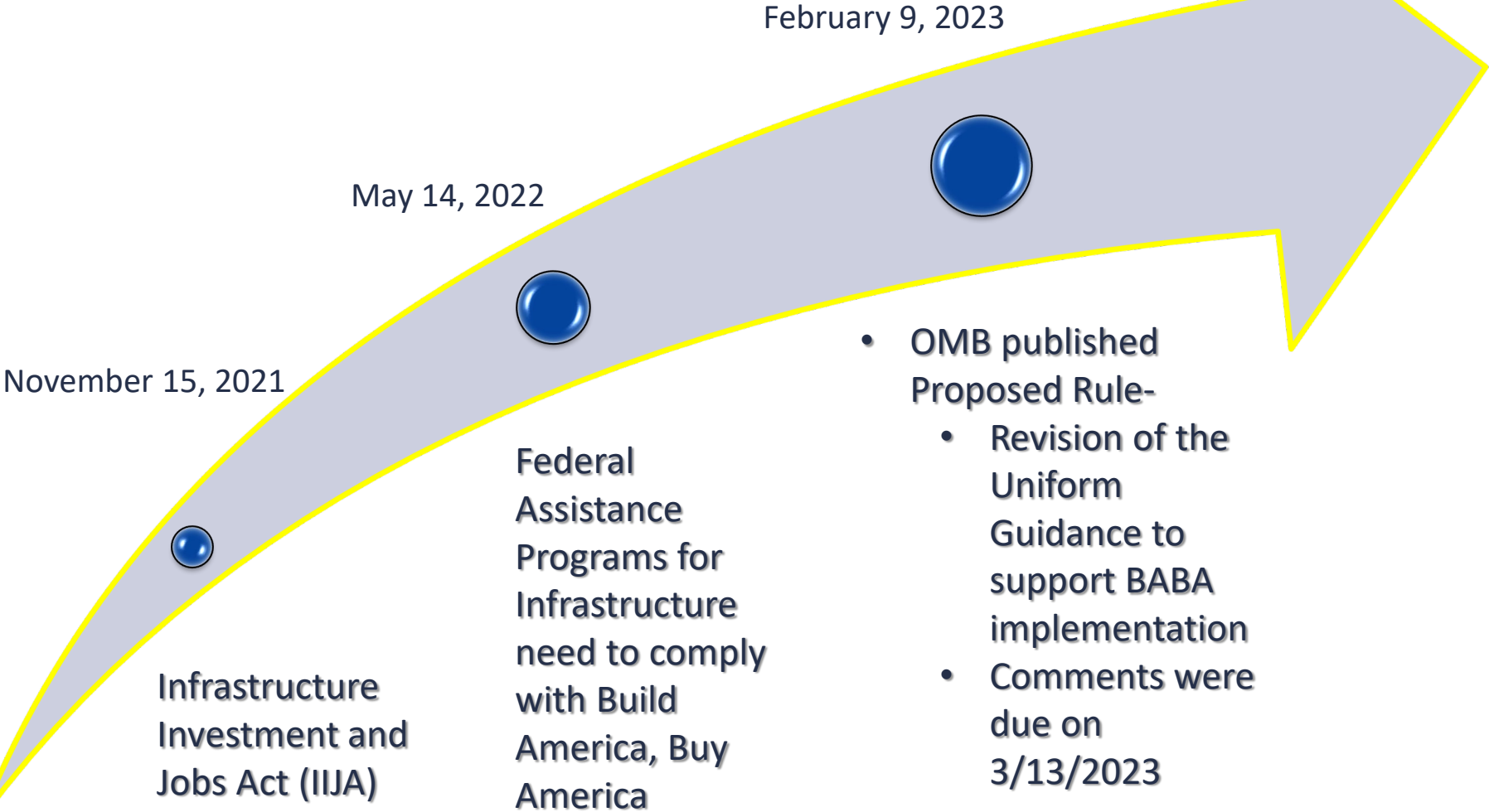
1. non-ferrous metals
2. plastics and polymer-based products
3. aggregates

Build America, Buy America (BABA): The Buy America Preference

This domestic content procurement preference requires that all iron, steel, manufactured products, and construction materials used in covered infrastructure projects are produced in the United States.

Available at: <https://www.arc.gov/resource/buy-america-guidelines/>

BABA Preference Timeline



Applicability of the Buy America Preference

- Applies to **all Federal financial assistance** – whether or not funded through the IJJA- where funds are appropriated or otherwise made available and used **for a project for infrastructure**.
- Applies to the **entire project**, even if it is funded by both Federal and non-Federal funds under one or more awards.
- Only applies to articles, materials, and supplies that are **consumed in, incorporated into, or affixed to** an infrastructure project.
- **Does not apply to non-infrastructure spending** under an award that includes a covered project.
- A **project** for Buy America preference purposes **includes the construction, alteration, maintenance, or repair** of infrastructure.
- **Subrecipients also have to comply** with the terms and conditions of the ARC award from which the funds flow.

What's Infrastructure?

Encompasses public infrastructure projects (function test)

Structures

Facilities

Equipment

For

- Roads
- Highways
- Bridges
- Public Transportation
- Dams
- Ports
- Harbors
- Maritime facilities
- Intercity passenger and freight railroads
- Freight and intermodal facilities
- Airports
- **Water systems (including drinking water & wastewater systems)**
- Electrical transmission facilities and systems (Generation, transmission and distribution)
- Utilities
- **Broadband infrastructure**
- **Buildings and real property**

ARC Buy America Preference Principles

- Applies to infrastructure projects, whether or not the primary purpose of the grant awarded is for infrastructure.
 - Project = any activity related to the construction, alteration, maintenance, or repair of infrastructure.
- ARC sponsored construction projects administered by a Federal Basic Agency will follow the policies and procedures of the Federal Agency for Buy American waivers.
- ARC sponsored construction projects administered by a Registered State Basic Agency that follows the policies and procedures of a Federal agency in administering an ARC grant will follow the policies and procedures for Buy America waivers as determined by said Federal agency.
- Whenever a construction project is co-funded by a Federal agency and ARC, the grantee and subgrantee will follow the processes and procedures for Buy America waivers of the Federal agency.
- In the event that two or more Federal agencies participate in funding an infrastructure project, the grantee or subgrantee will follow the policies and procedures for Buy America of the Federal agency with the highest contribution of funds to the project.

3 Types of Buy America preference waivers

- Public Interest Waiver
- Non-availability Waiver
- Unreasonable Cost Waiver

What's next

- ARC will host a webinar to exclusively discuss BABA
- Stay tuned for the OMB Rule implementing BABA (new 2 CFR Part 184)
- The Made in America Office (MIAO) in the Office of Management & Budget will enforce compliance with Made in America Laws
- MIAO aims to:
 - Increase reliance on domestic supply
 - Reduce the need for waivers
 - Achieve consistency across agencies
 - Increase transparency to waivers in order to send clear demand signals to domestic producers

Disposition of Property

Grant Agreement Sec. 7

- Title for equipment and/or real property purchased with grant funds resides with the grantees, assignees, and successors **approved by ARC.**
- **ARC retains a property interest** in such equipment and/or real property.
- All Grantees and Subgrantees purchasing equipment and/or real property **must** continue to use the equipment and/or real property in the **same project or with other projects related to objectives of ARC.**

Grant Agreement Secs. 7 & 10

If the Grantee or Subgrantee wishes to **change the use of the equipment and/or real property**, or **dispose of it or transfer ownership**, the Grantee or Subgrantee **must contact ARC to request disposition instructions**.

- If the **equipment** is disposed of or transferred during its useful life to a use outside the scope of the ARC objectives,
1. Resale value or the value of the ARC share at the time of disposal **must be deposited in the grant account if still open**, or
 2. Federal share must be refunded to ARC or an ARC-designated successor.

Disposition of equipment acquired with grant funds

2 CFR 200.313(e)

- Items of equipment with a current per unit fair market value of \$5,000 or less may be retained, sold or otherwise disposed with no further responsibility to ARC.
- If ARC doesn't provide disposition instructions within 120 days upon a written request for disposition instructions, items of equipment with a current per-unit fair market value in excess of \$5,000 may be retained by the grantee or sold.

Disposition of equipment acquired with grant funds

2 CFR 200.313(e)

- ARC will be entitled to the following amount:
 - Current market value (or proceeds from the sale) **x** ARC % of participation in the cost of the original purchase.
 - For equipment sold, ARC may permit the grantee to deduct and retain \$500 or 10% of the proceeds (whichever less) for its selling and handling expenses.

Disposition of Real Property

2 CFR 200.311

- **Requires disposition instructions from ARC.**
- Available options:
 - Grantee retains title after compensating ARC.
 - Use the net proceeds of the sale of real property to offset the cost of a replacement property.
 - Sell the property and compensate ARC.

**If the grant award has not been closed out, the net proceeds from the sale may be offset against the original cost of the property.*

Disposition of Real Property

2 CFR 200.311

More available options:

- If ARC directs the grantee to sell the property, sales procedures must provide competition to the extent practicable and result in the highest possible return.
- Transfer title to ARC or to a third party **designated/approved** by ARC.
 - Grantee is entitled to an amount = Grantee's % of participation in the purchase **X** (current fair market value of the property)

Application Submission Instructions

Leslie M. Clark

**DEADLINE – 12:00 Noon on
Friday, June 30, 2023**

Emailed to: crystal.talley@adeca.alabama.gov
leslie.clark@adeca.alabama.gov

Regardless of the submission method chosen, the application must be received by the FIR Division by the time and date above. Applications received on June 30, 2023, will be time stamped upon receipt.

Recommend a read receipt on your email or check with ADECA to make sure they have it.

**DEADLINE – 12:00 Noon on
Friday, June 30, 2023**

Only need one copy: Mail OR Deliver

Mail to:

ADECA

FIR Division – ARC Program
Attention: Ms. Leslie M. Clark
Post Office Box 5690
Montgomery, Alabama
36103-5690

Deliver to:

ADECA

FIR Division – ARC Program
Attention: Ms. Leslie M. Clark
401 Adams Avenue, Room 524
Montgomery, Alabama 36104

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Unit Chief

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(334) 353-2909

ARC Application Review and Approval Process

- ✓ Application submitted to State of Alabama
- ✓ Funding recommendations made by State Alternate/Governor
- ✓ Application submitted to ARC by State of Alabama
- ✓ Project logged into ARCNET and reviewed by designated ARC Project Coordinator
- ✓ We will reach out to State Program Manager and applicant with questions and/or request for additional information
 - Prompt response by applicant results in prompt approval!**
- ✓ Recommended applications signed by Executive Director and Federal Co-Chair

- ✓ Approved applicants receive email notification from General Counsel with the Grant Administration Manual and a link to access the grant agreement to sign and upload to ARCNET.
- ✓ We send an announcement to your congressional delegation.
- ✓ Once the grant agreement is in place, you may begin work on your project!

Please read the Grant Administration Manual and share with everyone who will be involved with the administration of the project.

Coming Up...

Upcoming Virtual Office Hours: Opportunities to ask questions

May 17th, 12:00-1:30 PM

Zoom link will be shared after this workshop

June 7th, 1:00-2:30 PM

Zoom link will be shared after this workshop

Thank you!

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In the Region arc.gov/newsletter-signup