



Alabama Application Workshop

Agenda

- ARC Overview
- Alabama Program Specifics
- ARC Application Overview and Guidance: Construction and Non-Construction Checklists and Forms
- Break (~20-30 Min)
- Applications Continued
- Environmental Review Process
- Compliance Factors
- AL Application Submission Instructions
- ARC Application Review and Approval Process
- Closing Remarks

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



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

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

How Does ARC Promote Economic Development?



Strengthen Businesses and Entrepreneurs



Develop a Workforce Ecosystem



Build Critical Infrastructure



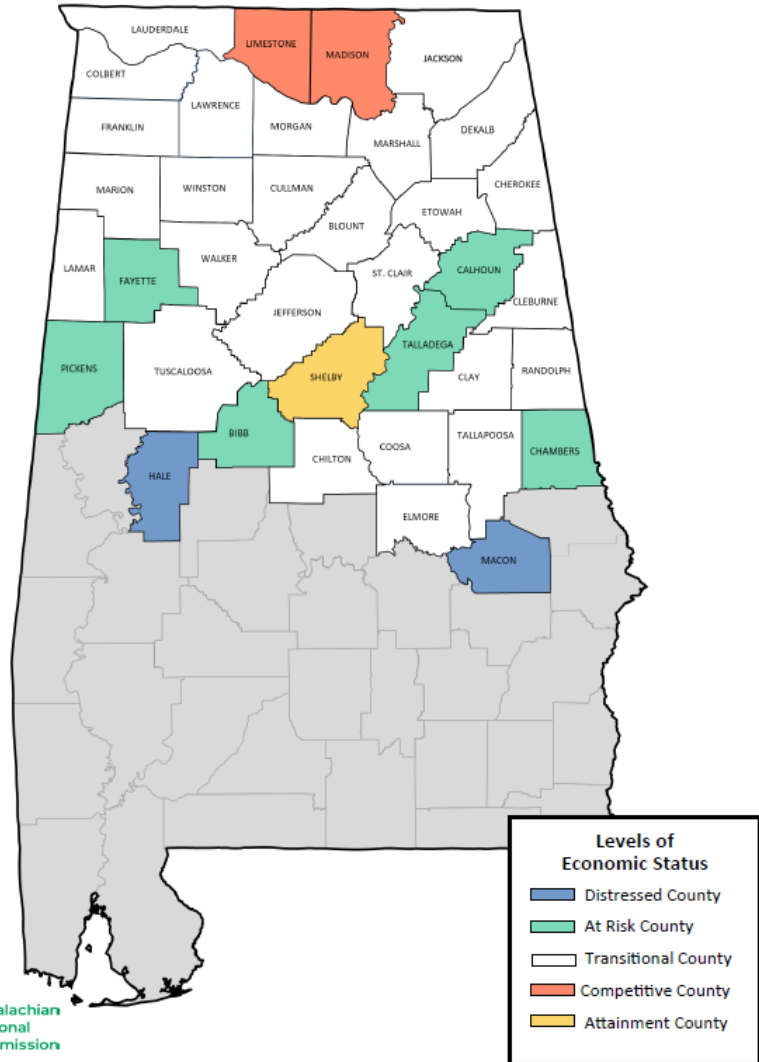
Invest in Culture and Tourism



Foster Leadership and Community Capacity

Alabama ARC Program Overview

County Economic Status in Appalachian Alabama, Fiscal Year 2025



Distressed Counties: Macon, Hale

At-Risk Counties: Bibb, Calhoun, Chambers, Fayette, Pickens, Talladega

Transitional: Blount, Cherokee, Chilton, Clay, Cleburne, Colbert, Coosa, Cullman, DeKalb, Elmore, Etowah, Franklin, Jackson, Jefferson, Lamar, Lawrence, Marion, Marshall, Morgan, Randolph, St. Clair, Tallapoosa, Tuscaloosa, Walker, Winston

Competitive: Limestone, Madison

Attainment: Shelby

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 2023

(OCTOBER 1, 2022–SEPTEMBER 30, 2023)

FISCAL YEAR 2023 INVESTMENT SNAPSHOT



\$12.9M ARC INVESTMENT



\$18.8M PROJECT MATCH

\$31.7M TOTAL PROJECT INVESTMENT



44 PROJECTS

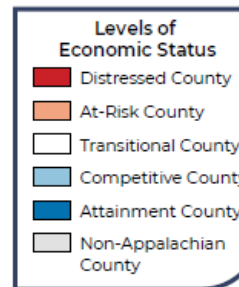
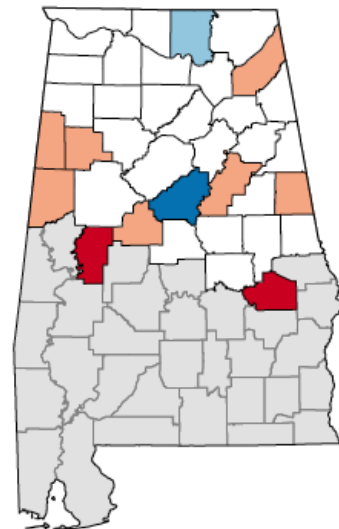
\$1.08B ADDITIONAL PRIVATE INVESTMENTS LEVERAGED

1,720 JOBS CREATED OR RETAINED

6,900 STUDENTS AND WORKERS TRAINED AND EDUCATED

4,380 HOUSEHOLDS/BUSINESSES SERVED WITH INFRASTRUCTURE

FY 2023 COUNTY ECONOMIC STATUS IN ALABAMA



FISCAL YEAR 2023 INVESTMENT PRIORITIES



COMMUNITY INFRASTRUCTURE

\$7.5M

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



WORKFORCE ECOSYSTEM

\$3.3M

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



COMMUNITY LEADERS & CAPACITY

\$1.9M

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



BUILDING BUSINESSES

\$193K

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

Available Funds

- **Area Development** – Approximately \$12.5 million
- **Distressed** – Approximately \$750,000

GRANT CEILING

Construction Projects - \$500,000

Non-construction Projects - \$350,000

Planning Projects - \$50,000

What Makes a Strong Proposal

The "Economic Development Lens"

ARC places high-value on projects that wherein the correlation with **economic development** is clear and made prominent.

All proposals are considered from the perspective of **economic development** and reviewed using this lens.

Core Elements of ARC Projects

Strategic

Project aligns with the goals of the community and regional plans

Impactful

Project has specific performance targets aimed at helping Appalachia economically prosper

Collaborative

Project engages partnerships to achieve common or aligned goals

Sustainable

Project has a plan for maintaining the program or asset after the grant period has ended

Example #1:

Tourism: Theater Projects

ARC might wonder:

- Is this about the arts?
- Or is this about bringing more people into the downtown area?
- How many businesses are benefitting from people spending the evening in the downtown area?

*“The capacity of the theater is 2,212 and it has traditionally hosted about 25-30 events per year. During the pre-pandemic 2017-2018 season, a total of 17,315 individuals attended a ticketed performance at the theatre generating approximately **\$500,000** in spending by patrons in downtown.”*

Example #2:

Tourism: Improving or Expanding Campgrounds and Park Areas

- ARC might think: Tourism generates significant income, but how if visitors are camping and when recreational activities (i.e., nature trails, visiting historical landmarks) are available at no cost?
- One idea might be to consider discussing how this project would increase the capacity for day and overnight visitors and how that, in turn, would impact area commerce and tax revenue....

“...An estimated 30,600 new overnight visitors will be able to stay in the County within three years of the project completion and generate approximately \$2,754,000 in new tourism revenue, continuing to drive the development of the County's economy around its largest historic and recreational assets.”

Pre-Application Requirements

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 ID
(UEI)
Registration



Do I have to re-register my entity or update my entity to get a Unique Entity ID?

- If you are registered in SAM.gov now, you've already been assigned a Unique Entity ID. It's viewable on [your entity registration record](#) in SAM.gov.
- If your registration has expired, go [here](#) for instructions on how to renew your entity registration. Go [here](#) to learn about the limited entity annual registration renewal extension.
- If your entity is not registered now, but you decide to register your entity in SAM.gov, you'll be assigned a Unique Entity ID as a part of the registration process.

Registration Expiration

- Once assigned, the Unique Entity ID itself will never expire. **Entity registrations expire annually and require annual renewal.** Those durations are not impacted by the assignment of the Unique Entity ID.
- **If registration is not active or the organization is not registered at all, this will delay the award of the grant or the processing of a payment request significantly until the registration becomes activate.**
- ARC has updated the application checklists with reminders to applicants about UEI.

How to Ensure Complete and Comprehensive Application Packages

The Four "C's" of a Solid Application

Clear

- Answer the questions for each section's heading
- Avoid use of industry jargon and abbreviations

Concise

- Project narrative should be 5-8 pages
- Avoid lengthy/irrelevant attachments (e.g., 60-pg Strategic Plan)

Comprehensive

- The application should include everything required in the checklists
- Narrative should describe all components of the project

Consistent

- Information and numbers should be consistent across all sections of the application and attachments

Project or Initiative Specific Checklists and Applicant Guidance

- **ARC Checklist for NON-Construction Projects:** <https://www.arc.gov/resource/arc-non-construction-project-application-checklist/>
- **ARC Checklist for Construction Projects:** <https://www.arc.gov/resource/arc-construction-project-application-checklist/>
- **Access to Capital:** <https://www.arc.gov/resource/access-to-capital-application-checklist/>
- **Local Access Roads:** <https://www.arc.gov/resource/local-access-roads-project-guidelines/>
- **ARC's Competitive Programs (i.e., POWER, ARISE, INSPIRE, READY):** Found within current NOSAs
 - **Make sure to refer to project or initiative specific guidance if applying for one of these specialized projects or competitive programs.**



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 (usually provided by the state upon recommendation to ARC).

SECTION 2: REQUIRED APPLICATION FORMS, Pages #___

**Please Note: Applicants must be registered in System for Award Management (SAM) and have an active Unique Entity Identifier (UEI). UEIs need to be renewed every year; any lapse may result in deactivation which may take months to remedy. See <https://sam.gov/content/duns-uei> for more information.*

- Federal Standard Form 424: Application for Federal Assistance (include ARC funds and all matching funds; applicant match must be placed in the "local" line item)
- Federal Standard Form 424A: Budget Information for Non-Construction Programs
- Federal Standard Form 424B: Non-Construction Assurances
- ARC Memorandum of Understanding
- Any forms required by state ARC program offices (ARC Form 3 may be required)

Find all required forms on ARC's website <https://www.arc.gov/resource/standard-forms-for-non-construction-applications/>

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 1, community, state, regional, and local level. Applicants must commit to undertake specific

For format and guidance, please see ARC Executive Summary template found here: <https://www.arc.gov/resource/executive-summary-template-for-arc-applications/>

Make sure you have the most recent checklist available to applicants!

community, state, regional,
commit to undertake specific

2 | Page
Revised 2/2024



Supplementary Guidance Based on Project Type

Follow this link to find more information how to develop stronger applications according to the type of project you are proposing. Within each document, you will find:

- Project examples
- How to incorporate key ARC principles into your proposal
- Helpful resources
- Other considerations

Downtown Revitalization Projects

This document provides specific guidance for **downtown revitalization projects**. Applications may involve multiple activities as part of a single project; ARC encourages applicants to review the specific guidance for each type of activity included in an application.

All application guidance is grounded in the goals and principles of ARC's current strategic plan, which emphasize strategic focus, collaboration, sustainability, and measurable impact in ARC investments.

Downtown revitalization projects can include anything from plans to streetscapes, from signage to the renovation of historic buildings or city parks to create programming. Ultimately, this type of project should support the businesses, residents, and visitors in the target downtown area, and should emphasize economic development in its benefits, rationale, and performance measures. ARC categorizes downtowns as a cultural asset of a community and invests in downtown revitalization projects under Goal 4 of the Strategic Plan however, components of downtown revitalization projects may fall under other goals.

Examples of possible downtown revitalization projects include, but are not limited to:

- Downtown revitalization plan that analyzes the economic, geographic, transportation, and aesthetic conditions of a community's downtown, including action items to guide community implementation efforts
- Gateway plan to explore the potential for linking a community's economic core and an adjacent institution, public land, or other significant asset such as colleges or universities, recreational resource, or historic entertainment venue
- Restoration of an historic theatre or upgrade to a public space for outdoor markets with the goal to bring more foot traffic to downtown business district. *Note: Any space improved with ARC funds must remain under public ownership*
- Streetscape improvement program, which often includes water and sewer and centered on a community-based planning effort, with goals that primarily include improving safety, aesthetics, as well as providing direct benefit to businesses.
- Business Development Program (i.e., training) that downtown business owners and their staff can participate in

Basic Agencies (for construction projects only)

ARC does not administer any construction projects, including those involving Downtown Revitalization. ARC operates in partnership with federal and state agencies under an MOU to manage federal construction grants throughout the region.

It is the applicant's responsibility to secure a letter from the appropriate federal or state agency, known as a basic agency letter, indicating their willingness to administer ARC funds for any proposed infrastructure project. A list of eligible basic agencies can be found at <https://www.arc.gov/basic-agency-partners/>.

Once an ARC construction grant is approved, grantees are encouraged to reach out directly to their basic agency to develop an implementation plan and schedule.

Key Principles of ARC Downtown Revitalization Investments:

As outlined in ARC's strategic plan, activities should be strategic, collaborative, sustainable, and impactful.

Strategic:

More Information

For general guidance on how to develop a complete and competitive application for ARC project funding, all applicants should refer to the application framework and instructions detailed in the [Checklist for ARC Non-Construction Project Applications](#) form or the [Checklist for ARC Construction Project Applications](#) form, as appropriate, available in the applicant resources section of our website.

Applicants should also consult their ARC State Program Manager*, their state's Appalachian Development Plan* and Annual Strategy Statement* for additional information.

*This information can be found [HERE](#) by navigating to the page and clicking on the appropriate state link.

<https://www.arc.gov/resource/application-guidance-by-project-type/>

Required Forms

Required by ARC for all applications

Standard Federal Forms:

1. **SF424**
2. **SF424A** (non-construction budget) OR **SF424C** (construction budget)
3. **SF424B** (non-construction assurances) OR **SF424D** (construction assurances)

ARC Specific Forms:

4. Memorandum of Understanding (MOU)

On ARC's Grant Resource Page

Resource Links

Standard Forms for Construction Projects

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

Standard Forms for Non-Construction Projects

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

For additional guidance on how to complete the standard forms for non-construction projects, please see the embedded **instructional videos found on those pages.



Appalachian
Regional
Commission

Application for Federal Assistance SF424

- Budget figures should be consistent throughout the 424 forms
- All applicant/private funds should be entered as Local funds on this section of the 424



Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant <input type="text"/>	* b. Program/Project <input type="text"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text"/>	* b. End Date: <input type="text"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	.
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372.	

MOU (Specific to ARC Applications)

Required for all ARC Grant Applications - Both Construction and Non-Construction

<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 _____

Executive Summary

Executive Summary

- Follow the Template
- Use concise, consolidated language

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

Executive Summary Template

Please use this template to complete the Executive Summary for your project application. Remember to be as concise as possible (Note: You must delete the text in each field prior to filling out the form)

Project Title:

Please include a descriptive title of the project

Name:

Please include applicant's legal name (agency, organization, or institution)

Impacted Counties:

Identify each county and its economic status (e.g. transitional, distressed, etc.)

Basic Agency: For Construction Projects ONLY (Please choose from the list below)

Ohio Department of Development

Goal/Objective:

Identify the primary ARC goal and the primary State goal or objective that the project will address

Project Purpose:

Please summarize the purpose of proposed project in a single sentence.

What Makes a Good Executive Summary?

- 1-2 pages in length
- Each section is clearly labeled and follows ARC's template
- Paragraphs are clear, concise, and adequately summarize what the reader will find in each section
- One paragraph for each section will suffice, no more than two is recommended
- Purpose should highlight the **connection between this project and how it supports economic development** (if you question what equates to a strong purpose statement, this is it)

Project Narrative

Your Project Story

- What is your organization's mission?
- What is the problem you seek to solve?
- How do you intend to solve it?
- What happens when you do solve it?

**Grant Writing
Tip:**

**Treat Your
Narrative like a
Story**

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

**Project Narrative
should be 5-8 pages
in length with each
section numbered
and clearly labeled
according to
checklist**

Goals and Strategies

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

What primary goal or objective of your state's development strategy or plan does your project advance?

Does your project help to build or strengthen:

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

Resources:

ARC Strategic Plan:

<https://www.arc.gov/wp-content/uploads/2022/01/Appalachia-Envisioned-ARC-Strategic-Plan-FY-2022-2026.pdf>

State Strategies:

<https://www.arc.gov/appalachian-states/>

Unsure of which goal to choose?

Ask yourself:

1. In what goal area does your project produce the **greatest impact** on economic development? What will be the impact in terms of **outputs and outcomes** (in other words, **performance measures**)?
2. What objective most closely resembles your project activities? What are the leading priorities of your state?

Consult **State Program Manager** for additional guidance.

Remember: Choose **ONE** ARC goal/objective and **ONE** State goal/objective. You can include mention and draw linkages to other goals or objectives within your narrative.

Project Examples 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:** 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, **expanding on what was provided in Executive Summary**

- Provide context: **Assume the reader has never heard of your organization or been to your locality**
- Describe who the **primary users/beneficiaries** of the project are
- Describe general **marketing campaigns** or any plans for transfer of ownership once the project is completed

Include a **workplan**

<https://www.arc.gov/resource/workplan-template/>

A good **workplan**:

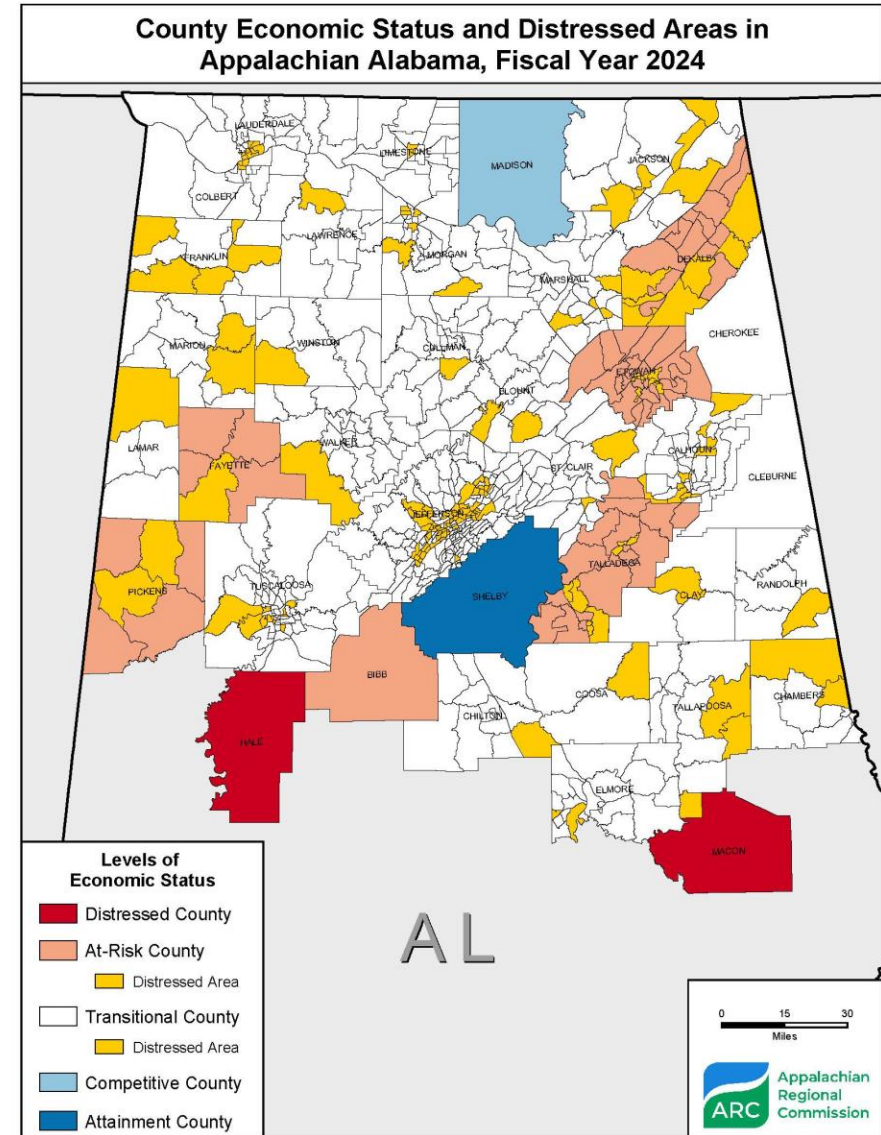
- Acts as a project roadmap
- Has clearly defined objectives
- Outlines specific tasks/key activities
- Notes who is responsible for each task
- Provides a timeframe for completion

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

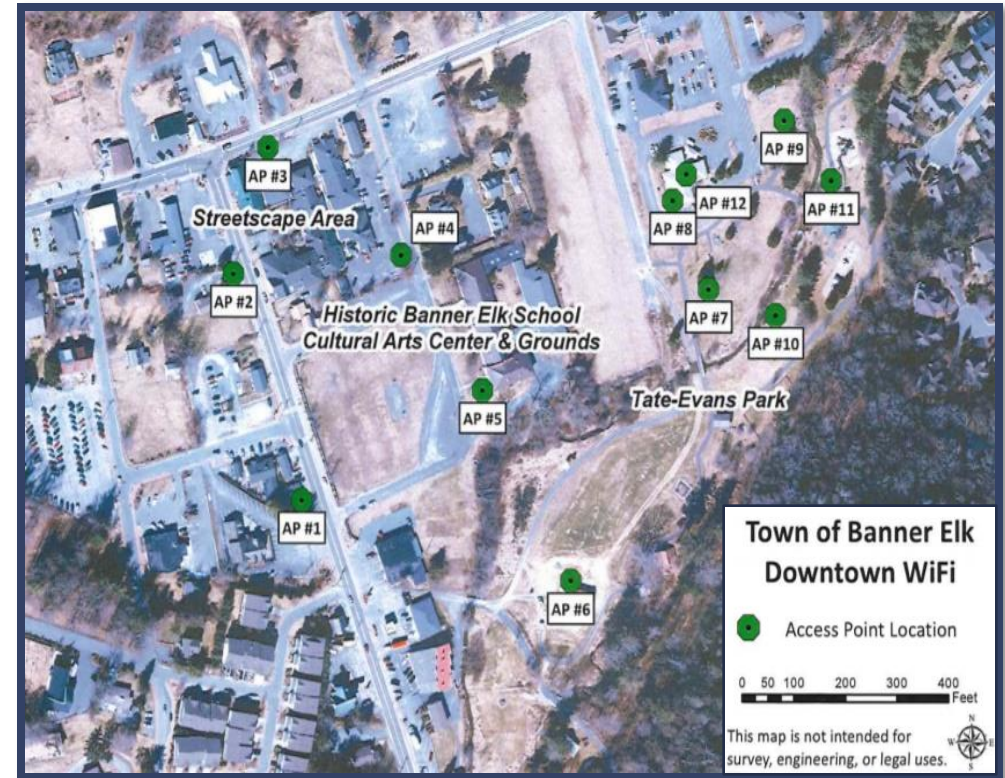
Describe **Geographic Scope**
(note economic status of
impacted counties and **identify
distressed service tracks**)

<https://www.arc.gov/classifying-economic-distress-in-appalachian-counties/>

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



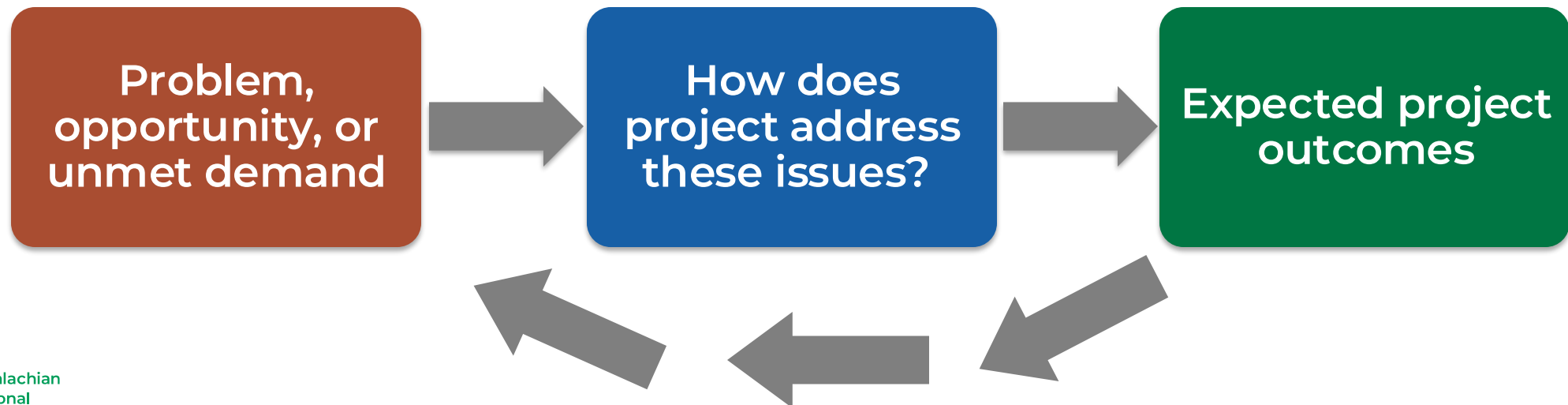
- ✓ If applicable, note efforts to address **energy efficiency** or incorporate **green-building practices**
- ✓ Attach **maps, diagrams, floorplans, etc.** to illustrate the service area & scope



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



Address these questions to strengthen 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?
- What are other **benefits** that are likely to result from the project?

Avoid Common Pitfalls

Common issues we see are...

- Insufficient or inappropriate use of **data**
- Failing to address the **specific** need, opportunity, or demand of the **proposed service area and the communities involved (not the US, not Appalachia, but the counties/communities directly impacted)**
- Failing to tie the project in with the advancement of **regional strategies** for economic development
- Overlooking opportunities to highlight how this project is **capitalizing on other area investments**
- Not speaking to the **gap** that would exist in the community if the project was not implemented and the impact that would have
- Failure to include **letters of support and demand** – letters that show how others will use or benefit from your program

Performance Measures

ARC Performance Measures

Requirements:

1. At least **one ARC output & outcome** for all implementation grants*
2. Explanation for how measures are **estimated, collected, and tracked.**

Estimated measures are included in applications; actual measures are reported throughout the duration of grant and up to 3 years after closeout.

*Planning grants are the exception requiring only a single output.

Refer to **ARC's Guide to Performance Measures**

www.arc.gov/resource/guide-to-arc-project-performance-measures/

Performance Measures and Economic Impact

All projects must demonstrate economic impact through OUTPUTS and OUTCOMES

- First Question – what is the economic impact?
- Second Question – where/how is it felt?
 - OUTPUT - who/what benefits from this impact
 - OUTCOME – what is the result of that benefit
- Use an ARC performance measures
 - ✓ Businesses served
 - ✓ Students served
 - ✓ Leveraged Private Investment
- Each application should contain strong metrics - ways to measure the impact.

By Measure and Type of Measure



Guide to ARC Project Performance Measures – Downtown Revitalization and Tourism Projects

Standalone Measures

Acreage	
Output	
Definition	The number of acres improved by an ARC project.
Example grant activities	Campgrounds, outdoor recreation space, parking facilities, etc.
How might this be measured?	Number of acres graded and prepared for a campground, number of acres of outdoor recreation land created
Typical timeframe	By grant closeout
Additional guidance	Provide acreage only for area being improved, not for total site

Jobs Created	
Outcome	
Definition	The number of permanent jobs created as a result of an ARC project
Example grant activities	Trail construction, downtown streetscaping, theater restoration, tourism site development, events, etc.
How might this be measured?	Number of jobs created expressed as full-time equivalents
Typical timeframe	Up to 3 years after grant closeout
Additional guidance	<ul style="list-style-type: none"> • This measure includes direct hires, excluding construction jobs. • Applicants must submit a signed letter from the employer(s) verifying the number of jobs to be created. Part-time and seasonal jobs should be converted to full-time equivalents.

Leveraged Private Investment (LPI)	
Outcome	
Definition	The dollar amount of private-sector financial commitments, outside of project costs that result from an ARC project
Example grant activities	Downtown streetscaping, downtown façade improvements, property redevelopment
How might this be measured?	Dollar amount of private investment resulting from an ARC project
Typical timeframe	Up to 3 years after grant closeout
Additional guidance	<ul style="list-style-type: none"> • Applicants must submit a signed letter from the company or investor verifying the amount of LPI. • Project match is separate from, and therefore cannot be counted as, leveraged private investment.

Full Index



Index of ARC Performance Measures

Measure	Type	Definition	Project Types that Typically Use these Measures
Access Road Miles	Output	The length of the access roads constructed as part of a project	Transportation
Acreage	Output	The number of acres impacted by an ARC site-development or reclamation project	Business/Industrial Site Development Downtown Revitalization and Tourism
Businesses Created	Outcome	The number of new businesses created as a result of an ARC project	Business Development Energy/Utilities/Smart Grid Health, Substance Use Disorder
Businesses Served	Output	The number of businesses served by an ARC project	Broadband Business Development
Businesses Improved	Outcome	The number of businesses with a measurable improvement as a result of an ARC project	Business/Industrial Site Development Downtown Revitalization and Tourism Education, Training and Workforce Development Energy/Utilities/Smart Grid Health, Substance Use Disorder Transportation Water and Sewer
Communities Served	Output	The number of communities served by an ARC project	Downtown Revitalization and Tourism Energy/Utilities/Smart Grid
Communities Improved	Outcome	The number of communities with a measurable improvement as a result of an ARC project	Health, Substance Use Disorder Housing Leadership and Community Capacity Planning Water and Sewer
Costs Reduced	Outcome	The costs reduced as a result of project activities	Water and Sewer
Data-Gigabytes (GB)	Output	The fixed data storage capacity of a server room or data center	Broadband
Data--Megabits Per Second (Mbps)	Output	The maximum download data transfer rate of a telecommunications/ broadband network being offered to end users	Broadband

Stand-Alone Measures

Outputs

- Access Road Miles
- Data – mbps
- Linear Feet (water, sewer, fiber, trail, etc.)
- Square Feet
- Million Gallons/Million Gallons per day
- New Visitor day/nights
- Plans/Reports (output/outcome)

Outcomes

- Businesses created
- Revenues increased
- Jobs created
- Jobs Retained
- Leveraged Private Investment (LPI)

Paired Measures

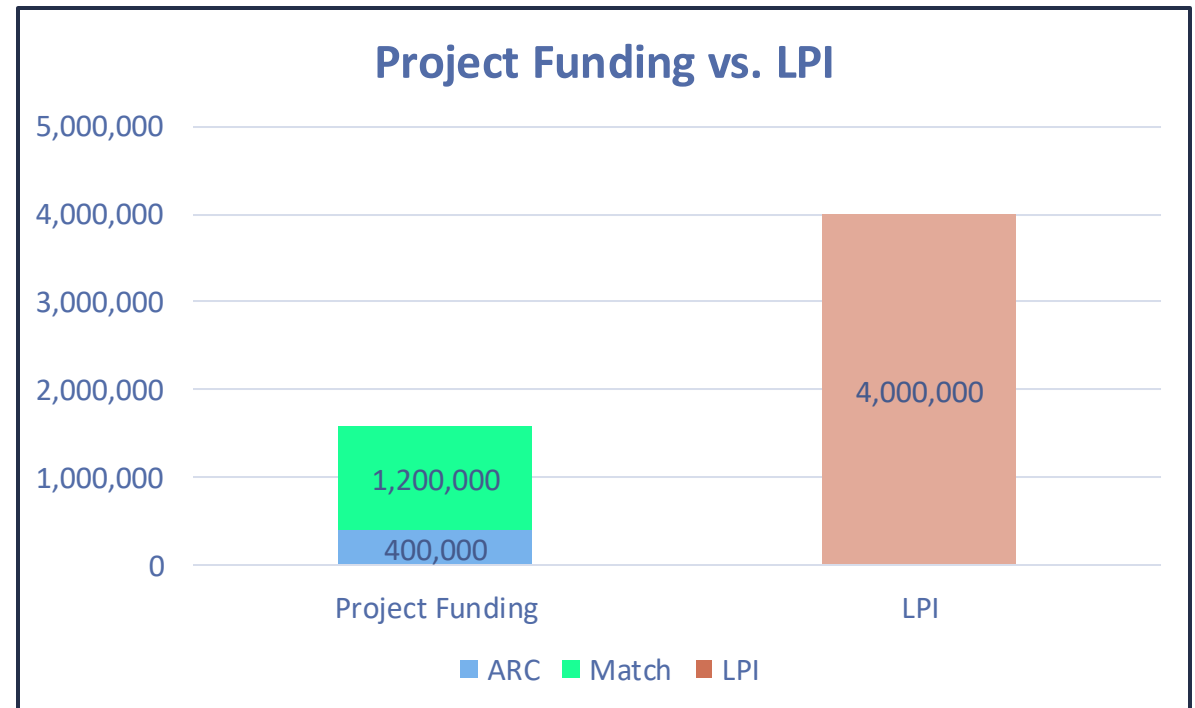
- The outputs and outcomes **must be paired** as shown in the chart below
- The number “improved” (outcome) is always **equal to or a subset of** the number “served” (output)

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

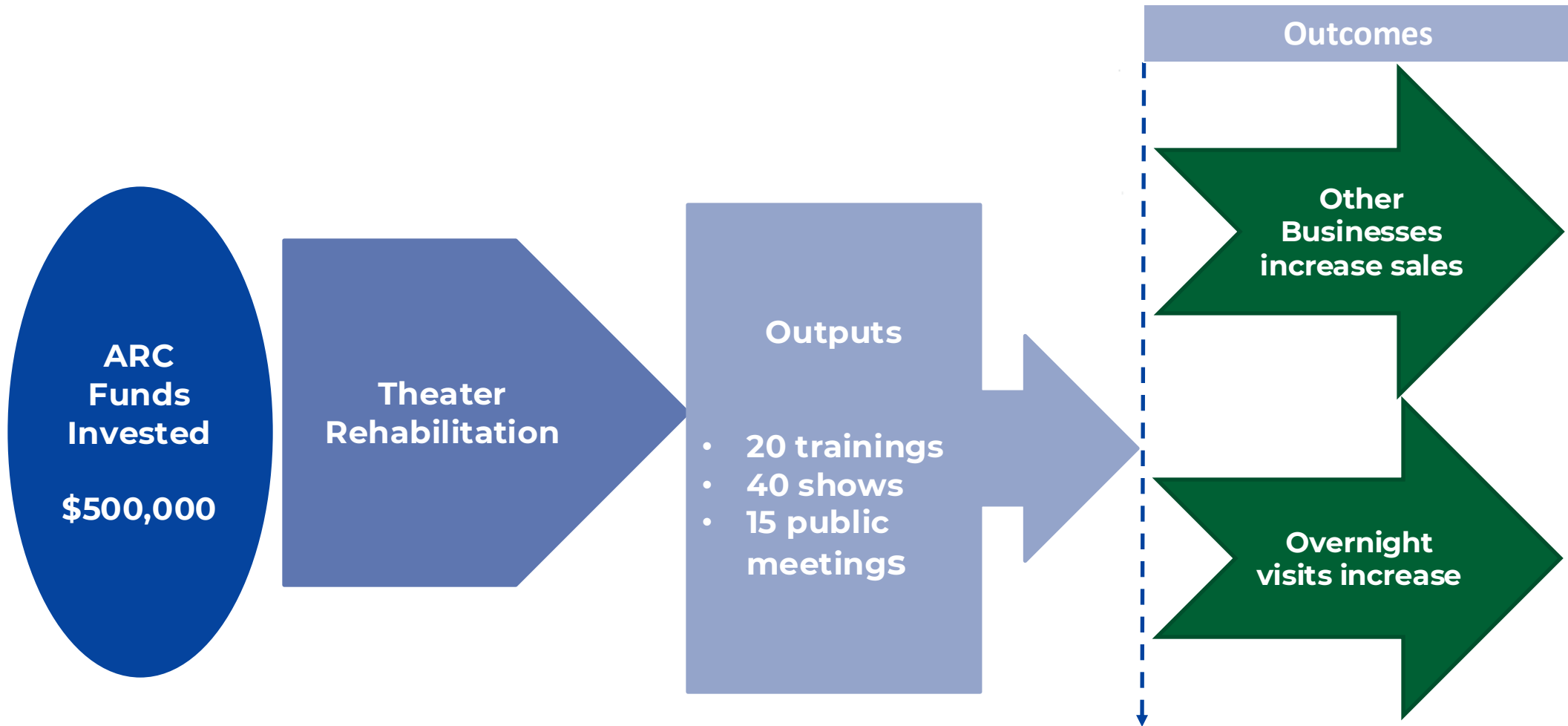
Performance Measures

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



Economic Impact Discussion



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 main and sewer lines to serve several businesses.

Better:

The project will construct 2,500 linear feet of water line and 2,500 linear feet of sewer line, a total of 5,000 linear feet. It serve 10 businesses with new service by the grant period end date.

Performance Measures: Key Takeaways

- Prioritize quality over quantity and avoid duplication.
- Table included in the application is fine but must be accompanied by a **written narrative** as explanation.
- Describe how outcomes will be **tracked/measured**.
- Include a **timeframe** (i.e., achieved at project completion, or up to three years after grant closeout).
 - Collect data throughout the duration of your Performance Measurement timeframe (at project closeout or 3 years after)
- Define what is meant by **“served”** and **“improved”** for paired measures.

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

“We are working with the following partners on the development and execution of this project, and this is how each one is contributing....”

- 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.

Organizational Capacity and Project Sustainability

Demonstrate you have what it takes to successfully execute your project:

- 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**)

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

As needed depending on type of project or upon request:

- 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

**Support Your
Claim to
Sustain**

Match

What is Match?

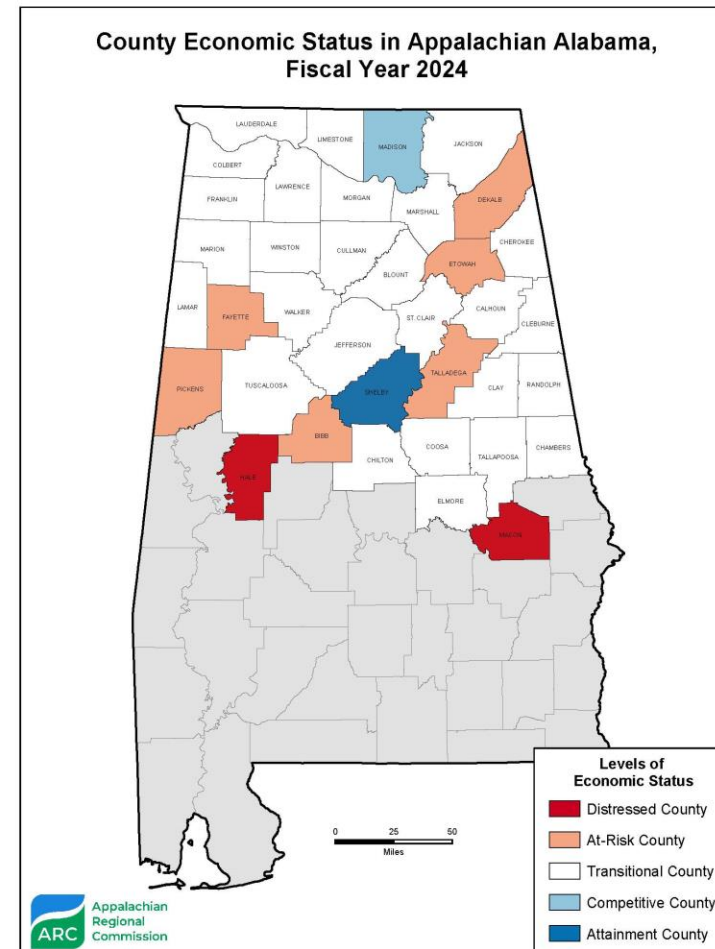
Funds or resources contributed to the project outside of ARC.
In general, ARC projects require match:

- Acceptable match sources:
 - Applicant
 - Foundations
 - Public Sector
 - Private Sector
- Types of match:
 - Cash
 - Loans
 - 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%



1. If there is a **distressed county** in a multi-county project:
 - and at least half the counties are distressed, the project may be funded at up to 80% of project costs;
 - and at least half the counties are in some combination of distressed and at-risk, ARC assistance can be 70% of project costs*
 - but fewer than half the counties are distressed, ARC assistance can be 50% of project costs*
*or the average percentage applicable to the various counties in the project
(whichever is higher)

2. If there are NO distressed counties in a project:
 - and **at least half the counties are at-risk** and there are **no competitive or attainment counties involved**, the project may be funded at up to 70% of project costs

3. All other projects must be funded at the **average percentage applicable** to the various counties in the project

*Note: If there is a project that involves an attainment county without involving any distressed counties, the portion of the project that is attributable to the attainment county is ineligible for ARC assistance and may not be considered for matching purpose

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...

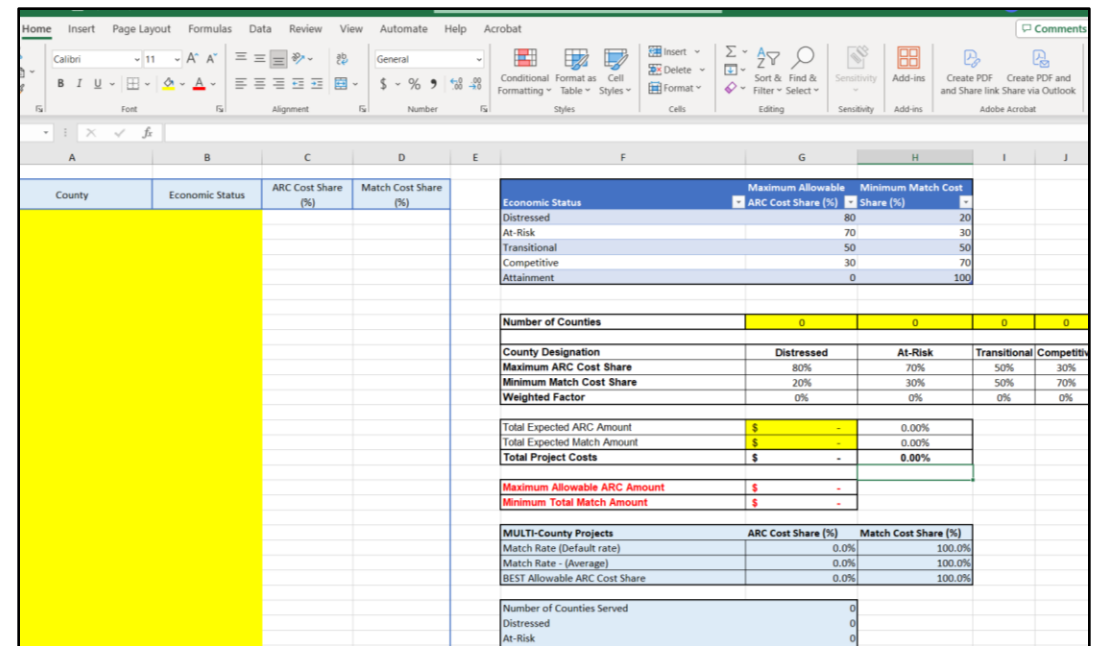
County	Economic Designation
Rockcastle	Distressed
Jackson	Distressed
Madison	Transitional
Garrard	Transitional
Clark	Transitional

Maximum ARC Percentage
80%
80%
50%
50%
50%
= 310% divided by 5 = 62% ARC funds and 38% match

ARC's Match Rate Calculator

<https://www.arc.gov/resource/match-rate-calculator/>

- Download the Excel
- Watch the Instructional Video
- Plug in the counties impacted by your project and their designated economic status (or simply the number of distressed, at-risk, transitional, and competitive counties) and...
- Voila! ARC/Applicant Cost Share will be automatically calculated



The screenshot shows an Excel spreadsheet with the following data:

County	Economic Status	ARC Cost Share (%)	Match Cost Share (%)

	Maximum Allowable ARC Cost Share (%)	Minimum Match Cost Share (%)
Economic Status		
Distressed	80	20
At-Risk	70	30
Transitional	50	50
Competitive	30	70
Attainment	0	100

Number of Counties	Distressed	At-Risk	Transitional	Competitive
	0	0	0	0

County Designation	Distressed	At-Risk	Transitional	Competitive
Maximum ARC Cost Share	80%	70%	50%	30%
Minimum Match Cost Share	20%	30%	50%	70%
Weighted Factor	0%	0%	0%	0%

	ARC Cost Share (%)	Match Cost Share (%)
Total Expected ARC Amount	\$ -	0.00%
Total Expected Match Amount	\$ -	0.00%
Total Project Costs	\$ -	0.00%
Maximum Allowable ARC Amount	\$ -	
Minimum Total Match Amount	\$ -	

MULTI-County Projects	ARC Cost Share (%)	Match Cost Share (%)
Match Rate (Default rate)	0.0%	100.0%
Match Rate - (Average)	0.0%	100.0%
BEST Allowable ARC Cost Share	0.0%	100.0%

Number of Counties Served	Distressed	At-Risk
	0	0

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

- ✓ On Letterhead
- ✓ Notes the specific amount of funding being provided
- ✓ Authorized Signature

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

November 25, 2019

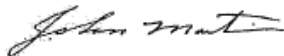
Brooxie Carlton, Deputy Assistant Commissioner
312 Rosa L. Parks Ave.
Tennessee Tower-2nd Floor
Nashville, TN 37243

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.

Budget

Budget Section: What's Needed

Construction Projects:

- **424C** – Figures must be consistent with Cost Estimate or PER, 424, narrative, Basic Agency Letter, match commitment letters
- **Cost Estimate (PER or architectural equivalent is preferred for complex projects):** estimates must include seal
- **Narrative:** Should draw from the estimate/PER, provide detail to costs not specified, explain how they align with project scope

Non-Construction Projects:

- **424A** – Figures must be consistent with 424, narrative, match commitment letters
- **Narrative:** Must breakdown costs with a detailed explanation of expenditures and how they align with project scope

Helpful Hints and Common Issues in Budget Forms

424A:

Breakout ARC funds and match into separate columns in Section B

Subawards should be classified under Contractual in Section B

- Need to be clearly distinguished in Budget Narrative if Contractual Services are included

Match source: all should be listed in Section C

424C:

Don't lump everything into "Construction"

Line 17: ARC's cost share percentage

Reminder! Watch the instructional video that accompanies ARC's Standard Forms:



Construction
Forms:



Non-Construction
Forms:



ITEM	DESCRIPTION	QUANTITY	UNIT	UNIT COST	TOTAL COST
WASTEWATER IMPROVEMENTS					
Ditty Road Gravity Sewer					
1	8" SDR 35 PVC Gravity Sewer (9'-6")	2,280	LF	\$ 100.00	\$ 228,000.00
2	8" SDR 35 PVC Gravity Sewer (8'-10")	800	LF	\$ 125.00	\$ 100,000.00
3	4' Diameter Manholes - Standard (0'-6")	9	EA	\$ 3,500.00	\$ 31,500.00
4	4' Diameter Manholes - Standard (6'-10")	4	EA	\$ 4,000.00	\$ 16,000.00
5	16-inch Steel Encasement Pipe, bored and jacked	75	LF	\$ 300.00	\$ 22,500.00
6	6" PVC Sewer Service Line	200	LF	\$ 60.00	\$ 12,000.00
7	6" Cleanout and Connection to 8" G.S. Main	4	EA	\$ 1,250.00	\$ 5,000.00
8	*Asphalt Patching and Repair-Binder Only	2,040	SY	\$ 40.00	\$ 81,600.00
9	Installation and Maintenance of Traffic Control	1	LS	\$ 5,500.00	\$ 5,500.00
10	Seeding and Final Stabilization	15,000	SF	\$ 0.50	\$ 7,500.00
11	Incidental Stone	200	Tons	\$ 18.00	\$ 3,600.00
Olan Maxwell Road Pump Station					
12	Olan Maxwell Road P.S. (new pumps, controls, electrical to bring station on-line)	1	LS	\$ 153,000.00	\$ 153,000.00
North I-40 Interchange - Wastewater Improvements					
13	Install new 6-inch Forcemain under 1st Avenue North to Replace Existing 4-inch forcemain - Install by HDD	85	LF	\$ 275.00	\$ 23,375.00
14	Connection to Existing Forcemain	2	EA	\$ 3,500.00	\$ 7,000.00
15	Decommission Loves Pump Station - Convert to flow through Manhole	1	EA	\$ 20,000.00	\$ 20,000.00
16	8" Gravity Sewer - Directed from Loves Manhole to existing manhole near Speedway Pump Station	630	LF	\$ 200.00	\$ 126,000.00
17	4' Diameter Manholes - Standard (6'-10")	4	EA	\$ 4,000.00	\$ 16,000.00
18	16-inch Steel Encasement Pipe, bored and jacked- TDOT	130	LF	\$ 750.00	\$ 97,500.00
19	16-inch Steel Encasement Pipe, bored and jacked	40	LF	\$ 500.00	\$ 20,000.00
20	Connect gravity sewer to existing manhole	1	EA	\$ 3,500.00	\$ 3,500.00
21	6-inch Forcemain - at Discharge	0	LF	\$ 75.00	\$ -
22	Seeding and Final Stabilization	13,000	SF	\$ 0.75	\$ 9,750.00
23	Installation and Maintenance of Traffic Control	1	LS	\$ 5,000.00	\$ 5,000.00
WATER IMPROVEMENTS					
24	12-inch CL 350 Ductile Iron Pipe Watermain-Incl Fittings	4,250	LF	\$ 100.00	\$ 425,000.00
25	Bore and Jack Casing	40	LF	\$ 500.00	\$ 20,000.00
26	6" CL 350 Ductile Iron Pipe - Service Line to Portobello	75	LF	\$ 70.00	\$ 5,250.00
27	Connection to Existing 12" Watermain - Tapping Saddle & Valve	1	LS	\$ 7,500.00	\$ 7,500.00
28	Connection to Existing 8" Watermain-Tapping Saddle and Valve	1	LS	\$ 5,000.00	\$ 5,000.00
29	Fire Hydrant Assembly	5	EA	\$ 4,500.00	\$ 22,500.00
30	12' Gate Valve	3	EA	\$ 2,750.00	\$ 8,250.00
31	Combination Air/Vacuum Release Valve	2	EA	\$ 3,500.00	\$ 7,000.00
32	6" Gate Valve	2	EA	\$ 1,500.00	\$ 3,000.00
33	1" Service Connection - Long Side	4	EA	\$ 1,500.00	\$ 6,000.00
34	1" Service Connection - Short Side	3	EA	\$ 1,250.00	\$ 3,750.00
35	Seeding and Final Stabilization	85,000	SF	\$ 0.50	\$ 42,500.00
36	Installation and Maintenance of Traffic Control	1	LS	\$ 5,000.00	\$ 5,000.00
SUBTOTAL CONSTRUCTION COST					\$ 1,555,075.00
ALLOWANCE FOR OTHER WORK AND CONTINGENCIES					\$ 150,740.00
TOTAL CONSTRUCTION INCLUDING CONTINGENCY ALLOWANCE					\$ 1,705,815.00

One page of a PER that was submitted along with a project proposal which shows the cost breakdown of the 424C.

The document in its entirety was 29 pages. Here is a look at the contents contained within:

PER – Baxter Water & Wastewater System Improvements – Portobello Manufacturing

TABLE OF CONTENTS

- I. EXECUTIVE SUMMARY
- II. GENERAL BACKGROUND
- III. EXISTING WATER AND WASTEWATER SYSTEM
- IV. PORTOBELLO PROJECT WATER AND WASTEWATER DEMANDS
- V. PROPOSED PROJECT
- VI. PROJECT PHASING
- VII. CONSTRUCTION SCHEDULE
- VIII. ENGINEERS OPINION OF PROBABLE CONSTRUCTION COST
- IX. APPENDIX
 - a. OVERALL PROJECT MAP – WATER AND WASTEWATER IMPROVEMENTS

Cost Estimates for Construction Projects

Cost Estimate

- A Cost Estimate is required for all construction project applications.
- Must be compiled by a qualified professional – engineer or architect, preferably with their professional seal.
- The estimate should provide a reliable prediction of the costs of every element of the project – materials, supplies, labor, etc.

Preliminary Engineering Report (PER)

- A comprehensive analysis of all project aspects and their associated costs.
- Often includes an analysis of different options of ways to achieve project goals.
- Cost of this service must be absorbed by applicant if conducted pre-award. The cost is "allowable" if procured according to regulations post-award.
- ****ARC highly recommends submitting a PER with applications**

Construction Project Cost Estimates and PERs: Key Takeaways

- Cost estimates should have a **credible source**, (i.e., engineer's stamp or letterhead).
- A reasonable reviewer should be able to understand the specific project components and whether they are priced reasonably.
- Cost estimates should include **contingency**.
- If the cost estimate does not include lines for administrative, legal, or other costs outside an engineer's scope, they must be included in a detailed **budget narrative**.

Subrecipient or Contractor?

See 2 CFR 200.331

Subrecipient

- Determines who is eligible to receive what Federal assistance;
- Responsibility for programmatic decision-making;
- Performance measured in relation to whether objectives of a Federal program were met;
- Uses the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services; *and*
- Responsible for adherence to Federal program requirements.

Contractor

- Provides the goods and services within normal business operations;
- Provides similar goods or services to many different purchasers;
- Normally operates in a competitive environment;
- Provides goods or services that are ancillary to the operation of the Federal program; *and*
- Not subject to Federal program's compliance requirements, though similar requirements may apply for other reasons.

Required - Budget Narrative for Non-Construction ARC Application

Grantee Name:

Project Title:

Below are descriptions of operational activities, based on the required line items found in the SF424A -
Please provide details pertaining to your project and add or delete lines as applicable to your project.

Please make sure to break out costs by ARC & matching columns

COST CATEGORY	COST-SHARE (matching funds)			TOTAL (ARC + Match)
TOTAL DIRECT CHARGES	ARC	Cost-Share: Cash Contribution	Cost-Share: In-Kind Contribution	
Personnel I: Position Title, # of individuals with this title	ARC	Cost-Share Cash	Cost-Share In-Kind	Total
Use this space to include position title, duration of employment (if less than the lifespan of the project/award), annual salary, name (if filled) and key responsibilities. Indicate whether this position is FTE and include the percentage of time dedicated to the project.				\$ -
Personnel II: Position Title, # of individuals with this title				\$ -
Use this space to include position title, duration of employment (if less than the lifespan of the project/award), annual salary, name (if filled) and key responsibilities. Indicate whether this position is FTE and include the percentage of time dedicated to the project.				\$ -
Personnel III: Position Title, # of individuals with this title				\$ -
Use this space to include position title, duration of employment (if less than the lifespan of the project/award), annual salary, name (if filled) and key responsibilities. Indicate whether this position is FTE and include the percentage of time dedicated to the project.				\$ -
Total Personnel Cost	\$ -	\$ -	\$ -	\$ -
Fringe Benefits	ARC	Cost-Share Cash	Cost-Share In-Kind	Total
Use this space to describe how fringe benefits are calculated. See here for federal definition and ensure you are categorizing appropriately: https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRed1f39f9b3d4e72/section-200.431				\$ -
Total Fringe Cost	\$ -	\$ -	\$ -	\$ -

Object Class Categories			ARC	University CI Gfts)	Local(LH)
DATE	Purchase Doc.	Description			
d. Equipment					
1/13/2022	4500659341	2 Nursing Anne Simulators(\$28,690.85 each)	\$57,381.70		
1/12/2022	4500659317	Dell C8621QT 85.6" Monitor-Fixed Asset #74433	\$5,731.59		
5/31/2022	4500668813	C8621QT, 217.4 cm(85.6"), 4K, HDMI, DP EQUIPMENT	<u>\$6,467.99</u>		
			\$69,581.28		
e. Supplies					
1/14/2022	4500659523	Shipping - DiaMedical USA(Tutor Beds)	\$2,298.90		
1/21/2022	4500659523	3 Tutor Beds (\$3695 each)	\$11,085.00		
1/21/2022	4500659523	3 Wall mounted horizontal discover headwall(\$2795 each)	\$8,385.00		
2/16/2022	Pcard	FS AUDINATE software			\$69.99
2/16/2022	Pcard	USB Charge Cables			\$190.00
4/18/2022	Pcard	Cable Cover Raceway			\$59.43
1/14/2022	4500658276	Custom Cable Connection		\$301.00	
1/14/2022		Custom Cable Connection		\$39.65	
1/18/2022	Pcard	Smart UPS for Nursing Lab			\$149.23
1/18/2022	Pcard	Smart UPS for Nursing Lab			\$149.23
1/18/2022	Pcard	Amplifiers for Nursing Lab			\$619.16
Fiscal Year 20/21					
		Lowes & Arnot Bldg Supply-Renovation Supplies			\$10,487.73
1/18/2022	1/18/2022	Ceiling curtain tracks			\$1,355.23
1/24/2022		Sunscreen shades			\$1,879.53
3/16/2022	Wendi's Pcard	LUXOUT Panels			\$3,106.09
3/16/2022	Wendi's Pcard	LUXOUT Panels			\$3,100.08
1/14/2022	4500658276	5 Metal Latching Push Button Switch	\$14.99		
1/14/2022	4500658276	Leviton Gang Lock Power Switch	\$37.71		
1/14/2022	4500658276	Enerlites Nickel Plated Brass	\$95.31		
2/16/2022	Wendi's Pcard	Lowes & Arnot Bldg Supply-Nursing Lab Supplies			\$1,094.59
3/16/2022	Wendi's Pcard	Lowes - Nursing Lab Supplies			\$580.18
04/18/2022	Pcard	Lowes & Arnot Bldg Supply - Renovation Supplies			\$2,873.61
4/18/2022	Pcard	S & B Flooring			\$8,969.06
5/16/2022	Pcard	Lowes - Renovation Supplies			\$7.42
5/16/2022	Pcard	ID Booth Copper Tube			\$58.14
5/16/2022	Pcard	Modomed Curtain Supplies			\$832.86
1/14/2022	4500658395	3 Microsoft Surface Pro 7(\$1729.41 each)	\$5,160.93		
1/14/2022	4500658504	B & H Photo - various AV Equip		\$7,224.56	
1/28/2022	4500659141	3 Dell Monitors(\$356.19 each)	\$958.43	\$110.14	
1/12/2022	4500659317	OptiPlex 7090			\$1,197.93
1/12/2022	4500659317	Wall Mount			\$211.59
1/12/2022	4500659317	Videconferencing Kit			\$2,271.53
5/11/2022	4500668813	X-Large Fusion Micro-Adjustable Fixed Wa	\$220.73		
5/11/2022	4500668813	Logitech Rally Plus Videoconf	\$2,274.73		
		SUPPLIES	\$30,383.72	\$7,823.36	\$39,262.61
		TOTAL ACTUAL EXPENSES AS OF 05/24/2022	\$99,965.00	\$7,823.36	\$39,262.61

Equipment / Supplies List

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 **\$50,000**.
- Indirect costs exceeding 15% may be considered **if already approved by another federal agency**.
- Cost rate above **15%** may be credited towards match funding commitment
- If you do not have an established indirect cost rate, **you may use 15% of the modified total direct costs**.

Negotiated Indirect Cost Rate Agreement (NICRA)

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 1626001636A1

DATE:12/19/2019

ORGANIZATION:

FILING REF.: The preceding
agreement was dated
06/10/2019

University of Tennessee - Knoxville
Controller's Office
201 Andy Holt Tower
Knoxville, TN 37996-0100

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
FINAL	07/01/2018	06/30/2019	51.00	On-Campus	Organized Research
PRED.	07/01/2019	06/30/2020	51.00	On-Campus	Organized Research
PRED.	07/01/2020	06/30/2021	52.00	On-Campus	Organized Research
PRED.	07/01/2021	06/30/2023	53.00	On-Campus	Organized Research
FINAL	07/01/2018	06/30/2019	53.00	On-Campus	Instruction
PRED.	07/01/2019	06/30/2023	54.00	On-Campus	Instruction
FINAL	07/01/2018	06/30/2019	38.00	On-Campus	Other Sponsored Activities
PRED.	07/01/2019	06/30/2023	36.00	On-Campus	Other Sponsored Activities
FINAL	07/01/2018	06/30/2019	7.10	On-Campus	IPA
PRED.	07/01/2019	06/30/2023	8.00	On-Campus	IPA
FINAL	07/01/2018	06/30/2019	26.00	Off-Campus	All Programs
PRED.	07/01/2019	06/30/2023	26.00	On-Campus	All Programs

Indirect Costs Review Reminders

- Does the budget narrative include a breakdown of the eligible Modified Total Direct Costs and the calculation of the Indirect Cost Rate?
- Are any of the included expenses in the MTDC potentially excluded expenses?
 - Equipment
 - Tuition
 - Scholarships and Participant Stipends
- Is the NICRA expired?
- Is the applicable Indirect Cost Rate clearly identified in the NICRA?



**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



Governing Laws & Regulations

National Environmental Policy
Act of 1969

24 CFR Part 51 – Manmade
Hazards

24 CFR Part 55 – Floodplains &
Wetlands – Updated 2024

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
- HUD Related Federal Laws & Authorities: <https://www.hudexchange.info/environmental-review/federal-related-laws-and-authorities>

Questions???

Thank You

christopher.perkins@adeca.alabama.gov

Grant Implementation: Compliance matters

Cost Principles

2 C.F.R. 200 Sub-part E

Allowable

Allocable

Reasonable

Necessary

New 2 CFR Part 200

United States Central Command, where the estimated value is in excess of \$100,000.

Covered person or entity means a person or entity that is actively opposing United States or coalition forces involved in a contingency operation in which members of the Armed Forces are actively engaged in hostilities.

Appendix A to Part 183—Award Terms for Never Contract With the Enemy

Federal agencies may include the following award terms in all awards for covered grants and cooperative agreements in accordance with Never Contract with the Enemy:

I. Term 1—Prohibition on Providing Funds to the Enemy

(a) You must:
(1) Exercise due diligence to ensure that no funds, including supplies and services, received under this grant or cooperative agreement are provided directly or indirectly (including through subawards or contracts) to a person or entity who is actively opposing the United States or coalition forces involved in a contingency operation in which members of the Armed Forces are actively engaged in hostilities, which must be completed through 2 CFR 180.300 prior to issuing a subaward or contract and;

(2) Terminate or void in whole or in part any subaward or contract with a person or entity listed in the System for Award Management (*SAM.gov*) as a prohibited or restricted source pursuant to subtitle E of Title VIII of the NDAA for FY 2015, unless the Federal agency provides written approval to continue the subaward or contract.

(b) You may include the substance of this clause, including paragraph (a) of this clause, in subawards under this grant or cooperative agreement that have an estimated value over \$50,000 and will be performed outside the United States, including its outlying areas.

(c) The Federal agency has the authority to terminate or void this grant or cooperative agreement, in whole or in part, if the Federal agency becomes aware that you have failed to exercise due diligence as required by paragraph (a) of this clause or if the Federal agency becomes aware that any funds received under this grant or cooperative agreement have been provided directly or

States or coalition forces involved in a contingency operation in which members of the Armed Forces are actively engaged in hostilities, except for awards awarded by the Department of Defense on or before Dec 19, 2017, that will be performed in the United States Central Command (USCENTCOM) theater of operations.

(b) The substance of this clause, including this paragraph (b), must be included in subawards or contracts under this grant or cooperative agreement that have an estimated value over \$50,000 and will be performed outside the United States, including its outlying areas.

(End of term)

PART 184—[Amended]

- 11. Amend part 184 by:
 - a. Removing remove the text “Federal awarding agency” and “Federal Awarding Agency”, wherever it appears, and adding, in its place, the text “Federal agency”; and
 - b. Removing the text “Federal awarding agencies”, wherever it appears, and adding, in its place, the text “Federal agencies”.

PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

- 13. Revise the authority citation for part 200 to read as follows:

Authority: 31 U.S.C. 503; 31 U.S.C. 6101–6106; 31 U.S.C. 6307; 31 U.S.C. 7501–7507.

- 14. Amend part 200 by revising subparts A through F to read as follows:

Subpart A—Acronyms and Definitions

Acronyms

Sec.

- 200.0 Acronyms.
- 200.1 Definitions.

Subpart B—General Provisions

- 200.100 Purpose.
- 200.101 Applicability.
- 200.102 Exceptions.
- 200.103 Authorities.

- 200.202 Program planning and design.
- 200.203 Requirement to provide public notice of Federal financial assistance programs.
- 200.204 Notices of funding opportunities.
- 200.205 Federal agency review of merit of proposals.
- 200.206 Federal agency review of risk posed by applicants.
- 200.207 Standard application requirements.
- 200.208 Specific conditions.
- 200.209 Certifications and representations.
- 200.210 Pre-award costs.
- 200.211 Information contained in a Federal award.
- 200.212 Public access to Federal award information.
- 200.213 Reporting a determination that an applicant is not qualified for a Federal award.
- 200.214 Suspension and debarment.
- 200.215 Never contract with the enemy.
- 200.216 Prohibition on certain telecommunications and video surveillance equipment or services.
- 200.217 Whistleblower protections.

Subpart D—Post Federal Award Requirements

- 200.300 Statutory and national policy requirements.
- 200.301 Performance measurement.
- 200.302 Financial management.
- 200.303 Internal controls.
- 200.304 Bonds.
- 200.305 Federal payment.
- 200.306 Cost sharing.
- 200.307 Program income.
- 200.308 Revision of budget and program plans.
- 200.309 Modifications to Period of Performance.

Property Standards

- 200.310 Insurance coverage.
- 200.311 Real property.
- 200.312 Federally owned and exempt property.
- 200.313 Equipment.
- 200.314 Supplies.
- 200.315 Intangible property.
- 200.316 Property trust relationship.

Procurement Standards

- 200.317 Procurements by states and Indian Tribes.
- 200.318 General procurement standards.

- De minimis indirect cost rate from 10% to “up to 15%” of MTDC (“The recipient or subrecipient is authorized to determine the appropriate rate up to this limit.”)
- MTDC includes up to \$50,000 of each subaward (currently \$25,000)
- Equipment per unit acquisition cost \geq \$10,000 (up from \$5,000)
- Single audit threshold from \$750K to \$1M

Threshold Revisions (Effective June 21, 2024)

Cybersecurity Controls

- Organization (200.455): Program data and evaluation costs allowable (administer, improve program)!
Cybersecurity costs allowable.
- Recipients and subrecipients required to take “reasonable” cybersecurity measures to safeguard PII and **other sensitive or confidential data.** – 200.303 (e).

Procurement Basics

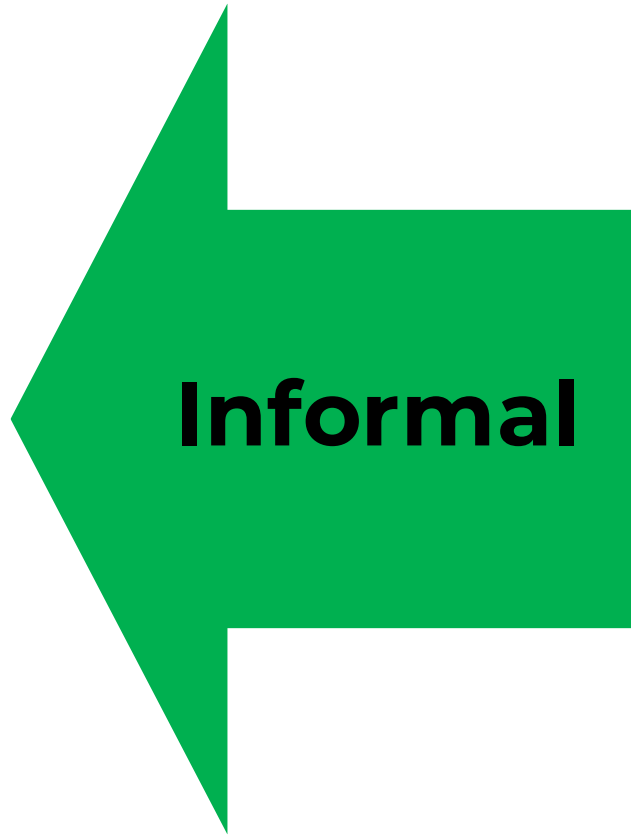
General Procurement Standards

See 2 CFR 200.318

- Recipient and subrecipient must maintain and use **documented procedures for procurement transactions.**
- Recipients and subrecipients must maintain **oversight to ensure that contractors perform** in accordance with the terms, conditions, and specifications of their contract or purchase orders.
- Recipient and subrecipient must maintain **written standards** of conduct covering **conflict of interest and governing the actions** of employees engaged in the selection, award, and administration of contracts.
- **Avoid** the acquisition of **unnecessary or duplicative** items.
- Recipient and sub-recipient must **award contracts only to responsible contractors** that possess the ability to perform successfully under the contract. Verify in SAM.gov...

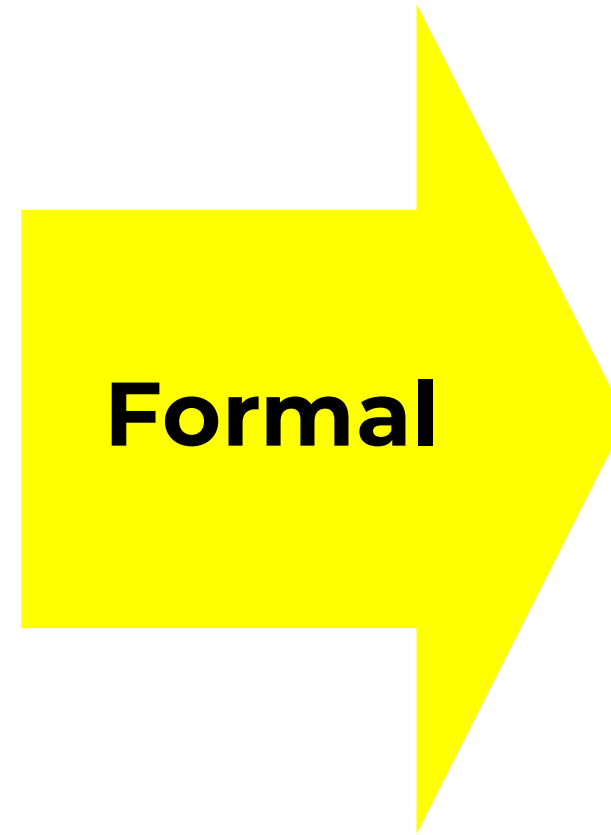
What procurement process should be used?

See 2 CFR 200.320



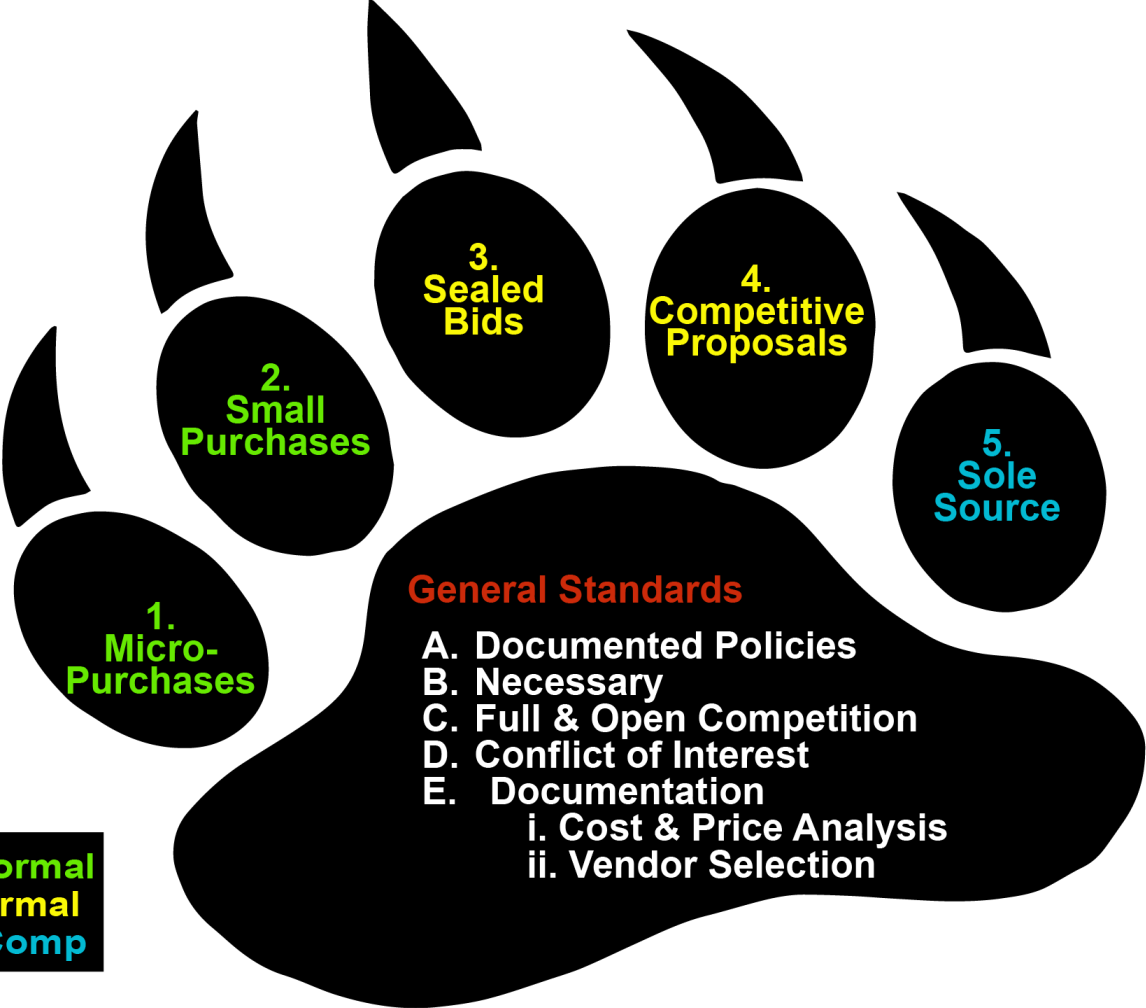
<\$250,000<

Simplified Acquisition
Threshold
(48 C.F.R. 2.101)



The Procurement Bear Claw - General Standards

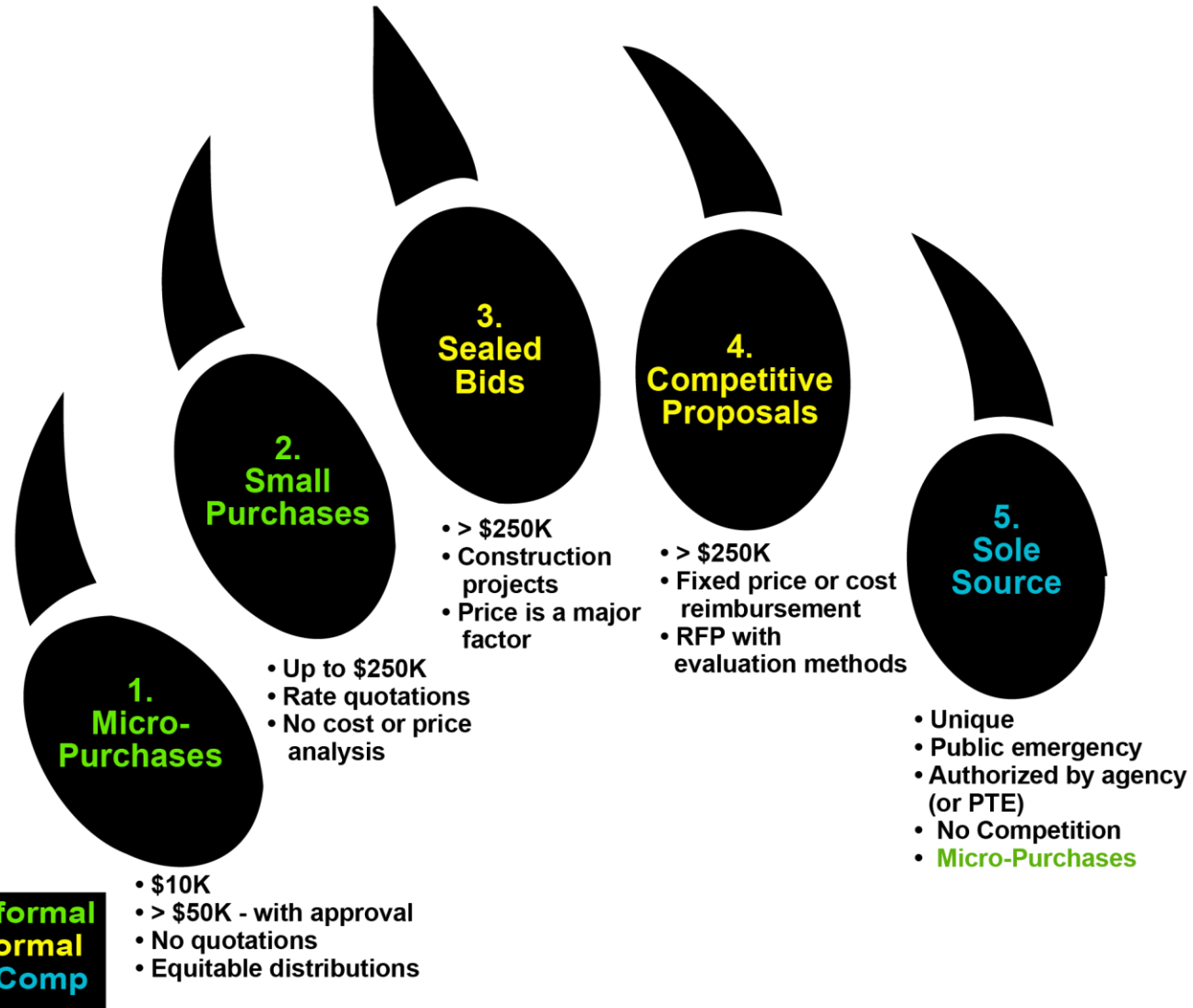
Procurement “Claw” (Sections 200.317-326)



Green - Informal
Yellow - Formal
Blue - No Comp

The Procurement Bear Claw from OMB- General Standards

Procurement "Claw" (Section 200.320)



Procurement - New in the revised Guidance

- Bid scoring can take into account worker protection such as minimum compensation, benefits and on-the-job training. 200.319(f)
- Cost-benefit analysis on contracts should take into account potential workforce impacts such as displacement of public sector employees. 200.324(a)
- When assessing responsible contractors, recipients and subrecipients must weigh **whether the contractor classifies its employees properly** under the Fair Labor Standards Act. 200.318(h).
- Grantee **not prohibited from requiring construction contractors to use hiring preferences or goals for people residing in high-poverty areas, disadvantaged communities as defined in the Justice40 Initiative...or high-unemployment census tracts within a region no smaller than the county where a federally funded construction project is located...**
- Recipient and subrecipient may **not prohibit interstate hiring**. 200.318(l)(1)

Procurement of recovered materials. 200.323

The recipient or subrecipient **should**, to the greatest extent practicable and consistent with law, **purchase, acquire, or use** products and services that can be **reused, refurbished, or recycled; contain recycled content**, are **biobased**, or are **energy and water efficient**; and are **sustainable**. This may include purchasing compostable items and other products and services that reduce the use of single-use plastic products. 200.323(b)

Do not purchase certain telecommunications and video surveillance equipment or services. 200.216

Telecommunication equipment or services produced or provided by any of the following:

- Huawei Technologies
- ZTE Corporation
- Hytera Communications Corporation
- Hangzhou Hikvision Digital Technology Company
- Dahua Technology Company

Whistleblower Protection

New Section 200.217
added, protecting employees of
recipients and subrecipients.

Recipient and subrecipient
must inform employees in writing
of whistleblower protections under
41 U.S.C. 4712 (grantee and
subgrantee employee whistleblower
protections).

Whistleblower Protections

Discharged, demoted, or otherwise discriminated against as a reprisal for disclosing to...

- A. A Member of Congress or a representative of a committee of Congress.
- B. An Inspector General.
- C. The Government Accountability Office.
- D. A Federal employee responsible for contract or grant oversight or management at the relevant agency.
- E. An authorized official of the Department of Justice or other law enforcement agency.
- F. A court or grand jury.
- G. A management official or other employee of the contractor, subcontractor, grantee, subgrantee, or personal services contractor who has the responsibility to investigate, discover, or address misconduct.

**Prohibited Actions
for Recipient and
Subrecipient**

Employee *reasonably believes* is evidence of

1. gross mismanagement of a Federal contract or grant,
2. gross waste of Federal funds,
3. abuse of authority relating to a Federal contract or grant,
4. substantial and specific danger to public health or safety,
5. a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract) **or grant.**" 200.217

**What Type of
Information?**

Mandatory False Claims Act Disclosure

- An applicant, recipient or subrecipient of a federal award must **promptly** disclose whenever, in connection with a federal award, it has **credible evidence** of the commission of a violation of federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code or a violation of the civil False Claims Act. The disclosure must be made in writing to the Federal agency, **the agency's Office of Inspector General**, and pass-through entity (if applicable).
- Recipients and subrecipients are also required to report matters related to **recipient integrity and performance** in accordance with Appendix XII of this part.- 2 CFR 200.113

[Office of Inspector General - Appalachian Regional Commission \(arc.gov\)](https://www.arc.gov)



[arc.gov](https://www.arc.gov)

Human Trafficking

Human Trafficking Compliance

2 CFR Part 175 is another set of requirements for federal grantees. It was revised to match existing requirements in a federal statute for the prevention of human trafficking (22 USC 7104a). As a result, it is especially important for certain grant recipients to:

- Create a compliance plan that aligns with 2 CFR 175.105.
- Only applies to grant recipients with services performed under their grant of over \$500,000.
- Deficiencies could generate an audit finding.

2 CFR 175.105...Grant award can be terminated...if a private recipient or sub-recipient engages in:

- Severe forms of trafficking in persons
- Procurement of a commercial sex act during the period of time that the grant agreement is in effect
- The use of forced labor in the performance of a grant or cooperative agreement
- Acts that directly support or advance trafficking in persons, including the following acts:
 - Denying an employee access to that employee's identity or immigration documents
 - Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the USA to the country from which the employee was recruited upon the end of employment if requested by the employee...
 - Soliciting a person for the purpose of employment, or offering of employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment
 - Charging recruited employees a placement or recruitment fee
 - Providing or arranging housing that fails to meet the host country's housing and safety standards

WHAT IS HUMAN TRAFFICKING?



BLUE CAMPAIGN

One Voice. One Mission. End Human Trafficking.®

Buy America Preference: Build America Buy America Act 2 CFR Part 184

Policy

Ensure that none of the funds made available for a Federal award for an **infrastructure project** may be obligated unless **all of the iron, steel, manufactured products**, and **construction materials incorporated** into the project are produced in the United States.

1. Applies to Federal awards where funds are appropriated or otherwise made available **for infrastructure projects** in the United States, **regardless of whether infrastructure is the primary purpose of the Federal award.**
2. Is included in ARC's terms and conditions of the award.
3. Must be included in all subawards, contracts, and purchase orders for the work performed, or products supplied under the Federal award.

Applicability

Encompasses public infrastructure projects in the United States

1. **The structures**
2. **Facilities**
3. **Equipment for...**
 - a. **Roads**
 - b. Highways
 - c. Bridges
 - d. Public transportation
 - e. Dams
 - f. Ports, harbors, and other maritime facilities
 - g. Intercity passenger and freight railroads
 - h. Freight and intermodal facilities
 - i. Airports
 - j. Water systems, including drinking water and wastewater systems
 - k. Electrical transmission facilities and systems
 - l. Utilities
 - m. Broadband infrastructure
 - n. **Buildings and real property**; and structures, facilities, and equipment that generate, transport, and distribute energy including electric vehicle (EV) charging.

A dark blue, cloud-like graphic with a scalloped edge. Inside the cloud, the words "Public Function Test" are written in a white, bold, sans-serif font, stacked vertically.

Public
Function
Test

A large, rounded rectangular graphic with a solid reddish-brown color. It has three small, dark blue circles of varying sizes scattered near the top left corner. The text "What's infrastructure?" is centered within the rectangle in a white, serif font.

What's
infrastructure?

Categories to classify an article, material or supply

1. Iron or steel products
2. Manufactured products
3. Construction materials
4. Cement and cementitious materials; aggregates such as stone, sand, or gravel; or aggregate binding agents or additives. (Section 70917(c) materials)

An article, material, or supply incorporated into an infrastructure project must meet the Buy America Preference **for only the single category** in which it is classified.

Iron & Steel

1. Articles, materials, or supplies that consist wholly of or predominantly of iron or steel, or a combination of both.
2. ***Predominantly of iron or steel or a combination of both*** = that the cost of the iron and steel content exceeds 50 % of the total cost of all its components.
 - The cost of iron & steel = the cost of the iron or steel mill products (such as bar, billet, slab, wire, plate, or sheet), castings, or forgings utilized in the manufacture of the product **and** a good faith estimate of the cost of iron or steel components.

How to determine if the cost of components for manufactured products is greater than 55% of the total cost of all components...

- Q. Components purchased by the manufacturer?
- A. The acquisition cost, including transportation costs to the place of incorporation into the manufactured product (whether or not such costs are paid to a domestic firm), and any applicable duty (whether or not a duty-free entry certificate is issued); or
- Q. Components manufactured by the manufacturer?
- A. All costs associated with the manufacture of the component, including transportation costs, plus allocable overhead costs, but excluding profit. =
- **The cost of components does not include any costs associated with the manufacture of the manufactured product.**

Construction Materials

Applies to construction materials
incorporated into infrastructure
projects

When is “construction material” considered produced in the United States?

1. **Non-ferrous metals.** All manufacturing processes, from initial smelting or melting through final shaping, coating, and assembly, occurred in the U.S.
2. **Plastic and polymer-based products.** All manufacturing processes, from initial combination of constituent plastic or polymer-based inputs, or, where applicable, constituent composite materials, until the item is in its final form, occurred in the U.S.
3. **Glass.** All manufacturing processes, from initial batching and melting of raw materials through annealing, cooling, and cutting, occurred in the U.S.
4. **Fiber optic cable (including drop cable).** All manufacturing processes, from the initial ribboning (if applicable), through buffering, fiber stranding and jacketing, occurred in the U.S. All manufacturing processes also include the standards for glass and optical fiber, but not for non-ferrous metals, plastic and polymer-based products, or any others.

Construction Materials

Applies to construction materials
incorporated into infrastructure
projects

When is “construction material” considered produced in the United States?

(5) **Optical fiber.** All manufacturing processes, from the initial preform fabrication stage through the completion of the draw, occurred in the U.S.

(6) **Lumber.** All manufacturing processes, from initial debarking through treatment and planning, occurred in the U.S.

(7) **Drywall.** All manufacturing processes, from initial blending of mined or synthetic gypsum plaster and additives through cutting and drying of sandwiched panels, occurred in the U.S.

(8) **Engineered wood.** All manufacturing processes from the initial combination of constituent materials until the wood product is in its final form, occurred in the U.S.

1. When applying it would be inconsistent with the public interest.
2. When the types of iron, steel, manufactured products, or construction materials are not produced in the U.S. in sufficient and reasonably available quantities or of a satisfactory quality.
3. When the inclusion of iron, steel, manufactured products, or construction materials produced in the U.S. will increase the cost of the overall infrastructure project by more than 25%.

**When the Buy
America
Preference can
be waived**

Things to keep in mind...

- Factor in the compliance with the BABA into the design and budget formulation of the proposed activity.
- Ensure that all procurement activities comply with BABA
- Keep adequate records of sourcing the covered materials from domestic sources or having a waiver.
- Request suppliers to provide:
 - Product and Service (PSC) name and ID number
 - Code number
 - North American Industry Classification System (NAICS) title and code where applicable.

Made in America waivers

<https://www.madeinamerica.gov/waivers/>

North American Industry Classification System

<https://www.census.gov/naics/>

Product and Service Code

<https://www.acquisition.gov/psc-manual>

What to include in project documents

Include the following statement in the RFP:

This project is subject to the Buy America Preference. In this project preference will be given to 1-all iron and steel produced in the United States; 2-manufactured products produced in the United States; and 3-construction materials produced in the United States. This preference will apply only to the articles, materials, and supplies that are consumed in, incorporated into, or affixed to the infrastructure project. For further information visit

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

What to include in project documents

Include a contract clause requiring the contractor to self-certify compliance with BABA, like this:

The undersigned certifies, to the best of their knowledge and belief, that:

The Build America, Buy America Act (BABA) requires that no federal financial assistance for infrastructure projects is provided unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States. Section 70914 of Public Law No. 117-58, §§ 70901-52.

The undersigned certifies that for the _____ (Project Name and Location) _____ that the iron, steel, manufactured products, and construction materials used in this contract are in full compliance with the BABA requirements including:

1. All iron and steel used in the project are produced in the United States. This means all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States.
2. All manufactured products purchased with ARC financial assistance must be produced in the United States. For a manufactured product to be considered produced in the United States, the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States is greater than 55% of the total cost of all components of the manufactured product, unless another standard for determining the minimum amount of domestic content of the manufactured product has been established under applicable law or regulation.
3. All construction materials are manufactured in the United States. This means that all manufacturing processes for the construction material occurred in the United States.

The [Contractor or Subcontractor], _____, certifies or affirms the truthfulness and accuracy of each statement of its certification, if any.”

ARC Policy Statements and Other Considerations

Issues to Remember

- Project types that have struggled in the past:
 - Municipal Buildings and Services
 - Court Houses and Fire Houses
- Project types that are challenging and tend to yield additional scrutiny:
 - Day Care Centers, Community Centers
 - 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

There are some projects that raise concerns and can't move forward, despite having an economic analysis included in the proposal.

Examples Include:

- Skate Park and other recreational development sites
- Projects that serve entities such golf courses, gated communities or yacht clubs
- Museums that don't tie to tourism development
- Craft brewery training projects

Project Specific Policies

Additional requirements or demonstration standards accompany certain projects.

Please see ARC policies on
Residential Infrastructure Projects

- Travel and Tourism
- Use of ARC Export Funds for Trade Events

All found within ARC's Project Guidelines
<https://www.arc.gov/resource/arc-project-guidelines/>

ARC Residential Infrastructure Policy

- Generally, ARC does NOT fund water/sewer projects that only serve **residences**.
- Exceptions for 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 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.

Tourism Policy Reminders

Goal 4: Building Regional Culture and Tourism

- a. Invest in the development of vibrant Appalachian **downtowns** and provide support for Appalachian **placemaking**.
- b. Invest in economic and community development initiatives that preserve and promote Appalachian communities' vibrant **arts, cultural, and heritage traditions**.
- c. Preserve and expand Appalachia's **natural resources** to increase **outdoor recreation** opportunities for residents and visitors and support sustainable economic growth.

Projects must be an **integral part of a strategic plan for the community and/or region-**

This could be:

- An independent Feasibility Study
- A Regional Tourism Strategic Plan
- A City Comprehensive Plan

And must meet the highest standards of cost-benefit analysis as to economic outcomes-

- Must be sustainable.
- Show evidence of plan to measure success.

Attachments

Don't Forget!

- **Match Commitment Letters** that are signed and show include exact dollar amount
- **Letters of Support** that show need, demand, proposed project impact (these support strategic rationale, impact, performance measures)
- **Letters of Engagement** (these support and demonstrate partnership and collaboration)

- **Resumes** of Key Players Involved
- **Maps/Diagrams/Pictures** if helpful to demonstrate project scope, service area
- Any required or additional **forms, plans, templates** not already incorporated

**Attachments
Continued**

**If Needed or
Upon Request**

- BA Letter
- PER/Cost Estimate
- Asset management plan
- Five-year pro forma financial projections
- Feasibility studies or business plans

Application Submission Instructions

Leslie M. Clark

DEADLINE – 12:00 Noon on Friday, September 13, 2024

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 September 13, 2024, 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, September 13, 2024**

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

State Contacts

Crystal G. Talley

ARC Program Manager

crystal.talley@adeca.alabama.gov

(334) 353-2630

Leslie M. Clark

Unit Chief

leslie.clark@adeca.alabama.gov

(334) 353-2909

Coming Up...

Upcoming Virtual Office Hours: Opportunities to ask questions

August 7th, 10-11AM ET

Register here:

<https://arcgov.zoom.us/meeting/register/tZEkfumqrj0sGN250wFswF-6l7Ma1lcVvAx>



ARC Final Review and Approval Process

What happens after the state transmits the applications to ARC for final review?

- ✓ Application logged into ARCnet and assigned an ARC Project # (AL-XXXXX).
 - ✓ **NOTE:** BE SURE to include this project # on **ALL** correspondence with your State PM and ARC Staff
 - ✓ project is assigned to an ARC project coordinator for initial review and prep for final review and approval.
- ✓ All those who will work on the project create an account in ARCnet and designates project roles.

Very Important to:

- **Designate project authorized representative**
 - **Include authorized representative's cell #**
 - **Include email addresses for all contacts**
- ✓ During the application review, your ARC project coordinator may need to contact you and your state program manager with questions about the project and/or request revisions or additional documents. **Please submit all requested changes/documents in one email message to your ARC project coordinator and copy to state program manager.**

What happens after the state transmits the applications to ARC for final review? Cont.

- ✓ Approved applicants receive email notification from OGC 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.

Questions?

**Thank you for
attending this
training!**

Please scan the QR
code to take our
survey:



July 18
Post-Workshop Survey

Connect with ARC



twitter.com/ARCgov



facebook.com/ARC.gov



linkedin.com/company/appalachian-regional-commission



In the Region arc.gov/newsletter-signup