



June 14th, 2023

ARC – North Carolina How-to-Apply Workshop

Workshop Agenda

9:00am – Sign In

9:30am – Welcome & Intros

9:40am – ARC NC Program Overview

9:50am – ARC Project Fundamentals

10:00am – ARC Application Checklists

10:45am – Break

11:00am – Shark Tank Exercise

11:20am – Budget & Match

12:00pm – Lunch

1:00pm – Performance Measures

1:40pm – Federal Regulations & Compliance

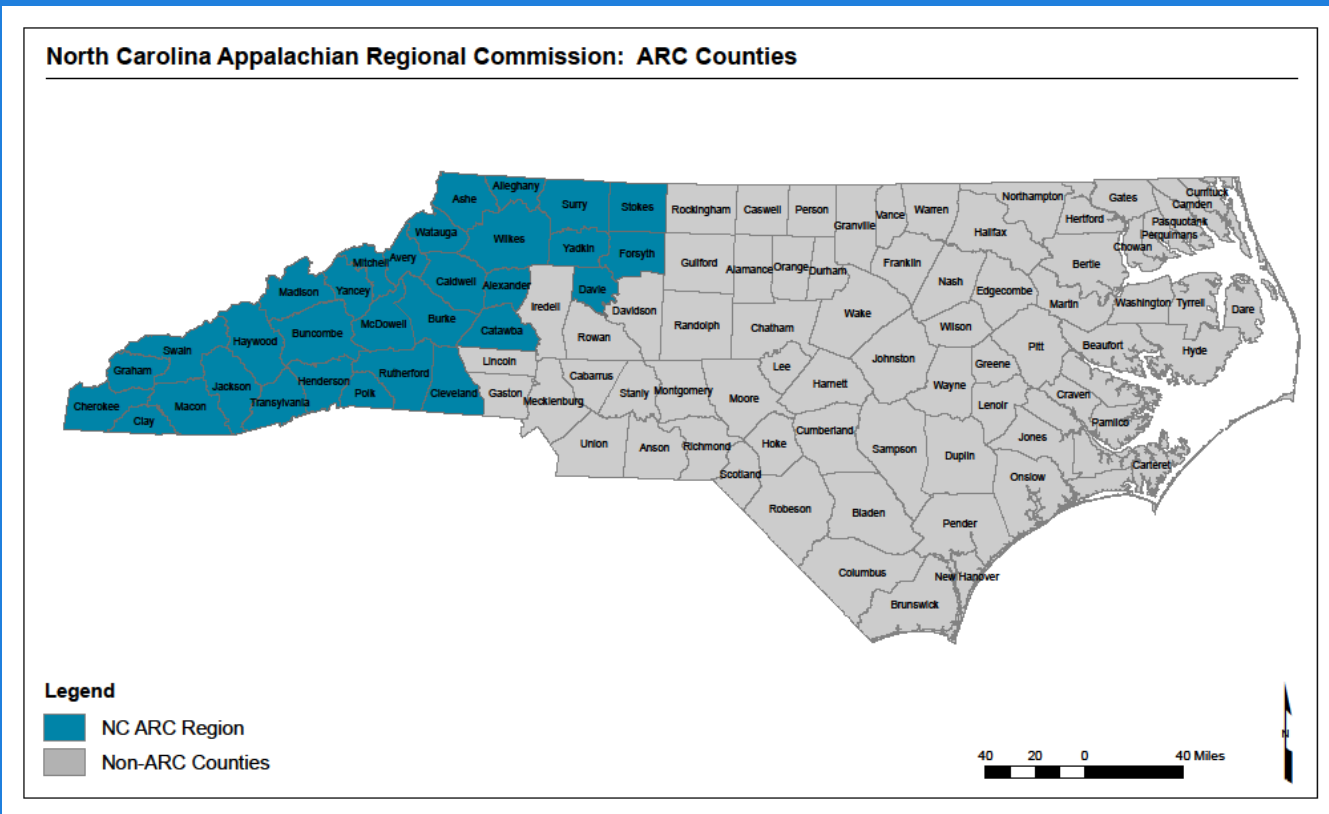
2:25pm – Application Process & Wrap-up

2:45pm – Adjourn

ARC in NC

ARC in North Carolina

Alexander, Alleghany, Ashe, Avery, Buncombe, Burke, Caldwell, Catawba, Cherokee, Clay, Cleveland, Davie, Forsyth, Graham, Haywood, Henderson, Jackson, Macon, Madison, McDowell, Mitchell, Polk, Rutherford, Stokes, Surry, Swain, Transylvania, Watauga, Wilkes, Yadkin, and Yancey

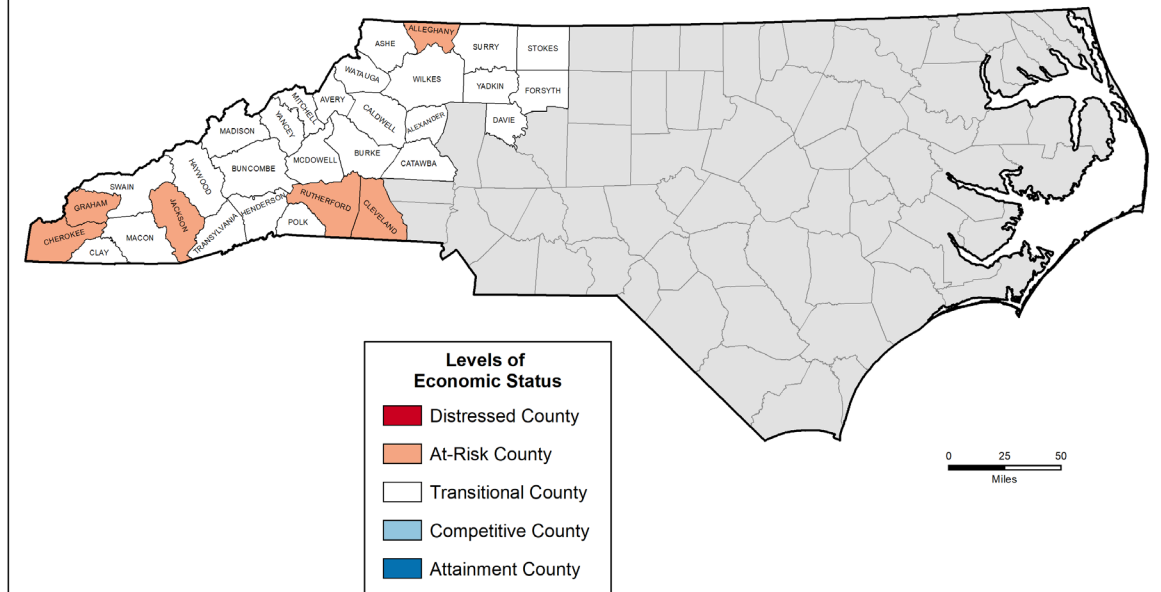


County Economic Status, FY 2024

ARC's five county economic status designations are based on three indicators: three-year average unemployment rates, per capita market income, and poverty rates.

- **Distressed:** The most economically depressed counties, ranking in the worst 10% of the nation's counties
- **At-risk:** Counties at risk of becoming distressed
- **Transitional:** Counties transitioning between at-risk and competitive status.
- **Competitive:** Counties able to compete in the national economy but don't rank in the highest 10% of the nation's counties.
- **Attainment:** The economically strongest counties, ranking in the best 10% of the nation's counties.

County Economic Status in Appalachian North Carolina, Fiscal Year 2024





NORTH CAROLINA STATE PROFILE | FISCAL YEAR 2022

(OCTOBER 1, 2021–SEPTEMBER 30, 2022)

FISCAL YEAR 2022 INVESTMENT SNAPSHOT



\$4.6M ARC INVESTMENT*

\$41.3M PROJECT MATCH

\$45.9M TOTAL PROJECT INVESTMENT

29 PROJECTS

\$650.2M ADDITIONAL PRIVATE INVESTMENTS LEVERAGED

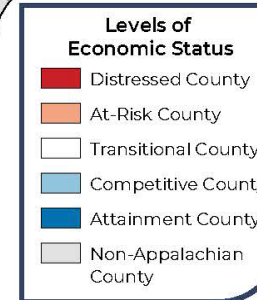
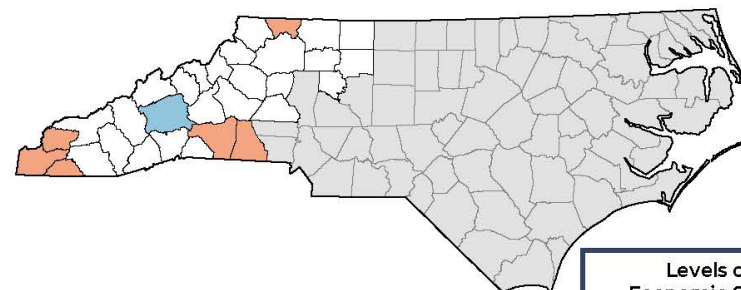
925 JOBS CREATED OR RETAINED

1,120 STUDENTS AND WORKERS TRAINED AND EDUCATED

1,400 HOUSEHOLDS/BUSINESSES SERVED WITH INFRASTRUCTURE



FY 2022 COUNTY ECONOMIC STATUS IN NORTH CAROLINA



FISCAL YEAR 2022 INVESTMENT PRIORITIES



WORKFORCE ECOSYSTEM

\$2M

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



COMMUNITY LEADERS & CAPACITY

\$1.3M

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



BUILDING BUSINESSES

\$698K

invested in entrepreneurship and business development to strengthen the economy in North Carolina



COMMUNITY INFRASTRUCTURE

\$598K

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



Appalachian Regional Commission

*An additional \$5 million in Federal-aid Highway funds was approved by ARC for North Carolina projects through the Local Access Road program.

ARC Project Fundamentals

ARC Investment Goals

1. Economic Opportunities

Invest in entrepreneurial and business development strategies that strengthen Appalachia's economy

2. Ready Workforce

Increase education, knowledge, skills, and health of residents to work and succeed in Appalachia

3. Critical Infrastructure

Invest in critical infrastructure - water/wastewater systems, broadband, and transportation

4. Natural & Cultural Assets

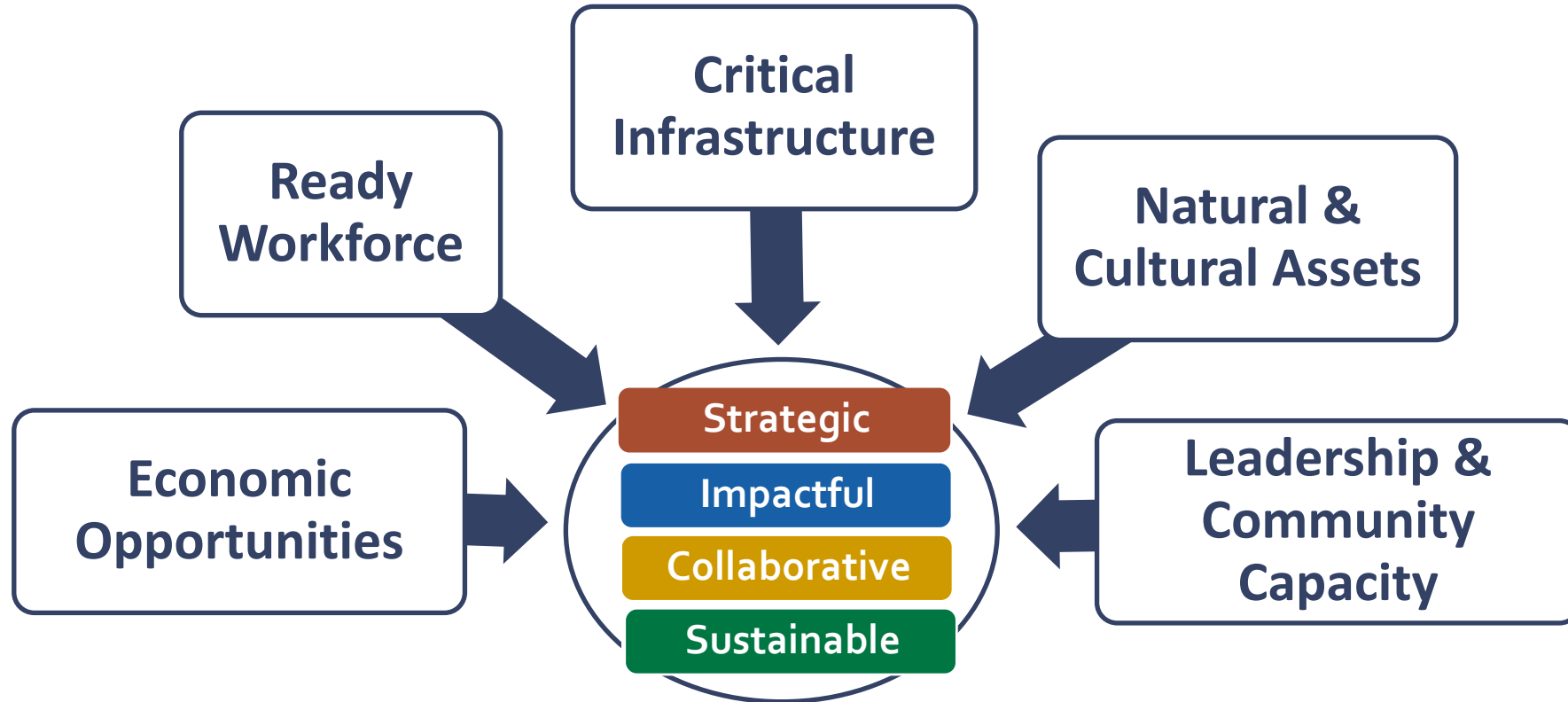
Leverage Appalachia's natural and cultural heritage assets to achieve community and economic development

5. Leadership & Community Capacity

Build the capacity and skills of current and next-generation leaders and organizations to advance community and economic development

ARC Investment Goals

Key Project Components



What Does This Mean?

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

Strategic

Project aligns with the goals of the community and regional plans

- Addresses North Carolina's ARC strategy and one of ARC's five investment goals
- Addresses a local/regional demand, strategy, or initiative
- Addresses an emerging opportunity or problem
- Targets distressed counties or areas when possible



Impactful

Project has specific performance targets aimed at helping Appalachia economically prosper



Impactful

Project has specific performance targets aimed at helping Appalachia economically prosper

Problem or Opportunity

Project Activities

Outputs

Outcomes

Shortage of high-skill labor in regional workforce

Launch workforce training program for high-skill labor jobs

2,000 sq ft space renovated, 200 trainees enrolled in program

150 workers / trainees employed in high-skill labor jobs

Collaborative

Project engages partnerships to achieve common or aligned goals

- A common goal is better achieved by working together rather than separately
- Seek partners with a similar vision, goals, geography, stakeholders, etc.
- **Partnerships require a commitment of resources or assets to accomplish a common goal or vision**
- An MOU can be used to formally define partner relationships, who is responsible for activities, deliverables, etc.

Sustainable

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

- Show commitment of financial resources to continue efforts
- Develop a **sustainability plan** to incrementally build adequate revenue streams for continuation
- Provide assessments of sustainability like feasibility studies or pro forma business plans
- If there is property/equipment involved, identify **who will own and maintain it**

Application Checklists

Unique Entity Identifier and System for Award Management (SAM)

Applicants are required to meet the following criteria:


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

How to Use the Checklist: Application

When you're ready to start your application, use the checklist as a guide to put all the pieces into place – check off each section as you go to ensure you have all that is required for a well written, comprehensive package

Construction Project Application Checklist

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



ARC Construction Project Application Checklist

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

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

SECTION 1: Transmittal Letter

SECTION 2: REQUIRED APPLICATION FORMS, Page # ___
Include the required application forms:

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

SECTION 3: EXECUTIVE SUMMARY, Page # ___

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

SECTION 4: PROJECT NARRATIVE, Page # ___
Formatting instructions: Use the headings below as headings in the project narrative. The suggested length of the narrative is five to eight pages. Please number the pages.

1. Goals and Strategies, Page # ___

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

2. Project Description, Page # ___

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

1 | Page
Revised October
2022

3 Page Document

Read carefully!

Tip: Complete sections in an order that works for you (i.e., Executive Summary last, Budget before Project Narrative, etc.). Then assemble the package as ordered once finished.

Non-Construction Project Application Checklist

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



ARC Non-Construction Project Application Checklist

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

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

SECTION 1: Transmittal Letter

SECTION 2: REQUIRED APPLICATION FORMS, Page # ___

Include the required application forms:

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

SECTION 3: EXECUTIVE SUMMARY, Page # ___

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- List the primary ARC state strategy the project will address. Consult your state's most recent Strategy Statement and your state's ARC program manager for additional guidance.

2. Project Description, Page # ___

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

Application Components

1. Standard Forms
2. Executive Summary
3. Project Narrative
4. Budget, Match, & Supporting Materials

Standard Forms

SF 424: Official Application for all Federal Awards – BOTH Construction and Non

- Catalog for Domestic Assistance Number and Funding Opportunity Number: 23.002
- Make sure to use correct legal name
- Make sure email addresses are accurate
- Step-by-step instructions available on our website

The image shows a screenshot of the SF 424 application form. The form is titled "Application for Federal Assistance SF-424" and includes several sections:

- 16. Congressional Districts Of:** Fields for "a. Applicant" and "b. Program/Project".
- * 9. Type of Applicant 1: Select Applicant Type:** A dropdown menu with a yellow highlight.
- Type of Applicant 2: Select Applicant Type:** A dropdown menu.
- Type of Applicant 3: Select Applicant Type:** A dropdown menu.
- OMB Number:** 4945-0004
- Expiration Date:** 12/31/2022
- 1. Type of Submission:** Radio buttons for "Preapplication", "Application", and "Changed/Corrected Application".
- 2. Type of Application:** Radio buttons for "New", "Continuation", and "Revision".
- * If Revision, select appropriate letter(s):** A text input field.
- * Other (Specify):** A text input field.
- * 3. Date Received:** A date input field.
- 4. Applicant Identifier:** A text input field.
- 5a. Federal Entity Identifier:** A text input field.
- 5b. Federal Award Identifier:** A text input field.
- State Use Only:**
 - 6. Date Received by State:** A date input field.
 - 7. State Application Identifier:** A text input field.
- 8. APPLICANT INFORMATION:**
 - * a. Legal Name:** A text input field.
 - * b. Employer/Taxpayer Identification Number (EIN/TIN):** A text input field.
 - * c. Organizational DUNS:** A text input field.
 - d. Address:**
 - * Street1:** A text input field.
 - * Street2:** A text input field.
 - * City:** A text input field.
 - County/Parish:** A text input field.
 - * State:** A text input field.
 - Province:** A text input field.
 - * Country:** A dropdown menu with "USA: UNITED STATES" selected.
 - * Zip / Postal Code:** A text input field.
 - e. Organizational Unit:**
 - Department Name:** A text input field.
 - Division Name:** A text input field.
 - f. Name and contact information of person to be contacted on matters involving this application:**
 - Prefix:** A text input field.
 - * First Name:** A text input field.
 - Middle Name:** A text input field.
 - * Last Name:** A text input field.
 - Suffix:** A text input field.
 - Title:** A text input field.
 - Organizational Affiliation:** A text input field.
 - * Telephone Number:** A text input field.
 - Fax Number:** A text input field.
 - * Email:** A text input field.
- 12372 Process:** A section with a "12372 Process" label and a "State for review" dropdown.
- Attachments:** Buttons for "Add Attachment", "Delete Attachment", and "View Attachment".
- Date Signed:** A date input field.

View Burden Statement

BUDGET INFORMATION - Non-Construction Programs

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

SECTION A - BUDGET SUMMARY

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

SECTION B - BUDGET CATEGORIES

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

SECTION C - NON-FEDERAL RESOURCES

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

SECTION D - FORECASTED CASH NEEDS

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

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

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

SECTION F - OTHER BUDGET INFORMATION

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

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

Standard Form 424A: Budget Information for Non-Construction Projects



Appalachian Regional Commission

SF-424B Non-Construction Assurances

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

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

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

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

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

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

Standard Form 424C: Budget Form for Construction Projects

[View Burden Statement](#)

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

BUDGET INFORMATION - Construction Programs

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

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

SF 424D: Construction Assurances

[View Burden Statement](#)

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 02/28/2025

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

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

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

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

- Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
- Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
- Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
- Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29) U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

- Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
- Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
- Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
- Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
- Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
- Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
<input type="text"/>	<input type="text"/>
APPLICANT ORGANIZATION	DATE SUBMITTED
<input type="text"/>	<input type="text"/>

SF-424D (Rev. 7-97) Back

Previous Edition Usable

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

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 informational videos found on those pages.

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

1-2 pages in length

Follow ARC's template:

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

Executive Summary Format

(2 pages maximum)

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

Project Narrative

“Effective storytelling brings the reader through the entire journey of your organization’s mission, the problem you seek to solve, how you intend to solve it, and what happens when you do solve it.”

Keep this in mind as you weave your story and take the reader through your project narrative.

**What do we
mean by
“Telling Your
Project Story?”**

Anonymous. (2023). *How to Storytell Effectively in Grant Narratives*. instrumentl.
<https://www.instrumentl.com/blog/how-to-storytell-in-grant-narratives>

Project Narrative

Suggested length 5-8 pages

1. Goals and Strategies
2. Project Description
3. Strategic Rationale
4. Collaborative Partnerships
5. Project Sustainability and Capacity
6. Performance Measures

Goals and Strategies

Goals and Strategies

- Identify the ARC goal and objective the project primarily addresses (one goal and one objective only). Refer to ARC's Strategic Plan for a list of goals and objectives.
- Identify the ARC NC state strategy the project primarily addresses. See the North Carolina's Four-Year Development Plan for a list of strategies.
- <https://www.arc.gov/strategicplan/>
- <https://www.arc.gov/resource/north-carolina-appalachian-development-plan/>

ARC Investment Goals

1. Economic Opportunities

Invest in entrepreneurial and business development strategies that strengthen Appalachia's economy

2. Ready Workforce

Increase education, knowledge, skills, and health of residents to work and succeed in Appalachia

3. Critical Infrastructure

Invest in critical infrastructure - water/wastewater systems, broadband, and transportation

4. Natural & Cultural Assets

Leverage Appalachia's natural and cultural heritage assets to achieve community and economic development

5. Leadership & Community Capacity

Build the capacity and skills of current and next-generation leaders and organizations to advance community and economic development

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

Project Description

- **First Paragraph** should summarize the project's primary purpose, activities, and impacts. This can be lifted from the Executive Summary.
- **Subsequent paragraphs** should spell out the specific details of your project.
 - **Who?** Who is performing grant activities? Who are the beneficiaries?
 - **What?** Describe in detail how you will carry out the project. What are the project deliverables?
 - **Where?** Where specifically will the project take place? Identify any distressed census tracts.
 - **When?** Lay out the timeline for completing the project and key milestones.

Project Description (cont.)

- Non-profits must provide background information on their organization (mission, location, work they do, etc.). **Assume the reader has never heard of your organization.**
- Provide context for the communities served by the project. **Assume the reader has never been to your community.**
- Describe who the **primary users/beneficiaries** of the project are, and what your plan is for outreach/marketing your project to them.

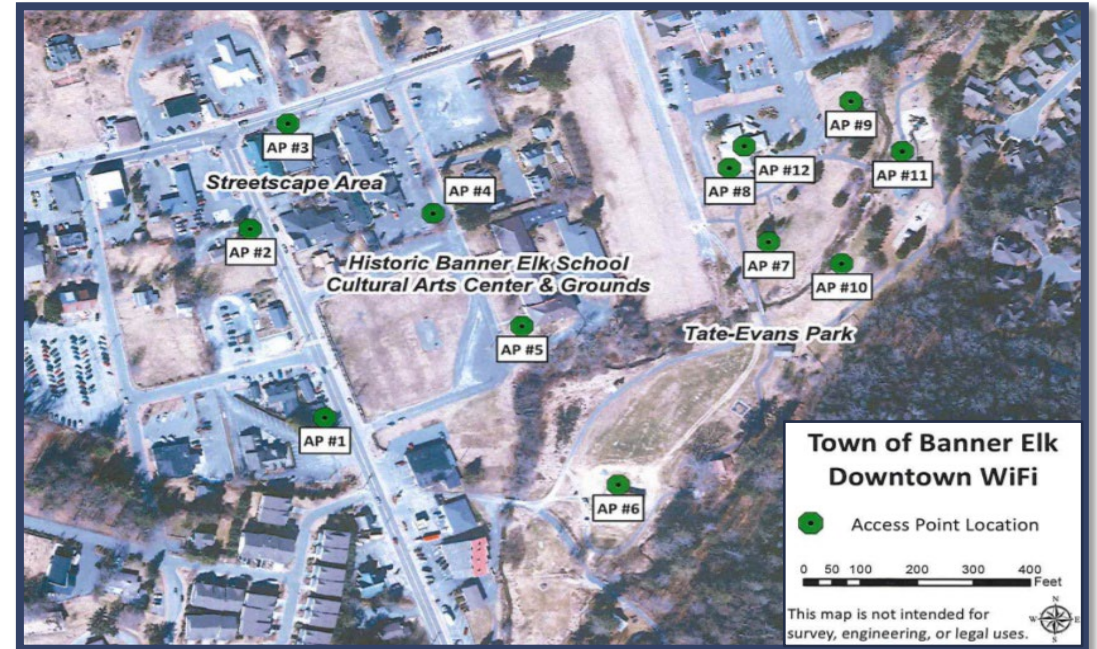
Include a **detailed workplan** outlining major project activities. Identify timeline and who is responsible for completing each activity.

Basic Workplan Example

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

Additional items to include:

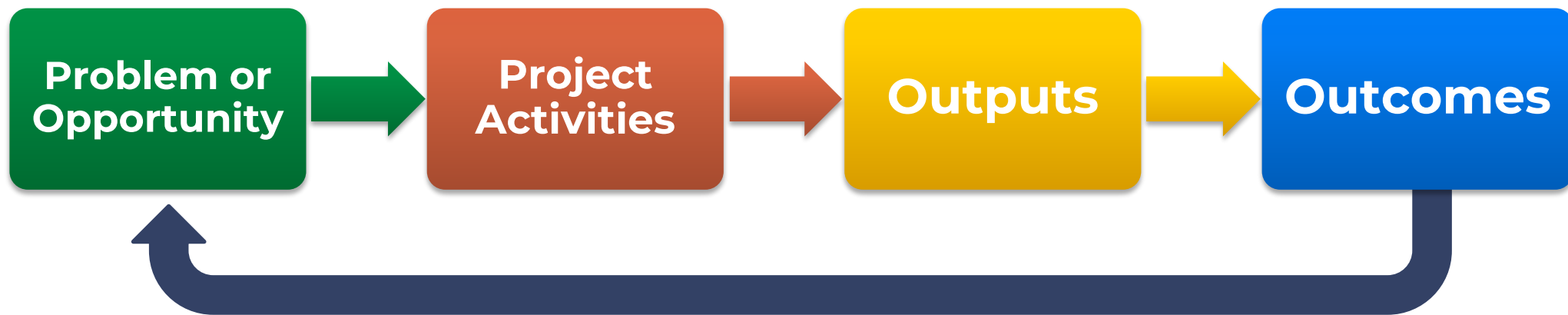
- Attach **maps, diagrams, floorplans, flowcharts**, etc. to visually convey project scope.
- Describe any plans for transfer of ownership/responsibilities once the project has been completed.



Strategic Rationale

Strategic Rationale and Project Benefits

- What is the **problem** to be solved or **opportunity** to capitalize on?
- How will your project address the problem or opportunity?
- What are the expected outputs and outcomes of your project, and how do they tie back to the problem or opportunity?
- Provide **letters of demand** from businesses or other stakeholders.



Additional questions to help shape your strategic rationale:

- Most practical, cost-effective, and beneficial way to achieve desired results when compared to alternatives. **Why?**
- Will the project achieve 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.
- Is this project the **first phase** of a larger project or program? Explain the long-term vision.
- **Other benefits** likely to result from the project.

Letters of Support

Include letters of support that show demand or demonstrate potential impact.

These letters can be cited in the writing of the Strategic Rationale portion and then provided as attachments.

***Do not use templates or form letters!** They tell us nothing about how stakeholders will be impacted by the project.

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

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

Sincerely,

Collaborative Partnerships

ARC and its state partners place a high value on projects that cultivate partnerships and make connections within and among various community stakeholders.

Collaborative Partnerships

- 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 resources or to undertake specific activities in support of the project.

Project Sustainability and Organizational Capacity

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

- What is your organization's experience with **similar activities**?
- What is your experience with **federal awards**?
- What are the **qualifications** of those who are involved with the project? Resumes are great.
- What is your long-term plan to sustain the program?
- Who will be responsible for **maintaining** the assets / property post-construction?

Performance Measures

Performance Measures

- All projects must have documented **output and outcome** performance measures.
- **Why measures?** They show the benefits of ARC's investment.
- Performance measure figures are:
 - **Estimated** at time of application
 - **Verified** at project closeout
 - **Reported** annually to Congress
- More to come on performance measures this afternoon

Morning Break

Shark Tank Exercise

Budget, Match, and Supporting Materials

Budget Components

Construction

- 424C Budget Form
- Budget Narrative
- Detailed architect / engineer budget
- Match Commitment Letters
- Basic Agency (BA) Letter

Non-Construction

- 424A Budget Form
- Budget Narrative
- Detailed budget
- Match Commitment Letters

SF-424A (Non-Construction Budget Form)



Appalachian
Regional
Commission

BUDGET INFORMATION - Non-Construction Programs

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

SECTION A - BUDGET SUMMARY

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

Grant Program:
ARC

Catalog of Federal
Domestic
Assistance
Number 23.002

Federal (ARC) and
Non-Federal
(Match) funds
entered under
"Estimated
Unobligated
Funds" section



Appalachian
Regional
Commission

Indirect costs
must be
included.

Program
Income:
uncommon-
ordinarily
deducted
from award;
can be
counted
towards
match with
prior
approval
from ARC

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	ARC	Match		Total Budget	
a. Personnel	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
b. Fringe Benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Travel	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Supplies	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Contractual	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Construction	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Other	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Total Direct Charges (sum of 6a-6h)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
j. Indirect Charges	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	\$ <input type="text"/>
k. TOTALS (sum of 6i and 6j)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Program Income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>



Appalachian
Regional
Commission

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8. Match Funding Source #1	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9. Match Funding Source #2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
11.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
12. TOTAL (sum of lines 8-11)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

Insert matching funds into Section C



Appalachian
Regional
Commission

Section D
List forecasted
funding needs
by quarter, for
the FIRST
YEAR broken
out by ARC
funds (line 13)
and match
(line 14)

Section E
(Optional)
List ARC
funding needs
for each 12-
month period
of the grant

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ ARC	\$	\$	\$	\$
14. Non-Federal	\$ Match				
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. OPTIONAL	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:	OPTIONAL		22. Indirect Charges:		
23. Remarks:					

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Prescribed by OMB (Circular A-102) Page 2

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

View Burden Statement

BUDGET INFORMATION - Non-Construction Programs

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

SECTION A - BUDGET SUMMARY

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

SECTION B - BUDGET CATEGORIES

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

SECTION C - NON-FEDERAL RESOURCES

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

SECTION D - FORECASTED CASH NEEDS

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

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

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

SECTION F - OTHER BUDGET INFORMATION

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

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

SF-424C (Construction Budget Form)

Construction Budget Form (SF-424C)

BUDGET INFORMATION - Construction Programs			
NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.			
COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
2. Land, structures, rights-of-way, appraisals, etc.	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
3. Relocation expenses and payments	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
4. Architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
5. Other architectural and engineering fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
6. Project inspection fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
7. Site work	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
8. Demolition and removal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9. Construction	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
10. Equipment	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
11. Miscellaneous	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
12. SUBTOTAL (sum of lines 1-11)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
13. Contingencies	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
14. SUBTOTAL	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
15. Project (program) income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
FEDERAL FUNDING			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X <input type="text"/> %		\$ <input type="text"/>

Construction Budget Form (SF-424C)

- Break out construction costs – site work, demo, equipment, etc.
- Don't forget to include applicable **soft costs**:
 - Admin/Legal
 - Design & Engineering
 - Inspection Fees
- **Contingencies** – currently recommend 10-30%
- Recommend excluding property acquisition from scope of ARC project whenever possible
- Figures on form must match **detailed arch/engineer budget**

Budget Narrative

Budget Narrative (Non-Construction)

- Provide written context for how expenditures align with project scope.
 - ✓ Details on Personnel & Fringe Benefits, Contractual expenses
 - ✓ Purpose of Travel
 - ✓ Itemize Supplies and Equipment
 - ✓ Include information on procurement policy and procedures
 - ✓ Itemize “Other” budget line items. No “Miscellaneous items” or “Etc.”
 - ✓ Include subtotals for each category
- Figures **must align with SF-424A**
- Prepare in Excel or other budgeting software
- **[Template on ARC’s website](#)**

Required - Budget Narrative for Non-Construction ARC Application

Grantee Name: Hopeful ARC Applicant

Project Title: We Make a Difference In Appalachia

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	ARC	COST-SHARE (matching funds)		TOTAL
PERSONNEL		Cash	In-Kind	
Personnel I: Position Title, # of individuals with this title				
Project Manager – Brian Jones, BITC Director – Cash contribution from Bradley University .30 FTE for project management, coordination with project partners, and direct technical assistance to small and medium-sized companies		\$ 34,715.00		\$ 34,715.00
Personnel II: Position Title, # of individuals with this title				
Trade Specialist – Cynthia Turner at .50 FTE for company in-depth and short-term technical assistance program component.	\$ 25,360.00			\$ 25,360.00
Personnel III: Position Title, # of individuals with this title				
Accountant II – Amber Simmons – Cash contribution from Bradley University of .05 FTE for work to monitor project expenditures, compliance, and reporting		\$ 2,450.00		\$ 2,450.00
Fringe Benefits				
21% Fringe benefit rate; calculated from employee rate of pay. Includes employee leave, insurance as stated in employee manual.	\$ 13,130.00			\$ 13,130.00
Total Personnel Cost	\$			\$ 75,655.00

Required - Budget Narrative for Non-Construction ARC Application

Grantee Name: Hopeful ARC Applicant

Project Title: We Make a Difference In Appalachia

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.	<i>Please make sure to break out costs by ARC & matching columns</i>			
COST CATEGORY	ARC	COST-SHARE (matching funds)		TOTAL
PERSONNEL		Cash	In-Kind	
Travel				
Travel for 2 staff members to attend regional planning meetings, 2x year. Assumes per diem of \$45/day, lodging of \$100/night, and .49 mile (per state rate) for 75 mile round trip. Travel cost per trip = \$417	\$ 834.00			\$ 834.00
Equipment				
Hybrid EV Trainer (unit cost = \$51,500) x 2	\$ 51,500.00	\$ 51,500.00		\$ 103,000.00
Hydraulic Training Panel (unit cost = \$15,058) x 3	\$ 45,174.00			\$ 45,174.00
Supplies				
Computer lab tables (unit cost = \$650) x 2	\$ 1,300.00			\$ 1,300.00
Computer lab chairs (unit cost = \$250) x 4	\$ 1,000.00			\$ 1,000.00
Computers for student workspaces (unit cost = \$1500) x 10	\$ 15,000.00			\$ 15,000.00
Contractual				
Contract with Quick Transportation Company (transport students to internship site)		\$ 8,000.00		\$ 8,000.00
Other				
Subgrant to Chapman Training Academy	\$ 15,000.00			\$ 15,000.00
Indirect Costs				
University uses a 30% indirect rate. Will apply 10% to ARC funds, with remaining 20% applied as inkind cost share. See attached negotiated indirect cost rate agreement with DOE for additional details.	\$ 11,680.00		\$ 23,357.00	\$ 35,037.00
Total Operations Cost	\$			224,345.00

TOTAL PROJECT COST	\$ 300,000.00
---------------------------	----------------------

Indirect Costs

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

Budget Narrative (Construction)

- Written explanation of expenditures and how they align with scope. Explain any **miscellaneous costs**.
- Must attach **detailed engineer / architect budget**
- Separate costs in construction budget categories (demo, site work, plumbing, electrical, HVAC, etc.)
- Line items must be broken out by **quantities and unit costs**
- Figures must **align with SF-424C**

ITEM	DESCRIPTION	QUANTITY	UNIT	UNIT COST	TOTAL COST
WASTEWATER IMPROVEMENTS					
Ditty Road Gravity Sewer					
1	8" SDR 35 PVC Gravity Sewer (0-6')	2,280	LF	\$ 100.00	\$ 228,000.00
2	8" SDR 35 PVC Gravity Sewer (6'-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

Budget Narrative – Match Requirements

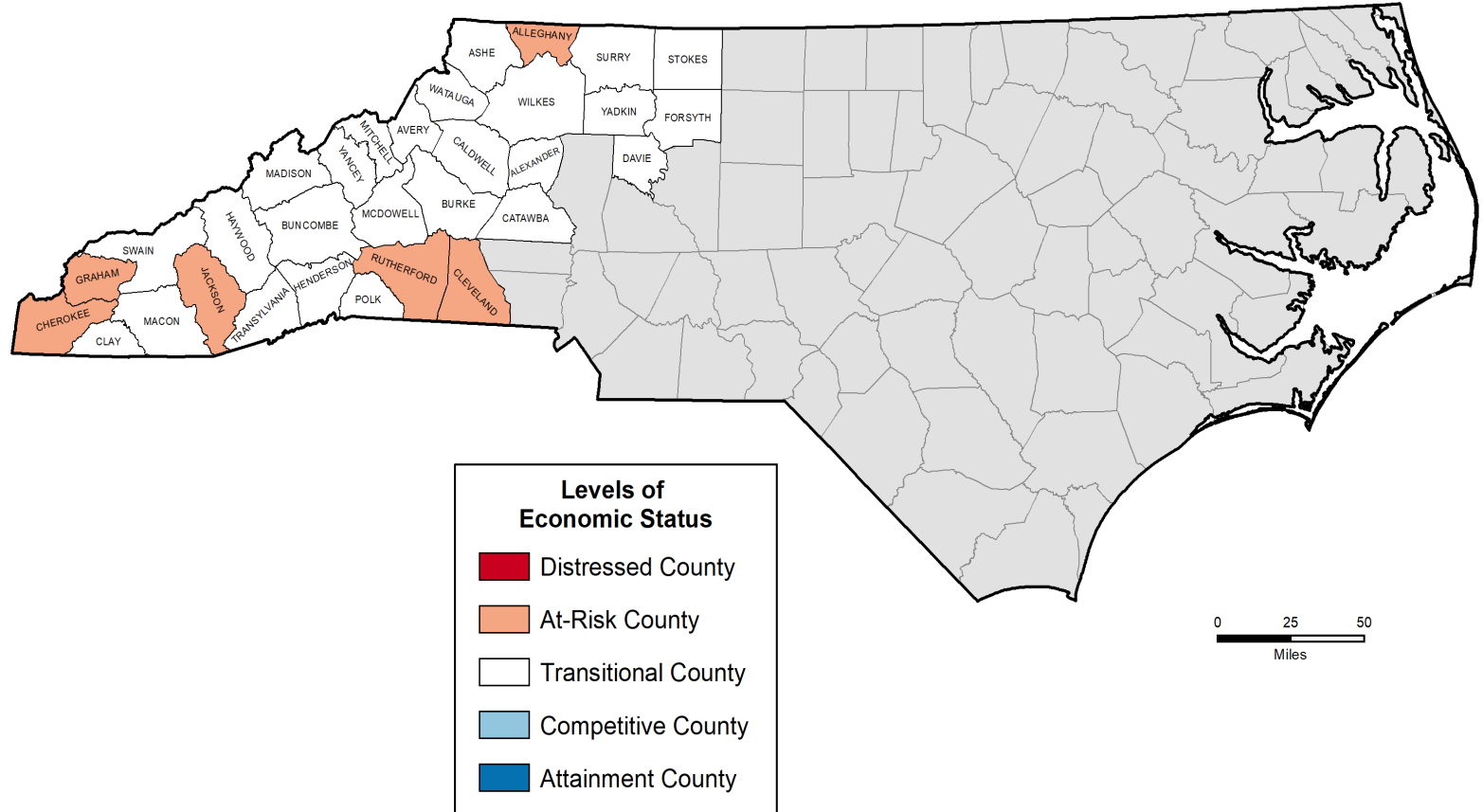
- Provide description of match sources, amount, and status/timing
- In-kind match – include an explanation of how the value was determined.

Funding Source	Type	Source	Status	Amount
ARC	Cash	Federal	Pending	\$250,000
NC DEQ	Cash	State	Pending	\$240,000
Town of Grantsville	In-Kind	Local	Committed	\$10,000
2 Town employees @ 200 hours @ \$25/hour performing XYZ tasks.				
			Total	\$500,00

Match Requirements

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

County Economic Status in Appalachian North Carolina, Fiscal Year 2024



What Does ARC Count as Match?

Funds or resources contributed to the project outside of ARC. **All ARC projects require match.**

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

Calculating Match for Multi-County Projects

For projects with at least one distressed county:

- a. If at least half the counties are distressed, the project may be funded at up to **80%** of project costs
- b. If at least half the counties are some combination of distressed and at-risk, ARC can fund up to **70%** of project costs*
- c. If fewer than half the counties are distressed/at-risk, ARC can fund up to **50%** of project costs*

*or the average percentage applicable to the various counties in the project (whichever is higher)

Calculating Match for Multi-County Projects

For projects with no distressed counties:

- a. If at least half the counties are at-risk and there are no competitive or attainment counties involved, ARC can fund up to **70%** of project costs
- b. All other projects must be funded at the **average percentage** applicable to the counties comprising the project

*Note: for projects that involve 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

Match Commitment Letters

Match Commitment Letters

- All match **must be documented** via a commitment letter from the match source
- Must be 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, copy of MAI appraisal is required

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

Basic Agency Letter (Construction Projects)

Basic Agency Letter (Construction)

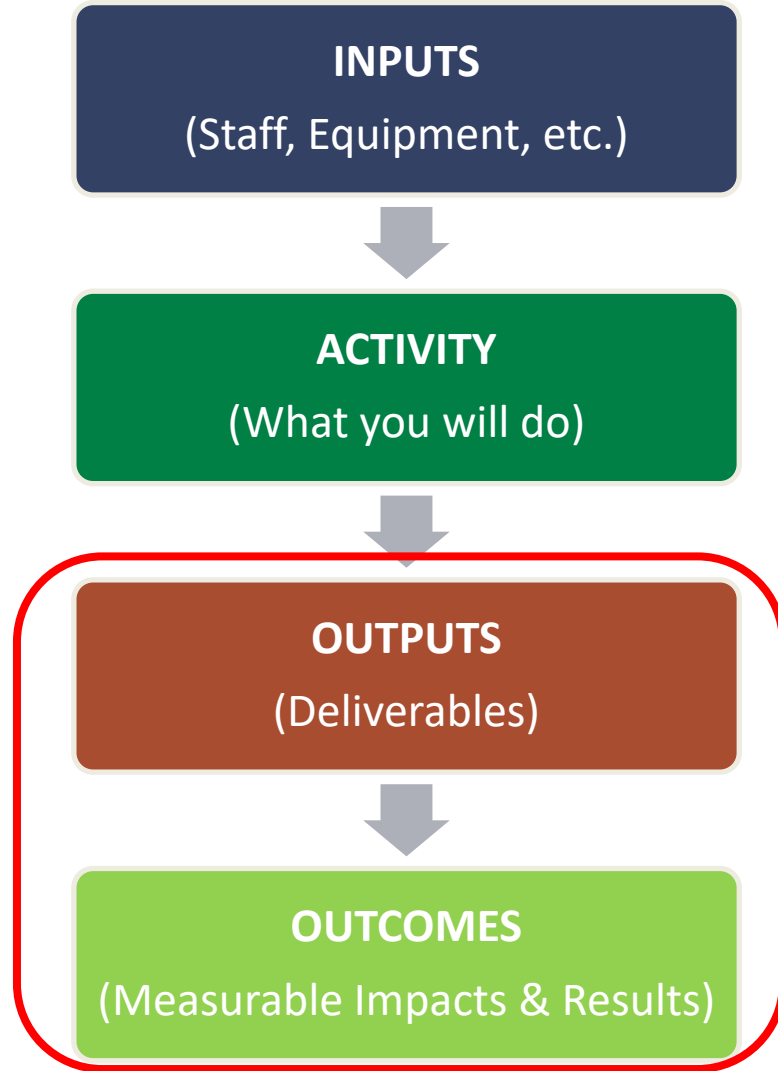
- Construction projects cannot be administered by ARC post-award. Must be administered by a **Basic Agency (BA)**
- ARC has agreements with **NC DOC** and several Federal agencies (**USDA RD, EDA, HUD**, etc.) to serve as the BA
- Must provide a letter from agency verifying their commitment to administer the project (**BA Letter**)
- BAs often require a review of the budget / other materials before agreeing to administer

Lunch Break

Performance Measures Deep Dive

ARC Performance Measure Guidance

- ARC projects must have at least one **output** and one **outcome**.
- ARC documents measures at grant open (estimated), at project close (actual), and up to 3 years after closeout.
- Measures are either **paired** or **stand-alone**. Most projects use both.



Performance Measures should be **SMART**:

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

Paired Measures

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

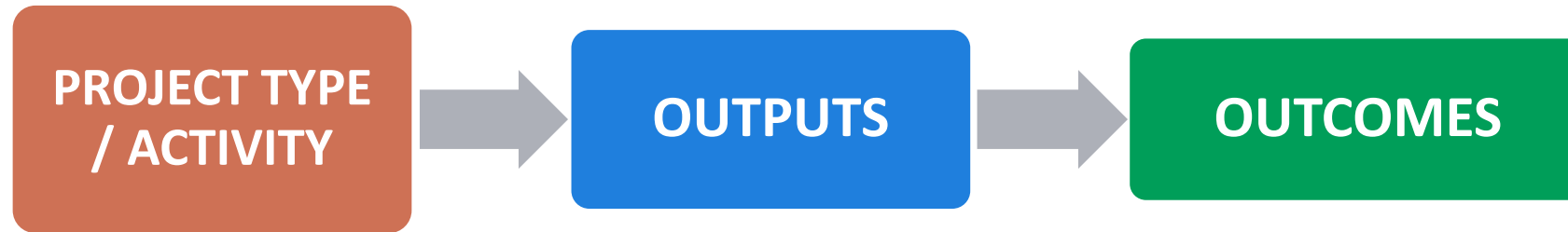
OUTPUTS	OUTCOMES
Businesses Served	Businesses Improved
Communities Served	Communities Improved
Households Served	Households Improved
Organizations Served	Organizations Improved
Participants Served	Participants Improved
Patients Served	Patients Improved
Students Served	Students Improved
Workers / Trainees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

Stand-Alone Measures

Common stand-alone outputs and outcomes:

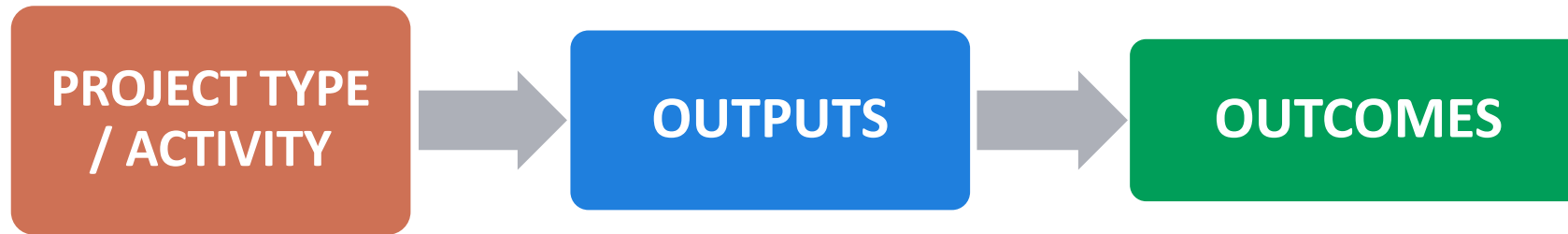
OUTPUTS	OUTCOMES
Access road miles	Programs implemented
Acres	Businesses created
Data - Mbps	Revenues increased
Linear feet (water, sewer, fiber, trail, etc.)	Jobs created*
Square feet	Jobs retained*
Million gallons / Million gallons per day	Leveraged Private Investment (LPI)*
New visitors (days / overnights)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

Sample Measures by Project Type



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

Sample Measures by Project Type



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

Water/Sewer Guidance

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

Tourism Guidance

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

Students vs. Workers/Trainees vs. Participants

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

Paired Measures – Served vs. Improved

What does “served” typically mean?

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

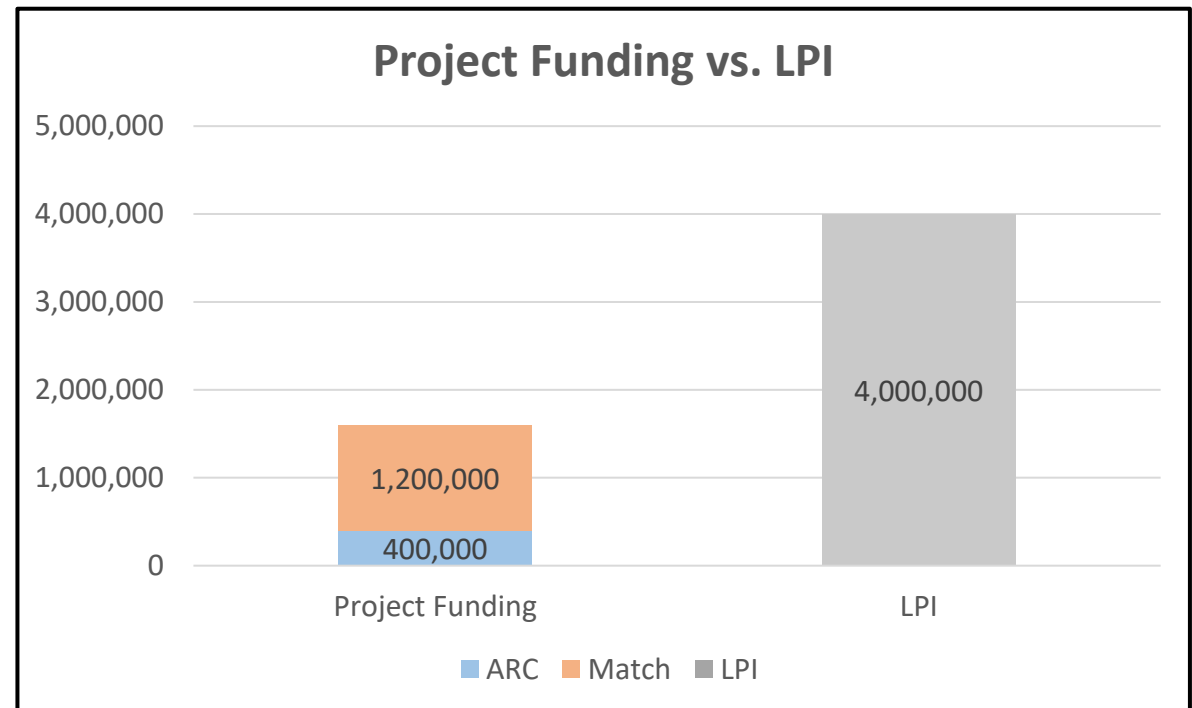
Paired Measures – Served vs. Improved

What does “improved” typically mean?

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

Leveraged Private Investment

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



Performance Measures Examples

Incomplete:

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

Better:

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

Performance Measures Examples

Incomplete:

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

Better:

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

Performance Measures Examples

Incomplete:

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

Better:

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

Performance Measures: Key Takeaways

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

6) Impact Measures

The output of this project is the design, project construction and inspection for the rehabilitation and expansion of the water and wastewater systems of Baxter. The installation of 3,100 feet of eight (8) inch gravity sewer will take place along the Ditty Road right-of-way from the Olan Maxwell Road Pump Station to the Portobello America site. The replacement of 4,250 feet of an eight (8) inch water line with a twelve (12) inch water line along Old Baxter Road and Ditty Road to the Portobello America site. The installation of a pump station and activation of a wet well at the Olan Maxwell Pump Station. The replacement of a four (4) inch force main with eight-five (85) feet of six (6) inch force main.

One of the outcomes of this project is the reduction of probability of system failure. Disruption of sewer service not only poses a threat to the environment and health of local residents and businesses, it also puts Baxter at risk of being unable to entice new industry to Putnam County and losing existing industries and commercial development due to a lack of sustainable sewer service. In addition to reliable sewer service, the improvements to the water and sewer system gives Baxter the ability to expand pump capacity which will increase its service area.

Another outcome of this project is to overcome one of the remaining obstacles standing in the way of the successful development of the southern Baxter corporate limits. The expected outcome is the added capacity and reliability of a water and sewer system that can attract high quality jobs and private capital investment. The success of this project can be measured by the number of industries that locate in Baxter south of Interstate 40, new jobs created, capital investment, and average wages including Portobello America which will add approximately 220 high wage jobs and over 150 million dollars in capital investments. Over 375,000 people live within a 40 mile radius of the site, including three (3) distressed counties (Jackson, Fentress and Clay) and three (3) at-risk county (Overton, Van Buren and Warren). Per capita income and median earnings can be measured within this radius to determine the success of the project.

This example of the Performance Measures portion of a Project Narrative was pulled from the recently approved application of a Tennessee-based, construction Area Development project that focuses on water and wastewater system improvements

Guide to ARC Project Performance Measures

ARC is launching new guidance materials for Performance Measures:

<https://www.arc.gov/test-performance-measures/>



The screenshot shows a web page with a white background and a blue header. On the left is a navigation menu with the ARC logo and several menu items. The main content area features a large blue title and a yellow disclaimer box. Below the disclaimer is a paragraph of text. At the bottom right of the page is the ARC logo.

Home / DRAFT: Guide to ARC Project Performance Measures

DRAFT: Guide to ARC Project Performance Measures

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Once you have reviewed the guide, we'd love to hear from you! Please take a moment to provide us with feedback on the new guide at www.arc.gov/survey. The survey will give you the opportunity to provide feedback on the overall ease and usefulness of the guide, any errors you see, questions you have that are not addressed in the guidance, and any additional feedback you have for us as we work on finalizing the guidance. Thank you!

All ARC projects must have documented performance measures. **Projected measures** are included in project applications and **actual measures** are reported in interim and closeout reports. For detailed information about measuring grant performance for your project type, click the link for your project type in the list below.

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General Tips

- Prioritize quality over quantity when choosing performance measures for your project. It is far better to identify a few measures that are logical, realistic, and easily documented than to identify as many measures as possible, set aspirational performance targets, or have no practical way of tracking and documenting performance outcomes.
- Think about how you will demonstrate each measure; be prepared to track and report these measures over the course of your project during grant implementation, potentially during an audit, and up to three years after your grant has closed. Grantees are encouraged to inform your beneficiaries or clients that any data they provide to you (e.g., leveraged private investment, jobs created, jobs retained, workers/trainees improved, etc.) will be requested on a regular basis.
- For the paired measures, a grant applicant and ARC project coordinator must agree on what constitutes measurable improvement, and methods for measuring the degree of improvement must be provided. The **improved** number is always a subset of, or the same as, the **served** number.

Frequently Asked Questions

[FAQ Document](#)



Appalachian
Regional
Commission

ARC Performance Measures Frequently Asked Questions (Pilot Version)

Q Will I be penalized if my project is unable to meet the performance measure projections listed in my application?

A No. The purpose of including measures in an application is to understand the project scope and potential for impact. Grantees report on progress with the measures throughout the life of the grant, at grant close, and up to three years after grant closeout to help ARC understand the impact of our grants. Unmet projections do not result in any penalty; your ARC project coordinator will work with you to understand why the projected measures were not realized.

Q If Leveraged Private Investment (LPI) is a measure that I plan to include and support with the required documentation, can I use it toward my required match amount?

A No. LPI is generated during and after the project and shouldn't be confused with private funding to pay for a project.

There is one exception. The POWER grant program requires a 3:1 capital raise for access to capital projects, meaning that for every ARC dollar, the grantee will show \$3 in private investment. The POWER capital raise counts toward the grantee's match.



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Performance Measures by Project Type

Click [here](#) for a full index of measures.

**Individual performance
measure guides are
organized by Project Type**

Broadband

Business Development

Business/Industrial Site Development

Downtown Revitalization and Tourism

Education, Training, and Workforce Development

Energy, Utilities, and Smart Grid

Health and Substance Use Disorder

Guide to ARC Project Performance Measures – Water and Sewer Projects (Pilot Version)

Standalone Measures

<i>Costs reduced</i> <i>Outcome</i>	
Definition	The costs reduced as a result of project activities
Example grant activities	Renovating infrastructure to detect or prevent leaks, which reduces treatment costs; replacing a pump station so that one doesn't need to be rented any longer, etc.
How might this be measured?	Estimate of savings based on anticipated reduction of Operations and Maintenance (O&M) costs, expressed in number of dollars
Typical timeframe	One year after grant closeout
Additional guidance	Please provide what was included in the calculation of cost savings

<i>Jobs Created</i> <i>Outcome</i>	
Definition	The number of direct hires, excluding construction jobs, that result from an ARC project
Example grant activities	Installation/construction, renovation, or extension of water and/or sewer lines or increased or renovated storage capacity that is the only factor upon which the creation of new jobs hinges
How might this be measured?	Confirmation of number of jobs created. Documentation required at project start counts as acceptable evidence for approval
Typical timeframe	Up to 3 years after grant closeout
Required Documentation	Must have a letter from firm(s) that state(s) the number of FTE jobs created and identifies the project-related infrastructure as the sole reason for the jobs created

Paired Measures

	<i>Businesses served</i> <i>Output</i>	<i>Businesses improved</i> <i>Outcome</i>
Definition	The number of businesses (i.e., any non-residential customers) served or impacted by an ARC project	The number of businesses (i.e., any non-residential customers) with a measurable improvement as a result of an ARC project
Example grant activities	Extending or replacing water and/or sewer lines, upgrading water lines to provide adequate fire suppression capacity, building or replacing a water tank, increasing water reservoir capacity, tapping a new source for water	
How might this be measured?	Number of non-residential customers--that receive access	Number of non-residential customers--that hook up
Typical timeframe	By grant closeout	Up to 3 years after grant closeout

	<i>Communities served</i> <i>Output</i>	<i>Communities improved</i> <i>Outcome</i>
Definition	Number of communities that are reached when an infrastructure improvement is implemented	Number of communities that benefit when an infrastructure improvement is implemented
Example grant activities	Improvements to water or wastewater treatment systems (quality and or capacity) that support an entire community or number of communities	
How might this be measured?	PER (Preliminary Engineering Report)	PER
Typical timeframe	By grant closeout	Up to 3 years after grant closeout
Additional guidance	This measure can be used if the project is a system-wide improvement in which all residential and non-residential customers are served and/or improved.	

Do you find the new
guidance helpful?
How can we make it
better?

We want to hear
from you!

[http://www.arc.gov/
survey](http://www.arc.gov/survey)

DRAFT: Guide to ARC Project Performance Measures

DISCLAIMER: Welcome to our *Guide to ARC Project Performance Measures* test page. This page is currently a **draft** and is being used for testing purposes only. This web page will likely go live in **October 2023**. If you have any questions, please reach out to us at TA@arc.gov.

Once you have reviewed the guide, we'd love to hear from you! Please take a moment to provide us with feedback on the new guide at www.arc.gov/survey. The survey will give you the opportunity to provide feedback on the overall ease and usefulness of the guide, any errors you see, questions you have that are not addressed in the guidance, and any additional feedback you have for us as we work on finalizing the guidance. Thank you!

All ARC projects must have documented performance measures. **Projected measures** are included in project applications and **actual measures** are reported in interim and closeout reports. For detailed information about measuring grant performance for your project type, click the link for your project type in the list below.

The background of the slide is a scenic photograph of a rural landscape. It features rolling green hills and valleys covered in dense forests. In the foreground, there are patches of green fields, some trees, and a few small buildings or houses. The sky is bright blue with scattered white clouds. A large blue semi-circular graphic element is overlaid on the bottom right of the image, containing the title text.

Introduction to Grant Regulations

2 CFR Part 200 (“Uniform Guidance”) Federal Grant Terminology

Federal Awarding Agency – the Federal agency that provides a Federal award directly to a non-Federal entity

Non-Federal Entity (NFE) – a State, local government, Indian tribe, Institution of Higher Education (IHE), or nonprofit organization that carries out a Federal award as a recipient or subrecipient

Pass-through Entity – a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program

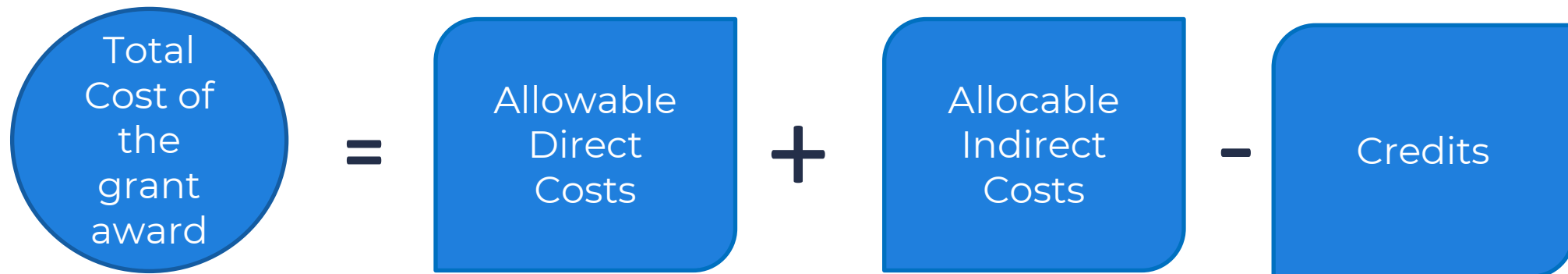
Subrecipient – an entity...that receives a subaward from a pass-through entity to carry out part of a Federal award

See 2 CFR 200.1 "Definitions"

Allowable Costs

What's an allowable cost?

A cost that can be funded by the grant award.



2 CFR 200.402

Determination of **allowability** in each case **should be** based on the principles described in **2 CFR 200.402-411**

How to determine if a cost is allowable

2 CFR 200.403

Allowable
for the
performance
of the
grant awarded

Reasonable
and necessary
for the
performance
of the
grant awarded

Allocable
to the grant

Reasonable?

2 CFR 200.404

What a **prudent person** under the **prevailing circumstances**
at the time of the decision would have done

Allocable?

2 CFR 200.405

Goods or services are **chargeable or assignable** to the grant award in accordance with **relative benefit received**.

- X Lobbying costs
- X No telecommunication/video equipment or services by certain foreign entities (200.216)
Huawei & ZTE Corp
- X Contributions and donations from the NFE to other entities
- X In general, entertainment, including amusement, diversion, and social activities
- X Cost of goods & services for personal use of the NFE's employees
- X Cost of advertising & public relations designed solely to promote the NFE
- X Cost of promotional items & memorabilia, including models, gifts, and souvenirs

****Payments made for unallowable costs must be refunded to the Federal Government. 2 CFR 200.410**

Examples of Unallowable Costs

Procurement

General Procurement Standards

Full and Open Competition...

Procurement of
property and services

See details at:

2 C.F.R. 200.317-.327

Non-Federal Entities

- Have & use documented procurement policies & procedures (maintain procurement history records)
- Oversight to ensure contractors' performance and compliance
- Written conflict of interest standards
- Award contracts only to responsible contractors with the ability to perform

Details at: 2 C.F.R. 200.318

States

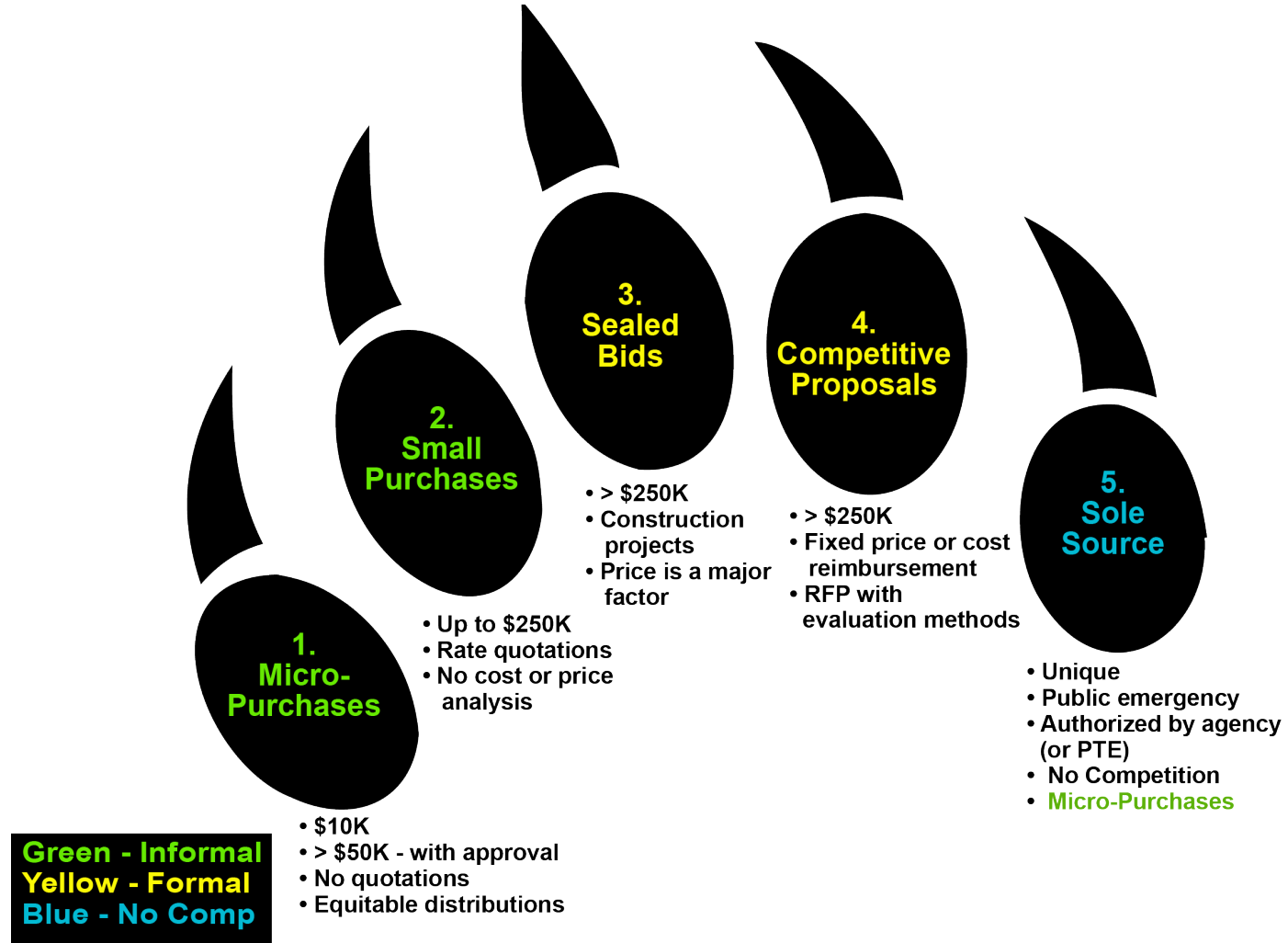
Same policies and procedures used for procurements from its non-Federal funds.

- + Small, minority & women's enterprises & labor surplus
- + Domestic preferences
- + Recovered materials
- + Appendix II

Details at: 2 C.F.R. 200.317

Procurement Methods

Procurement "Claw" (Section 200.320)



Competition – Procurement Requirements

2 CFR 200.319

Procurements must:

- Prohibit the use of state, local or tribal geographic preferences in evaluations.
- Be conducted in accordance with written procurement procedures requiring solicitations to:
 - **Contain clear and accurate technical requirements** (not unduly restrictive of competition)
 - **Identify all the requirements offerors must fulfill** and any other factors in evaluating the bids or proposals.

Prequalified lists of persons, firms or products are OK - must be current and include enough qualified sources to ensure max free and open competition. But can't preclude potential bidders from qualifying during solicitation.

Competition – Procurement Requirements

2 CFR 200.319

“Some of the situations considered to be restrictive of competition include but are not limited to:

1. Placing unreasonable requirements on firms in order for them to qualify to do business;
2. Requiring unnecessary experience and excessive bonding;
3. Noncompetitive pricing practices between firms or between affiliated companies;
4. Noncompetitive contracts to consultants that are on retainer contracts;
5. Organizational conflicts of interest;
6. Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and
7. Any arbitrary action in the procurement process.”

“[C]ontractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements.”

Conflicts of Interest

2 CFR 200.318 (c)

Employees, officers, agents of NFE may not participate in the selection, award, or administration of a contract supported by a Federal award if real or apparent conflict of interest.

Conflict of interest situations:

1. Employee, officer, or agent or any member of immediate family, partner or employing organization has financial or other interest in or a tangible personal benefit from a firm considered for a contract.
2. Cannot solicit nor accept gratuities, favors or anything of monetary value from contractors or subcontracting parties.
 - Financial interests can be not substantial and gifts can be nominal (written standards).
 - NFE must have written conflict of interest standards covering employees, officers and agents, as well as parents, affiliates or subsidiary organizations (non-governmental).

Conflicts of Interest

ARC Code 8.3

The provisions of the ARC Code are incorporated into grant agreements.

ARC Code 8.3 also addresses conflict of interest (applicants should be sure to review on our website):

“In the use of ARC grant funds, officials or employees of grantees or subgrantees shall avoid any action that might result in, or create the appearance of:

- 1. using official position for private gain;*
- 2. giving preferential treatment to any person;*
- 3. losing complete independence or impartiality;*
- 4. making an official decision outside official channels; or*
- 5. affecting adversely the confidence of the public in the integrity of the government or the program.”*

Domestic Preference in Procurement (including BABA)

Domestic Preferences for Procurement

2 CFR 200.322

- NFE **should** prefer materials **produced in the USA** when:
 - Purchasing
 - Acquiring
 - Using
 - Goods
 - Products
 - Materials
- Domestic preference is to **the maximum extent practicable** under the Federal award.

Domestic Preferences for Procurement

2 CFR 200.322

- This domestic preference is **not limited to** iron, aluminum, steel, cement, and other manufactured products.
- This domestic preference requirement **must be included in subawards**, including:
 - All contracts
 - Purchase orders for work or products under the award

Domestic Preferences for Procurement

2 CFR 200.322

What does “produced in USA” mean?

For iron and steel products =

All manufacturing processes (melting through application of coatings) occurring in USA

What does “manufactured product” mean?

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

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

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

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

Applicability of the Buy America Preference

- Applies to **all Federal financial assistance** – whether or not funded through the IIJA- where funds are appropriated or otherwise made available and used **for a project for infrastructure**.
- Applies to the **entire project**, even if it is funded by both Federal and non-Federal funds under one or more awards.
- Applies to an award for as infrastructure project **regardless of whether infrastructure is the primary purpose** of the award.

Applicability of the Buy America Preference

- Only applies to articles, materials, and supplies that are **consumed in, incorporated into, or affixed to** an infrastructure project.
- **Does not apply to non-infrastructure spending** under an award that includes a covered project.
- A **project** for Buy America preference purposes **includes the construction, alteration, maintenance, or repair** of infrastructure.
- **Subrecipients also have to comply** with the terms and conditions of the ARC award from which the funds flow.

What's Infrastructure?

Encompasses public infrastructure projects (function test)

Structures

Facilities

Equipment

For

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

ARC Guidelines Implementing the Buy America Preference

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

ARC Buy America Preference Principles

- Applies to infrastructure projects, whether or not the primary purpose of the grant awarded is for infrastructure.
 - Project = any activity related to the construction, alteration, maintenance, or repair of infrastructure
- ARC sponsored construction projects administered by a Federal Basic Agency will follow the policies and procedures of the Federal Agency for Buy American waivers.
- ARC sponsored construction projects administered by a Registered State Basic Agency that follows the policies and procedures of a Federal agency in administering an ARC grant will follow the policies and procedures for Buy America waivers as determined by said Federal agency.

ARC Buy America Preference Principles

- Whenever a construction project is co-funded by a Federal agency and ARC, the grantee and subgrantee will follow the processes and procedures for Buy America waivers of the Federal agency.
- In the event that two or more Federal agencies participate in funding an infrastructure project, the grantee or subgrantee will follow the policies and procedures for Buy America of the Federal agency with the highest contribution of funds to the project.

3 Types of Buy America Preference Waivers

3 Types of Buy America Preference Waivers

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

What's next...

What's next

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

Subrecipient vs. Contractor

Distinction Between Subawards and Contracts

Subaward, 2 CFR 200.1

- Award to subrecipient to carry out part of a federal award
- *A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.*
- See 2 CFR 200.332 for requirements for pass-through entities.

Contract, 2 CFR 200.1

- Legal instrument by which a non-federal entity purchases property or services to carry out a project or program
- *When the substance of the transaction meets the definition of an award or subaward, it's not a contract, regardless of what it's called.*
- See 2 CFR 200.317-327 for procurement standards.

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.

Subrecipients

- Requirements in the Uniform Guidance flow down to subrecipients. See *200.101 (b) (2)*.
- Pass-through entities must monitor the subrecipient's performance and compliance. *200.332*

Pass-Through Entity's Monitoring Responsibilities

2 CFR 200.332

- Providing federal award/subaward information
- Imposing compliance requirements and terms and conditions
- Perform a subrecipient risk assessment
- Monitor the subrecipient's activities to ensure compliance and ensure performance goals are met
- Providing training and/or site visits may be necessary
- Ensure a single audit is performed when the subrecipient meets the threshold

- Contractors must be chosen in accordance with procurement methods in the Uniform Guidance Subpart D "Procurement Standards".
- Contracts must contain certain provisions specified in the Uniform Guidance Subpart D "Procurement Standards" and in Appendix II of Part 200.
- Grantees may only award contracts to responsible contractors. *200.318 (h)*

Contractors

Property Use and Disposition

Property Standards

Real Property

- **Conditional title.** Title to real property acquired or improved under a Federal award will vest upon acquisition in the non-Federal entity.
- **Use.** Except as otherwise provided by Federal statutes or by the Federal awarding agency, real property will be used for the originally authorized purpose as long as needed for that purpose, during which time the non-Federal entity must not dispose of or encumber its title or other interests. *200.311(a) and (b)*

Equipment

- **Conditional title.** Title to equipment acquired under a Federal award will vest upon acquisition in the non-Federal entity, subject to the following conditions:
 1. Use the equipment for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project.
 2. Not encumber the property without approval of the Federal awarding agency or pass-through entity.
 3. Use and dispose of the property in accordance with paragraphs (b), (c), and (e) of this section. *200.313 (a)*

Property Standards

Equipment Management

Minimum Equipment Management Requirements:

- Property records incl: description of the property; identification number; source of funding (including the FAIN); who holds title; acquisition date; cost of the property; percentage of Federal participation in the project costs; the location, use and condition of the property; and any ultimate disposition data including the date of disposal and sale price of the property
- Physical inventory at least once every two years
- Control system against loss, damage or theft
- Adequate maintenance procedures *200.313 (d)*

Federal Interest

Disposition of Real Property

When no longer needed for original award purpose, NFE must obtain disposition instructions from ARC.

Disposition options:

- NFE retains title
- NFE sells property
- Title transferred to ARC or ARC-approved third party

Federal Interest

Disposition of Equipment

When no longer needed for original award purpose, NFE must obtain disposition instructions from ARC. *Note: For equipment with a current per unit FMV of \leq \$5,000, there is no responsibility to consult ARC on disposition.

Disposition options:

- Retained or sold by the NFE (default option if ARC does not provide instructions within 120 days)
- Title transferred to Fed. Govt or third party

Notice of Federal Interest (NFI)

For non-States, ARC requires a NFI to be filed for real property purchased or improved with ARC funds and for equipment purchased with ARC funds and valued in excess of \$100,000. *ARC Code 8.8, Part II Art. 7 Grant Agreement.* The NFI should be filed in the local jurisdiction.

Federal interest exists regardless of whether an NFI is filed.

Documentation Requirements

Program Income

What is program income?

- **Gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.**
- **Includes but is not limited to:**
 - income from fees for services performed
 - use or rental of real or personal property acquired
 - sale of commodities or items fabricated
 - principal and interest on loans
- *2 CFR 200.1 Definition of “program income”*

What does the grantee agree to?

Grant Agreement (Part II, Art. 12)

Article 12 Grant-Related Income.

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

What does the grantee agree to?

Grants Manual (pg. 14)

POST-CLOSEOUT OBLIGATIONS

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

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

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

- Deduction
- Addition
- Match

Options with Prior Approval

Application Process & Wrap-Up

NC ARC Funding Timeline - FY 2024 Projects

Timeline

- Pre-Application Packet published on-line March 1, 2023.
- Pre-Applications will be due on April 17, 2023.
- Applicants will be invited to submit full applications by July 31, 2023.
- **Application Workshop – June 14, 2023**
- Full Applications will be due on July 31, 2023, by 5:00 p.m.
- Governor's Project Recommendations will be submitted to ARC by October 1, 2023.

*Dates subject to change.

ARC Event Spotlight

ARC 2023 Annual Conference:
September 11-12, 2023 | Ashland, Kentucky

Please visit the ARC website event page for more information: <https://www.arc.gov/event/arc-2023-annual-conference/>

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