

January 19, 2023 North Carolina ARC Project Applications Non-Construction Projects

Pre-Application Webinar

Agenda

- Introductions and Webinar Overview (10 min)
- Application Checklist (40 min)
 - ✓ Required Application Forms
 - ✓ Executive Summary
 - ✓ Project Narrative
 - ✓ Budget Information
 - ✓ Match Requirements and Supporting Materials
- Compliance and Review (5 min)
- Next Steps for Application Review (5 min)

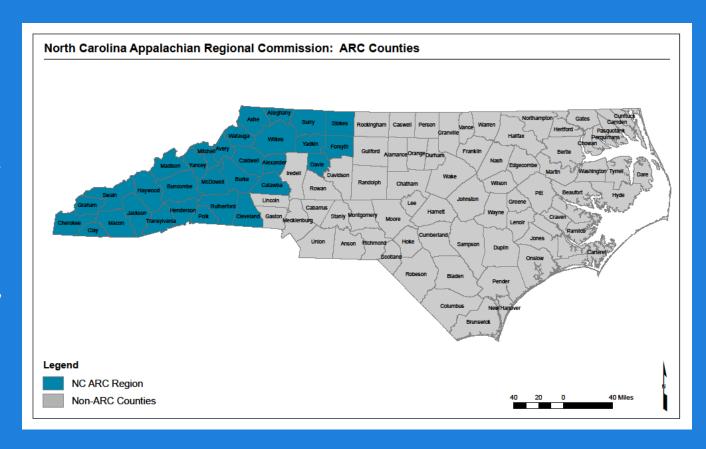


ARC in NC



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

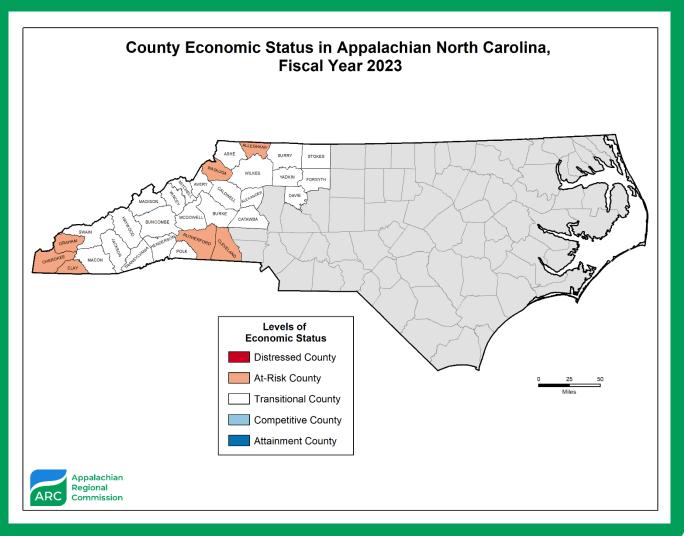




County Economic Status, FY 2023

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 atrisk 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.







NORTH CAROLINA STATE PROFILE | FISCAL YEAR 2021 (OCTOBER 1, 2020-SEPTEMBER 30, 2021)

FISCAL YEAR 2021 INVESTMENT SNAPSHOT





\$8.9M ARC INVESTMENT*

INVESTMENT

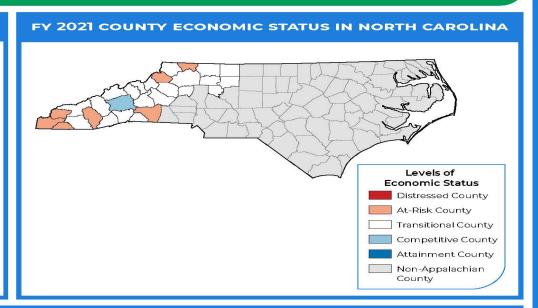
PROJECTS

ADDITIONAL PRIVATE
INVESTMENTS LEVERAGED

JOBS CREATED OR RETAINED

STUDENTS AND WORKERS TRAINED AND EDUCATED

HOUSEHOLDS/BUSINESSES SERVED WITH INFRASTRUCTURE



FISCAL YEAR 2021 INVESTMENT PRIORITIES



invested to increase the education, knowledge, skills, and health of North Carolina's Appalachian residents to work and succeed



CRITICAL INFRASTRUCTURE

invested in North Carolina's critical infrastructure development, including broadband, transportation, and water/wastewater systems



ECONOMIC OPPORTUNITIES

invested in entrepreneurial strategies to strengthen the economy in Appalachian North Carolina



LEADERSHIP & COMMUNITY CAPACITY

invested to build the capacity and skills of Appalachia's current and next-generation leaders and organizations in North Carolina to advance community and economic development

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

APPALACHIAN REGIONAL COMMISSION

LEARN MORE: ARC.GOV/NORTH-CAROLINA

NC ARC Funding Timeline - FY 2023 2nd Round Projects

Timeline

- Pre-Application Packet published on-line October 1, 2022.
- Pre-Applications will be due on November 10, 2022.
- Applicants will be invited to submit full applications by December 16, 2022.
- Application Workshop January 2023
- Full Applications will be due on January 31, 2023 by 5:00 p.m.
- Governor's Project Recommendations will be submitted to ARC by March 1, 2023.

*Dates subject to change.



First Things First:

The Application Checklist



The Non -Construction Project Application Checklist: Your Guide to Creating a Complete Application Package

https://www.arc.gov/resourc e/arc-non-constructionproject-applicationchecklist/





ARC Non-Construction Project Application Checklist

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

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

SECTION 1: Transmittal Letter

SECTION 2: REQUIRED APPLICATION FORMS, Page # ___

Include the required application forms:

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

SECTION 3: EXECUTIVE SUMMARY, Page # _

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

SECTION 4: PROJECT NARRATIVE, Page # ___

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

- 1. Goals and Strategies, Page # ___
- ☐ List the primary ARC goal and the primary ARC objective the project will address (one goal and one objective only). See ARC's 2022-2026 Strategic Plan for a list of ARC goals and objectives.
- ☐ List the primary ARC state strategy the project will address. Consult your state's most recent Strategy Statement and your state's ARC program manager for additional guidance.
- 2. Project Description, Page # ___
- Describe the project's primary purpose, main activities, and expected outcomes.
- ☐ Identify the counties where the proposed project will be based and the counties in the project's entire service area. If the project is not county-wide, identify the census tracts (and economic status, particularly if a Distressed Area) of the project's entire service area. See ARC's County Economic Status tables and map.
- Provide a detailed work plan that includes a description of all major project activities (what will be done and by whom) and timelines for each activity during the course of the project. Include as many details as possible.

1 | Page

Revised October 2022

The Four Pillars of ARC Projects

STRATEGIC

Aligns with community goals & regional plans

IMPACTFUL

Includes specific performance targets

COLLABORATIVE

Cultivates
partnerships and
connects
communities

SUSTAINABLE

Continues beyond the grant period



Four Keys to Writing a Solid Application

Clear

Concise

Comprehensive

Consistent



Section 1: State Transmittal Letter (your state program manager will provide)



Section 2: Required Application Forms

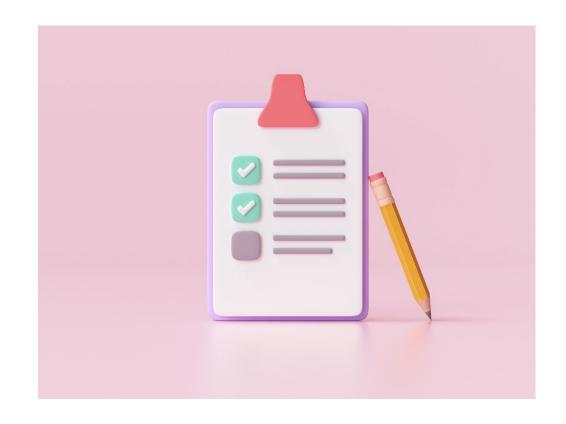


Required Federal Forms:

- Federal Standard Form 424: Application for Federal Assistance
- Federal Standard Form 424A: Budget Information
- Federal Standard Form 424B: Grantee Assurances
- ARC Memorandum of Understanding

www.arc.gov/grant-resources/





Standard Form 424

	Expiration Date: 12/31/2022
Application for Federal Assistance SF-424	
*1. Type of Submission: *2. Type of Applic	cation: * If Revision, select appropriate letter(s):
Preapplication New	
Application Continuation	n *Other (Specify):
Changed/Corrected Application Revision	
*3. Date Received: 4. Applicant Identi	fier:
Completed by Grants.gov upon submission.	
5a. Federal Entity Identifier:	5b. Federal Award Identifier:
State Use Only:	•
6. Date Received by State: 7. State	Application Identifier:
8. APPLICANT INFORMATION:	
* a. Legal Name:	
b. Employer/Taxpayer Identification Number (EIN/TIN):	*c. Organizational DUNS:
d. Address:	
* Street1:	
Street2:	
* City:	
County/Parish:	
* State:	
Province:	
* Country:	USA: UNITED STATES
* Zip / Postal Code:	
e. Organizational Unit:	
Department Name:	Division Name:
f. Name and contact information of person to be conta	octed on matters involving this application:
	* First Name:
Middle Name:	
*Last Name:	
Suffic:	
Title:	
Organizational Affiliation:	
* Telephone Number:	Fax Number:
* Email:	

9. Type of Applicant 1: Select Applicant Type:	
ype of Applicant 2: Select Applicant Type:	
ype of Applicant 3: Select Applicant Type:	
Other (specify):	
10. Name of Federal Agency:	
11. Catalog of Federal Domestic Assistance Number:	
CFDA Title:	
* 12. Funding Opportunity Number:	
Title:	
Title:	
Title:	
Title:	
13. Competition Identification Number:	
13. Competition Identification Number: Title: 14. Areas Affected by Project (Cities, Counties, States, etc.):	
13. Competition Identification Number: Title:	hment
13. Competition Identification Number: Title: 14. Areas Affected by Project (Cities, Counties, States, etc.):	hment
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13. Competition Identification Number: Fide: 14. Areas Affected by Project (Cities, Counties, States, etc.): Add Attachment Delete Attachment View Attachment View Attachment	hment

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	_
*a. Applicant *b. Program/Project	
Attach an additional list of Program/Project Congressional Districts if needed.	
Add Attachment Delete Attachment View Attachment	
17. Proposed Project:	
*a. Start Date: *b. End Date:	
18. Estimated Funding (\$):	
*a. Federal	
*b. Applicant	
*c. State	
*d. Local	
^e. Other	
*f. Program Income	
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
a. This application was made available to the State under the Executive Order 12372 Process for review on b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
c. Program is not covered by E.O. 12372 dot has not deen selected by the State for review.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) Yes No	
If "Yes", provide explanation and attach	
Add Attachment Delete Attachment View Attachment	
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements	
21. "by signing this application, I certify (1) to the statements contained in the list of certifications." and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances." and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may	
subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
subject me to mind, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) ""IAGREE" "The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency	
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subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I AGREE ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. Authorized Representative: Prefix *First Name:	
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subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) *** TAGREE *** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. Authorized Representative: Prefix *First Name: Middle Name: *Last Name:	
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subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) *** TAGREE *** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. Authorized Representative: Frefo: *First Name: *Last Name: Suffo: *Tote: *Telephone Number Fax Number:	
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Make sure to use correct legal name, include all funding sources, have all authorized reps sign, and include email of authorized rep

SF424A – Non-Construction Project Budget Form

Prescribed by OMB Circular A-102

				SECT	10	N A - BUDGET SUM	IM/	ARY				
(Grant Program Function	Catalog of Federal Domestic Assistance		Estimated Und	bl	igated Funds			Ne	ew or Revised Budge	et	
	or Activity (a)	Number (b)		Federal (c)	Γ	Non-Federal (d)		Federal (e)	Γ	Non-Federal (f)	Ι	Total (g)
	. ,	(0)	\$		s		\$	(6)	\$		\$	
1.AR	С		ľ	100,000.00	Ĭ	50,000.00	Ĭ		ľ		Ĭ	150,000.00
2.												0.00
3.												0.00
4.												0.00
5.	Totals		\$	100,000.00	\$	50,000.00	\$	0.00	\$	0.00	\$	150,000.00
		-		SECTIO	N	B - BUDGET CATE			-		-	
6 Ob	ject Class Catego	ories				GRANT PROGRAM, F	UN	CTION OR ACTIVITY			Ι	Total
	,		(1)	ARC	(2		(3))	(4		Ļ	(5)
	a. Personnel		\$	55,000.00	\$	30,000.00	\$		\$		\$	85,000.00
	b. Fringe Benefi	its		15,000.00		5,500.00						20,500.00
	c. Travel			500.00		1,500.00						2,000.00
	d. Equipment			8,000.00								8,000.00
	e. Supplies					3,000.00						3,000.00
	f. Contractual			21,500.00		10,000.00						31,500.00
	g. Construction											0.00
	h. Other											0.00
	i. Total Direct C	harges (sum of 6a-6h)	100,000.00	Ī	50,000.00		0.00	Ī	0.00	Ī	150,000.00
	j. Indirect Charg	es			İ				İ		T	0.00
	k. TOTALS (sur	n of 6i and 6j)	\$	100,000.00	\$	50,000.00	\$	0.00	\$	0.00	\$	150,000.00
					_		_		_	_	-	
7 Pro	ogram Income		\$		\$		\$		\$		\$	0.00

Previous Edition Usable

		SECTION	C - NON-FEDERAL RE	S0	URCES		
(a) Grant Program	١		(b) Applicant		(c) State	(d) Other Sources	(e) TOTALS
3.		\$	\$		\$	\$ 0.00	
9.							0.00
10.							0.00
11.							0.00
12. TOTAL (sum of lines 8-11)			\$ 0.00	\$	0.00	\$ 0.00	\$ 0.00
		SECTION	D - FORECASTED CA	SH	NEEDS		
	To	tal for 1st Year	1st Quarter		2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	0.00	\$	\$		\$	\$
14. Non-Federal		0.00					
15. TOTAL (sum of lines 13 and 14)	\$	0.00	\$ 0.00	\$	0.00	\$ 0.00	\$ 0.00
SECTION E -	BUDGET E	STIMATES OF	FEDERAL FUNDS NEE	DE	D FOR BALANCE	OF THE PROJECT	
(a) Grant Program	1				FUTURE FUNDING	G PERIODS (Years)	
			(b) First		(c) Second	(d) Third	(e) Fourth
16.			\$	\$		\$	\$
17.							

SF424B - Grantee 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.
- 2. 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 (6 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 1984 (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.

- 7. 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. 91-846) 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 purphases.
- 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.

Memorandum of Understanding (MOU)



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

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

Project Name: State:	Federal Agency:
	, owner rigorop.
	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 no 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

Memorandum of Understanding For ARC Projects

Section 3: Executive Summary



Executive Summary

This document serves to guide you through writing a summary for your proposed project. We ask for only the most pertinent information and that you use concise, consolidated language (don't worry, this is only the start – you will have the chance to explain in much greater detail in the narrative portions of your application package ②)

www.arc.gov/grant-resources/





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 Area Development, Distressed Counties Federal 200,000 36% Other Federal Grant State 100,000 18% State Grant Local 100,000 100% (Other Federal Loan, Grantee, etc.)

roject 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).

Section 4: Project Narrative



Project Narrative (suggested length 5-8 pages, please number pages)

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



STRATEGIC

Aligns with community goals & regional plans

Project Narrative

Part 1. ARC Goals/Objectives and State Strategies

- ✓ Identify one ARC Strategic Goal and Objective and one NC State Strategy
- ✓ ARC's Strategic Plan for 2022-2026 may be found on our website, in project guidelines, and in other resource material.
- ✓ The Strategic Plans of Appalachian States may also be accessed on our website or through the office of your State Program Manager.



ARC Strategic Goals 2022-2026



BUILDING APPALACHIAN BUSINESSES: Strengthen and diversify the Region's economy through inclusive economic development strategies and investments in entrepreneurship and business development.



BUILDING APPALACHIA'S WORKFORCE ECOSYSTEM: Expand and strengthen community systems (education, healthcare, housing, childcare, and others) that help Appalachians obtain a job, stay on the job, and advance along a financially sustaining career pathway.



BUILDING APPALACHIA'S INFRASTRUCTURE: Ensure that the residents and businesses of Appalachia have access to reliable, affordable, resilient, and energy efficient utilities and infrastructure in order to successfully live and work in the Region.



BUILDING REGIONAL CULTURE AND TOURISM: Strengthen Appalachia's community and economic development potential by preserving and investing in the Region's local cultural heritage and natural assets.



BUILDING COMMUNITY LEADERS AND CAPACITY: Invest in the capacity of local leaders, organizations, and communities to address local challenges by providing technical assistance and support to access resources, engage partners, identify strategies and tactics, and conduct effective planning and project execution.

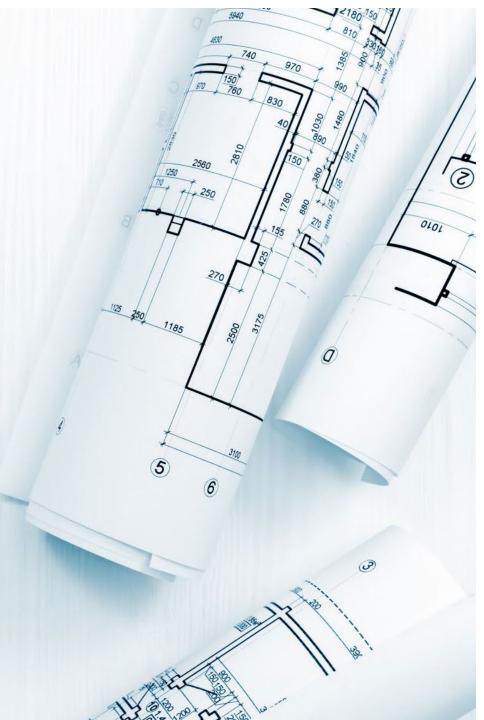
Project Narrative

(Continued)

Part 2. Project Description

Here is your opportunity to promote your project idea or concept by a thorough explanation of its intended scope, reach, and impact.

In 1-2 paragraphs, write about the projects primary purpose, its main activities, and expected impacts





Also include in your project description...

- A detailed workplan about major project activities (those involved, project calculations, timelines, beneficiaries, and the like)
- Provide information on the counties that are impacted and note the designated economic status of each – attach maps
 - If not county-wide, ID the census tracts of the project's service area noting distressed areas in non-distressed counties
- Describe marketing/program promotion campaigns or any plans for transfer of ownership once the project is completed

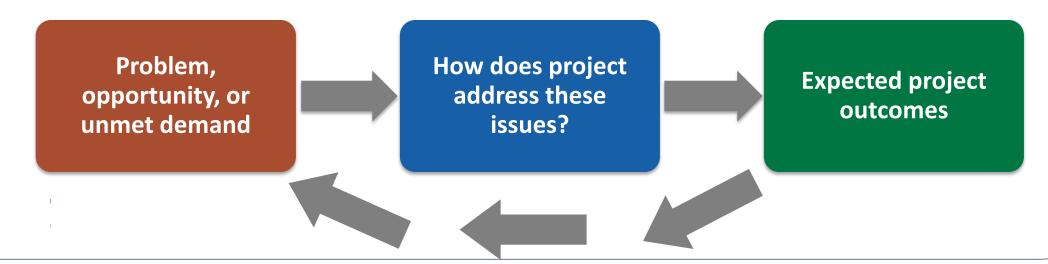


Project Narrative

(Continued)

Part 3. Strategic Rationale

- Describe any problems, opportunities, or unmet demand that the project will address and how these issues impact the community.
- Explain why the proposed project is the most practical, cost-effective, and beneficial way to achieve the desired results.
- Explain how the proposed project represents progress toward addressing a regional strategy, such as a comprehensive plan.



Project Narrative

(Continued)

IMPACTFUL

Includes specific performance targets

Part 4. Performance Measures

- Very Important!
- Performance/Impact Measures show the value and benefits of the investment.
- Performance measures are identified in grant application (projected) and verified at project closeout (actual).
- Only include measure found in the ARC Performance Measure Guide.

- Measures are either paired or stand-alone; some projects have both.
- Method/s used to calculate and track performance measures need to be established at time of application.
- Include commitment letters or documentation that support measures when appropriate.



Performance Measure Guidance

www.arc.gov/resource/guideto-arc-project-performancemeasures/



Guide to ARC Project Performance Measures

All ARC projects must have documented output and outcome performance measures. Estimated measures are included in project applications and actual measures are reported in the project closeout reports. This guide lists and defines the performance measures that may be used for ARC projects. Every ARC project must have at least one output measure and one outcome measure from the lists below. Some output measures can be used with a range of outcome measures (these are called "stand-alone measures"), and some output measures must be used with specific outcome measures (these are called "paired measures"). Projects that have paired output and outcome measures may also have a stand-alone output or outcome measure with no corresponding measure.

Stand-Alone Performance Measures

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

Stand-Alone Output Measures

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

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

Stand-Alone Outcome Measures

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

Performance Measures

Paired Measures

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

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

Performance Measures

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.

COLLABORATIVE

Cultivates
partnerships and
connects
communities

Project Narrative

(Continued)

Part 5. Collaborative Partnerships

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



Project Narrative

(Continued)

SUSTAINABLE

Continues beyond the grant period

Part 6. Project Sustainability and Organizational Capacity

Show us that you have the organizational capabilities to successfully execute your project and that it will have lasting effects:

- What is your organization's experience with similar activities?
- What is your experience with federal grant awards?
- What are the qualifications of those who are involved with the project?
- For Access to Capital projects, include staff finance background and experience with investment committees.
- How will project activities continue after the grant period ends?



Section 5: Budget Information, Match Requirements, and Supporting Materials



Primary Components

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





Non-Construction Project Budget (SF424A page 1)

Section A (Budget Summary):

- Grant Program is ARC
- Federal (ARC) and Non-Federal (Match) funds entered under Estimated Unobligated Funds section

Section B (Budget Breakdown):

- Project budget expenses must align with the scope of project activities
- Consistent project costs across standard forms and budget narrative
- Indirect costs must be included in budget submitted in application
- Program Income (uncommon) ordinarily deducted from award; can be counted towards match with prior approval

		SEC	TION A - BUDGET SU	MMARY			
Grant Program Function	Catalog of Federal Domestic Assistance		nobligated Funds		New or Revise	ed Budget	
or Activity	Number	Federal	Non-Federal	Federal	Non-Fed	deral	Total
(a)	(b)	(c)	(d)	(e)	(f)		(g)
ARC	Leave Blank	s ARC Funds	s Match Funds	\$	\$	To	otal Budge
			\$		*		
Totals		\$ 0.00	\$ 0.00	\$	0.00 \$	0.00 \$	
		SECT	ION B - BUDGET CATI	EGORIES	•		
Object Class Catego	ories		GRANT PROGRAM,	FUNCTION OR ACTIVI	TY		Total
. Object Class Catego	ules	(1)	(2)	(3)	(4)		(5)
a. Personnel		ARC	Match	Leave B	lank	B	udget
b. Fringe Benef	fits	Funds	Funds		idili.	C	ategory
c. Travel		Ц	Ш	Ц			otals
d. Equipment		Ц	Ш				o Here
e. Supplies			Ш				
f. Contractual			Ш				
g. Construction			Ш			Ш	
h. Other			Ш			Ш	
i. Total Direct C	charges (sum of 6a-6h)		Ш				
j. Indirect Charg	ges					Ш	
k. TOTALS (sui	m of 6i and 6j)	\$		5		<u>_/\\</u>	
. Program Income		s	s	s	s	s	

Non-Construction Project Budget (SF424A page 2)

	SEC1	TION C - NON-FEDERAL RESOU				
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. ARC - name of matching funds source		\$	\$	\$	\$	
9. ARC - name of matching funds source		\$				
10.etc.		\$				
11.		\$				
12. TOTAL (sum of lines 8-11)		\$	\$	\$	\$	
	SEC ⁻	TION D - FORECASTED CASH N	EEDS			
	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 ESTIMATE	ES OF FEDERAL FUNDS NEED!					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)				
		(b) First	(c) Second	(d) Third	(e) Fourth	
LEAVE THIS SECTION BLANK		\$	\$	\$	\$	
18.						
19.						
20. TOTAL (sum of lines 16-19)		\$	\$	\$	\$ 0.00	
	SECTION	L ON F - OTHER BUDGET INFORM	I MATION			
21. Direct Charges: LEAVE THIS SECTION BLA	NK ,	22. Indirect Char Authorized for Local Reproductio	rges: on s	tandard Form 424A (Rev. 7-97) Page 2		
23. Remarks:		ļ -		Tallacia i Ollii 727/ (164. 1-31) Fage 2		

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
- 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

- Very important to provide detailed explanation of expenditures and how they align with project scope!
 - ✓ Details on Personnel & Fringe Benefits, Contractual expenses
 - ✓ Purpose of Travel
 - ✓ Itemize Supplies and Equipment
 - ✓ Include information on procurement procedures and copy of procurement policy
 - ✓ Itemize "Other" budget line items. No "Miscellaneous items" or "Etc."
 - ✓ Include subtotals for each category
- Figures should align with SF-424A
- Recommend preparing in Excel or other budgeting software

Template on ARC's website, https://www.arc.gov/resource/budget-narrative-

PERSONNEL		ARC		Match		TOTAL
Coffee brewer	100 hours x \$15/hour	\$ 1,000	\$	500	\$	1,500
Senior go-getter	30 hours x \$25/hour	\$ 275	\$	475	\$	750
Problem solvers	10 ppl x 40 hours x \$20/hour	\$ 6,000	\$	2,000	\$	8,000
Big boss	\$60,000 @ 5%	\$ 1,500	\$	1,500	\$	3,000
	Subtotal Personnel	\$ 8,775	\$	4,475	\$	13,250
SUPPLES		ARC		Match		TOTAL
Toolkits	10 kits @ \$3,500ea	\$ 25,000	\$	10,000	\$	35,000
Computers	10 laptops @ \$900ea	\$ 7,000	\$	2,000	\$	9,000
Office supplies	paper, pens, telephones		\$	1,000	\$	1,000
		32,000	Ś	13,000	Ś	45,000
	Subtotal Supplies	\$ 32,000	~	13,000	,	43,000

Budget Narrative

- Provide description and status/timing of non-ARC match, as well as description of in-kind match:
 - O What is the in-kind match? If personnel time, what will they be doing?
 - How was the value determined? If personnel, provide # of hours and pay rate.

Match	Туре	Source	Status	Amount
NC DEQ	State	State	Pending	\$400,000
Town of Grantsville	In-Kind	Local	Committed	\$10,000
2 Town employees @ 200	hours @ \$25/hour pe	rforming XYZ tasks.		
			Total	\$410,000

What is Match?

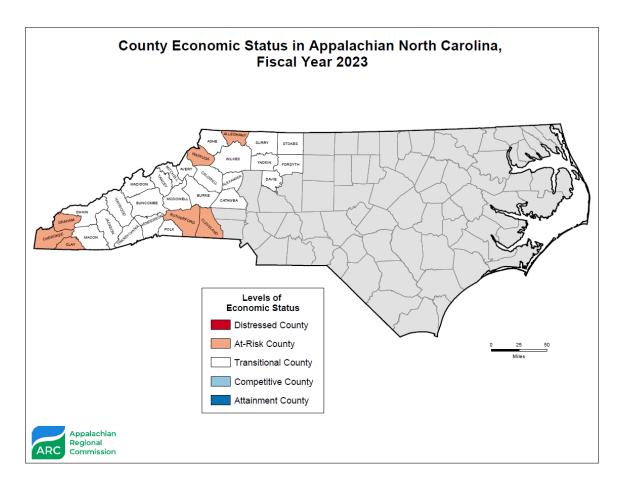
- Funds or resources contributed to the project outside of ARC
- All ARC projects require match
- Acceptable match sources:
 - Applicant
 - Foundations
 - Public Sector
 - Private Sector
- Types of match:
 - o Cash
 - o Loans
 - Other Grants
 - o In-kind donations– property, equipment, services, etc.

Match Requirements

ARC match rates are determined by county economic status

designations

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



North Carolina FY 2023 County Designations

At-Risk (7) – Alleghany, Cherokee, Clay, Cleveland, Graham, Rutherford, and Watauga

ARC funding is limited to 70% of the entire project cost, with a required 30% match (at minimum)

Transitional (24) – Alexander, Ashe, Avery, Buncombe, Burke, Caldwell, Catawba, Davie, Forsyth, Haywood, Henderson, Jackson, McDowell, Macon, Madison, Mitchell, Polk, Stokes, Surry, Swain, Transylvania, Wilkes, Yadkin, and Yancey

ARC funding is limited to 50% of the entire project cost, with a required 50% match (at minimum)

Calculating Match for multi-county projects

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

- If at least half of the counties are distressed max 80% funding.
- If at least half of the counties are some combination of distressed and at-risk max 70% funding.
- Otherwise funded at the average percentage applicable to the various counties in the project, excluding attainment counties.

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

County	Economic Designation
Cherokee	At-Risk
Clay	At-Risk
Macon	Transitional
Jackson	Transitional
Swain	Transitional

Maximum ARC Percentage	
70%	
70%	
50%	
50%	
50%	
= 290% divide by 5 = 58% ARC Fundir	ng;
42% Percent Match Funding	100



Match Commitment Letters

- All match must be documented through a commitment letter from the match source
- On letterhead or copy of official document
- Must include:
 - Dollar amount (or value of in-kind) committed
 - Signature of authorized individual
 - Description of in-kind match and how value was determined
- If match is in-kind real estate, must attach copy of MAI appraisal **Note once project starts, you must track in-kind match (i.e. time sheets for personnel hours).

Supporting Documents

- Enclose pertinent supporting materials that will lead to a better understanding of the proposed project
 - Letters of support for the project from local organizations and community partners
 - Letters from local businesses supporting jobs created (if included in performance measures). Please no form letters!
- For Access to Capital projects, include copy of 5-year proforma and operating plan

Compliance and Review



OMB Uniform Administrative Requirements for Federal Awards

All ARC grantees must follow federal award regulations and have written policies and procedures in place.

2 CFR Part 200.

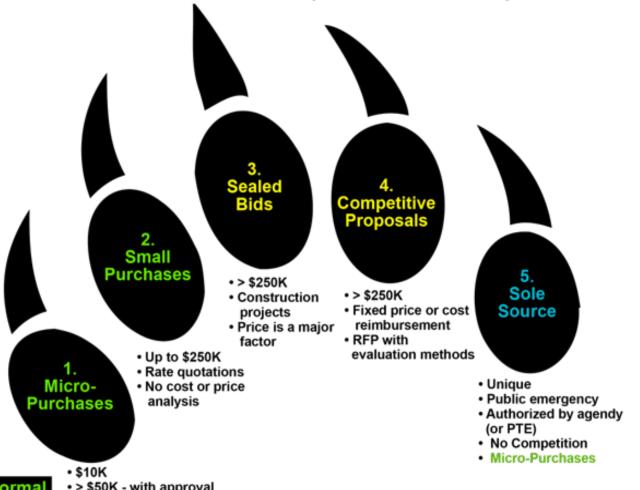
- Procurement standards
- Sub-award protocols
- Internal controls and financial management
- Record retention
- Property interests
- Conflicts of interest

What procurement process should be used?



Quick Reference to Procurement

Procurement "Claw" (Section 200.320)



Green - Informal Yellow - Formal Blue - No Comp

- > \$50K with approval
- No quotations
- · Equitable distributions

Essential Takeaways on Procurement

- Follow your own written procurement rules and procedures
- Document and save everything!
 - Cost and price analysis
 - RFP and proposals received
 - Rationale for vendor selection
- Avoid even the appearance of conflict of interest

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

- ✓ Application logged into ARCnet; project is assigned to an ARC project coordinator for initial review and prep for final review and approval.
- ✓ All those who will work on the project create an account in ARCnet and designates project roles.

Very Important to designate project authorized representative and include email addresses for all contacts!

✓ During the application review, your ARC project coordinator may need to contact you and your state program manager with questions about the project and/or request revisions or additional documents. *Please submit all requested changes/documents in one email message to your ARC project coordinator and copy to state program manager*

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

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

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

ARC In-Person Application Workshops

Coming Soon:

ARISE/INSPIRE/POWER

- Belden, MS 2/23/23
- Knoxville, TN 2/28/23

ARISE/POWER

• Pittsburgh, PA 3/2/23



Resources



Resources

ARC has the guidance you need to make your project planning and grant application a success. Please refer to the Grant Resources page on ARC's website (<u>www.arc.gov</u>) to retrieve and review:

- Basic Eligibility Requirements https://www.arc.gov/about-arc-grants/
- ARC's Current Strategic Plan https://www.arc.gov/wp-content/uploads/2022/01/Appalachia-Envisioned-ARC-Strategic-Plan-FY-2022-2026.pdf
- State Strategy Statement and Strategic Plan https://www.arc.gov/state-plans-strategies/
- State Program Manager Contact Information https://www.arc.gov/state_partner_role/state-program-manager/
- List of Local Development Districts https://www.arc.gov/local-development-districts/
- ARC Project Guidelines https://www.arc.gov/resource/arc-project-guidelines/
- Federal Award Regulations https://www.arc.gov/omb-grant-regulations/
- Federal and State Basic Agencies https://www.arc.gov/basic-agency-partners/
- Performance Measures https://www.arc.gov/resource/guide-to-arc-project-performance-measures/
- County Economic Designations https://www.arc.gov/county-economic-status-and-distressed-areas-by-state-fy-2023/
- Calculating Match Rates https://www.arc.gov/match-requirements-for-arc-grants/
- Approved Project List https://www.arc.gov/approved-arc-projects/
- Research and Evaluation Reports https://www.arc.gov/research-and-data/
- Other Grant Resources https://www.arc.gov/grant-resources/



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