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Appalachian Regional Commission  
NYS Area Development Program  
2022-2023

***Application Instructions***  
for Projects to be Funded  
in FFY-2023

[\(Updated 8/19/2022\)](#)

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NYS Department of State  
 Appalachian Regional Commission Program  
 2022-23 Area Development Grant Application  
ONE-PAGE SUMMARY COVER PAGE

Project Title:

Project Sponsor:

Sponsor Address:

Contact Person:  Phone:  x

(Name and Title) E-Mail:

Project Location / Counties Served:

Distressed Census Tract(s) (if any):

ARC Goal # and NYS Strategy:

Purpose: (Regional needs to be served?)

Description: (How will ARC & partners' resources be used to meet ARC's Goal?)

Fund Source(s)	Program(s)*	Amount	Status**	Type***
ARC	Area Development Grant		Current Application	Federal Grant (Cash)
Select One ▾		\$ 0	Select One ▾	Select One ▾
Select One ▾		\$ 0	Select One ▾	Select One ▾
Select One ▾		\$ 0	Select One ▾	Select One ▾
Select One ▾		\$ 0	Select One ▾	Select One ▾
Select One ▾		\$ 0	Select One ▾	Select One ▾
<b>TOTAL: &gt;&gt;&gt;&gt;</b>		\$ 0		

\*Please list agency AND program(s) providing funds; \*\*Please state if committed or pending; \*\*\*State if cash, loan, or in-kind.

Construction %  Basic Agency (BA):

Performance Measures: Anticipated (a) Outputs; (b) Outcomes; (c) Regional benefits  
 (see: <https://www.arc.gov/resource/guide-to-arc-project-performance-measures/>)

New York State Department of State  
Appalachian Regional Commission Program  
2022-23 Area Development Grant Application

**CERTIFICATION FORM**

Project Name:

Grantee Name:

Address:

Short Description of Project:

Project GIS Coordinates (Optional):

Amount of ARC Funds Requested:  Total Project Cost:

ARC Goal & NYS Strategy:

Basic Agency - Federal or State Administering Agency: *(For work involving significant construction only.)*

Planned Start Date:

Planned End Date:

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***CERTIFICATION***

*The project applicant ("sponsor") certifies that the information contained in this initial application is correct. It is understood that any significant changes prior to funding approval may affect funding priority and that ARC funds are to be considered the last dollars spent on a given project and subject to adjustment in the event of underrun. If the project is approved, it is recognized that the sponsor has the obligation to keep the appropriate Local Development District (LDD) fully informed about all aspects of the project's progress and completion, including status of project performance measures (outputs and outcomes). The sponsor agrees to provide requested information regarding project outputs/outcomes during project implementation and for a period of three years after project completion.*

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(Date)

(Signature)

Certifying Officer Name and Title:

Certifying Officer Email Address:

# ARC Area Development Project Grant Application (NYS - FFY2022-23)

## TABLE OF CONTENTS / CHECKLIST

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### Section 1: INTRODUCTION

One-Page Summary/Cover Page (*form*)

Certification Form (*form*)

Table of Contents (*This checklist is a template.*)

### Section 2: REQUIRED APPLICATION FORMS

Federal Forms

- Standard Form (SF) 424
- SF424A Budget Information – Non-Construction (2 pages)  
(Or, SF424C Budget Information – Construction (2 pages))
- SF424B Assurances – Non-Construction (or, SF424D Assurances –Construction)
- Memorandum of Understanding for ARC Projects

NYS Required Forms

- Self-Sufficiency Statement
- Project Workplan and Project Timeline
- Sustainability & Phased Effort Questionnaire
- Budget Format B Non-Construction
- Funding Sources and Commitment Status

### Section 3: PROJECT NARRATIVE

3.1 Goals and Strategies

- a. ARC Investment Goal
- b. NYS Implementation Strategy

3.2 Strategic Rationale

- a. What is the problem/ opportunity the project addresses?
- b. Why was this strategy chosen?
- c. What is the evidence of the demand for the project?
- d. How does this project relate to regional development strategies?

3.3 Project Description

- a. Project Summary: A one to two paragraph explanation of the proposed project's purpose, main activities (and what ARC funds will pay for), and roles of key project partners.
- b. Service Area: Description of the where the proposed project will be based and the counties and locations in those counties that will be served. Also identify any economically distressed census tracts in the service area. Include maps to clearly illustrate the project's service area(s) in the counties served.

3.4 Collaborative Partnerships

- a. Identify major partners involved in the proposed project and how they are tied to the project financially, or by a leadership role, or by providing skills, relationships, or expertise to implement or support the project.
- b. Reference any commitment letters that have been provided by all key partners.

## TABLE OF CONTENTS / CHECKLIST (Cont.)

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### 3.5 Project Sustainability and Grantee Capacity

- a. Sustainability Plan
- b. Grantee Capacity

### 3.6 Performance/ Impact Measures

- a. Outputs and Outcomes
- b. Additional Project Benefits
- c. Performance Measures Table

## Section 4: BUDGET NARRATIVE

1. Funding Sources (and Commitment Status) and Uses of Funds (as provided by each source)
2. Budget Details

(This section explains the details of the SF424A (or SF424C))

3. Match Rate Calculation

(This section explains the ARC economic designations for each county in the proposed project's service area and how those designations are related to calculating the funding match required to qualify for ARC funds.)

4. Procurement Discussion

(This section explains the applicant's procurement procedures and how the applicant's policies conform to the relevant parts of 2 CFR 200 ("Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards").

## Section 5: ADDITIONAL DOCUMENTATION

### 5.1 Additional Materials Contents Page

(An itemized list of supporting materials and documents, as sequenced in the following sub-sections, must be provided)

### 5.2 Required Supporting Materials

- REDC representative comment or support letter (If unavailable, LDD comment regarding project linkage to applicable REDC's Strategic Plan)
- Match commitment letter(s) in order of dollar value (*highest to lowest*). For all in-kind contributions, please explain how the fair market value was calculated.
- All applicable board or sponsor resolutions supporting the project.
- All other commitments from collaborative partners and that confirm the project's long-term sustainability after ARC's investment has been secured.

### 5.3 Additional Support Letters

- Community and local partners
- Non-financial strategic partners
- Elected Officials (federal, state, local)
- All other support letters

### 5.4 Procurement Documentation

- Supplies and equipment lists
- Price quotations

- RFP documents
- Local procurement guidelines as appropriate

## **TABLE OF CONTENTS/ CHECKLIST (Cont.)**

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### 5.5 Credentials Documentation

- 501(c)3 or other non-profit status documentation, if applicable
- Key staff and contractor credentials

### 5.6 Technical Documentation (if more than 3 pages, provide URL to online documents)

- Maps and diagrams
- Surveys
- Agreements
- Other enclosures

**APPLICATION FOR  
FEDERAL ASSISTANCE**

Version 7/03

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<input type="checkbox"/> Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b>	Applicant Identifier
			<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
			<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>				
Legal Name:		<b>Organizational Unit:</b>		
Organizational DUNS:		Department:		
<b>Address:</b>		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b>		
Street:		Prefix:	First Name:	
City:		Middle Name		
County:		Last Name		
State:	Zip Code	Suffix:		
Country:		Email:		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □□-□□□□□□□□		Phone Number (give area code)	Fax Number (give area code)	
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types) Other (specify)		
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> TITLE (Name of Program):    □□□-□□□□		<b>9. NAME OF FEDERAL AGENCY:</b>		
<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>		
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>		
Start Date:	Ending Date:	a. Applicant	b. Project	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>		
a. Federal	\$	.00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
b. Applicant	\$	.00	DATE:	
c. State	\$	.00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$	.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$	.00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
f. Program Income	\$	.00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$	.00		
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>				
<b>a. Authorized Representative</b>				
Prefix	First Name		Middle Name	
Last Name			Suffix	
b. Title			c. Telephone Number (give area code)	
d. Signature of Authorized Representative			e. Date Signed	

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	0.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel	\$	\$	\$	\$	0.00	
b. Fringe Benefits					0.00	
c. Travel					0.00	
d. Equipment					0.00	
e. Supplies					0.00	
f. Contractual					0.00	
g. Construction					0.00	
h. Other					0.00	
i. Total Direct Charges (sum of 6a-6h)		0.00	0.00	0.00	0.00	
j. Indirect Charges					0.00	
k. TOTALS (sum of 6i and 6j)	\$	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
7. Program Income	\$	\$	\$	\$	0.00	

Authorized for Local Reproduction

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

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$ 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 CASH NEEDS					
	Total 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 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)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

**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:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project 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.
3. 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.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. 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).
6. 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.
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. 91-646) 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.
8. 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.

9. 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.
10. Will comply, if applicable, 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.
11. 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).
12. 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.
13. 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.).
14. 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.
15. 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.
16. 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.
17. 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."
18. 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	

**Appalachian Regional Commission  
Program Operations Division  
1666 Connecticut Ave, NW  
Washington, DC 20235**

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

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**Memorandum of Understanding for ARC Projects**

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Project Name: \_\_\_\_\_  
State: New York Federal Agency: \_\_\_\_\_

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**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 Assed 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 as 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 in 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 the 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 sates; 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  
Signature:**

\_\_\_\_\_ **Date:** \_\_\_\_\_

**SELF-SUFFICIENCY STATEMENT**

**INSTRUCTIONS:** The assurance statement below is to be submitted with the formal grant application.

**ASSURANCE STATEMENT**

The sponsoring agency understands that grant assistance is limited to the amount approved and that there is no obligation on the part of ARC or the Department of State to fund budget overruns or additional project phases. The sponsoring agency further understands that ARC funds are to be considered the last dollars spent on a given project and subject to adjustment in the event of budget underrun.

SIGNED \_\_\_\_\_

Responsible Sponsor Representative

New York State Department of State, 99 Washington Ave, Albany, NY 12231  
Area Development Grant Application  
SUSTAINABILITY & PHASED EFFORT

Project Name:

Sponsor Name:

- A. From what sources will operations, maintenance, and eventual replacement costs for buildings, equipment, etc. which have been acquired, built, or renovated under this grant be paid? Where user fees are involved, provide relevant projections of use.

- B. Is this project part of a phased development effort?

YES

NO

- C. If the answer to B is YES, describe briefly the other phases. Indicate whether they are complete, underway, or planned. For phases that are complete or underway, indicate the specific sources of all funding. For future planned phases, indicate the planned sources of funding. Give approximate total costs for each phase and give the ARC funding anticipated for each phase.

- D. If the answer to B is YES, what will be the impact on this project if other phases are not completed? To what extent is the implementation of future phases essential for the programmatic success and financial self-sufficiency of this phase of the project?





**Table 4.1: (Non-Construction Project)  
BUDGET FORMAT B**

Project Name:	Budget Period (Beg. Mo./Yr. - End Mo./Yr.):

CATEGORY	% OF TIME	ANNUAL SALARY	ARC FUNDS	OTHER FEDERAL	STATE	LOCAL IN-KIND	TOTAL
<b>1. PERSONNEL</b> (List by groups and describe in budget)	%	\$	\$	\$	\$	\$	\$
							\$0
							\$0
							\$0
							\$0
<u>SUBTOTAL PERSONNEL</u>			\$0	\$0	\$0	\$0	\$0
<b>2. FRINGE BENEFITS</b>							\$0
<u>PERSONNEL AND FRINGE SUBTOTAL</u>			\$0	\$0	\$0	\$0	\$0
<b>3. TRAVEL</b>							\$0
<b>4. SUPPLIES</b>							\$0
<b>5. OTHER</b> (List by category below, describe in narrative)							
Painting							\$0
Planning							\$0
Mail							\$0
<u>OPERATIONS -- TOTAL (#1 through #5)</u>			\$0	\$0	\$0	\$0	\$0
<b>6. CONSTRUCTION/RENOVATION</b> (Specify in budget narrative)							\$0
<b>7. EQUIPMENT</b> (List and describe in budget narrative)							\$0
<u>EQUIPMENT - FUNDING SOURCE PERCENTAGE</u>			#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
<u>TOTAL PROJECT - FUNDING SOURCE PERCENTAGE</u>			#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
<b>GRAND TOTAL</b>			\$0	\$0	\$0	\$0	\$0

(Additional pgs may be used, if needed)

(Rev 5/19)

**Table 4.2: Funding Sources, Commitment Status, and Uses**

#	<u>Funding Source:</u> <i>(Agency &amp; Program, &amp; Contact Information)</i>	<u>Funding Type:</u> <i>(Federal; State Local; Private; or Program)</i>	<u>Funding Status:</u> <i>(Committed or Pending)</i>	<u>Support Type:</u> <i>(In-Kind or Cash)</i>	<u>Value of Support:</u> <i>(\$)</i>	<u>For all non-cash matching funds, describe how match value is calculated</u>	<u>Commitment Letter Status &amp; Date:</u>	<u>Intended Use of Funds from this Source:</u> <i>(Describe in 12 words or less; Provide details in Narrative.)</i>
1	<b>Appalachian Regional Commission ARC) Grant</b>	<b>Federal</b>	<b>Pending</b>	<b>Cash</b>		NA	NA	
2								
3								
4								
5								
6								
7								
8								
	Total All Match Sources (less-ARC Request Amt (Ln #1))							
	Total Project Amount (ARC Funds + ARC Grant Request)							
	Match % (\$ match / \$ total)							
	Does total match meet or exceed required % match? Y / N: _____							

[Attach additional pages if needed]

Revised: 6/16/2021

## Section 3: PROJECT NARRATIVE

### 3.1 Goals and Strategies

#### a. ARC Investment Goal

Choose the ARC Investment Goal and one of the corresponding ARC Action Objectives that your project most clearly addresses. See **ARC's 2016-2020 Five-Year Strategic Plan** for a list of goals and objectives.

- *Example: [ARC Investment Goal 2: Ready Workforce]*

#### b. NYS Implementation Strategy

From the list of NYS Implementation Strategies that correspond to your stated Goal, choose the ONE your project most clearly addresses. See **New York State ARC Program Strategies**.

- *Example: [NYS Implementing Strategy: Strategy 2.1: Develop and support educational programs and institutions to prepare students for postsecondary and for the region's workforce needs.]*

### 3.2 Strategic Rationale

#### a. What is the problem/opportunity the project addresses?

This is your chance to tell your story more fully, providing context re: your organization and the challenge or opportunity at hand. For example, can the proposed project turn a problem into an occasion for growth? Is there a one-time opportunity that your organization to take advantage of? How do the issues involved impact your organization and your community?

#### b. Why was this strategy chosen?

Why is this project the most practical, cost-effective solution when compared to alternative approaches?

#### c. What is the evidence of the demand for the project?

Document local/regional demand for your project. This may include quotes from stakeholders, excerpts from studies or other research on the issue, and/ or support letters from stakeholders. Summarize your material here; include longer or more complete documentation in Section 5: Additional Documentation.

#### d. How does this project relate to regional development strategies?

Reference REDC Strategic Plan, LDD Comprehensive Economic Development Strategy (CEDS) plan(s), and/or any relevant county or local plans or visioning documents or initiatives.

### 3.3 Project Description

**a. Project Summary:** Describe your project succinctly, in one to two paragraphs. State the project's primary purpose, main activities – including what ARC funds will pay for – and expected impacts. Make sure to include all the major points; if it appears in your budget, it should be referenced here. *(Suggestions: Since this is basically a summary of*

*the entire Project Narrative, you may want to write it LAST, after you've established your timeline and built your budget. Also, the projected impact(s) of ARC projects are one of the most important factors in the review process, so make sure you state them clearly. In 3.8 Performance/ Impact Measures you will be asked to describe them more fully.)*

**b. Service Area:** Describe the project's entire service area and intended populations served within that area. List any Distressed Census Tracts in your service area. If applicable, state whether the area meets income requirements of any other funding sources such as HUD or Rural Development. Other relevant demographic information such as educational attainment, employment, housing, and poverty levels may also be appropriate here.

**c. Project Workplan:** In narrative form discuss major tasks or activities involved in completing the project from expected grant approval through project completion. Detail here all parts of your project and how they fit together. This important part of the narrative is to be supplemented by the Project Workplan/Timeline Table required in the NYS Program Required Forms section. This section should explain the timeline of the workplan as laid out in that table.

- *Example [Task 1. Request for Proposals (RFP): Grace Rogers, Project Coordinator, in consultation with the Advisory Committee, will develop the RFP. This group will develop a list of required qualifications for the project consultant. They will then conduct a wide area call for proposals and compile a list of qualified firms. Consultants in the Buffalo/Jamestown/Rochester area will be considered. The Advisory Committee will then review proposals and make a final determination. ...; Task 2. Equipment: etc....]*

### **3.4 Collaborative Partnerships**

**a.** Identify all major partners involved in the proposed project and how they are tied to the project financially, or by a leadership role, or by providing skills, relationships, or expertise to implement or other support the project.

**b.** Reference any commitment letters that have been provided by all key partners.

*(Suggestion: This section should describe any collaborations with other community, state, regional or federal partners. What exactly will the partners contribute? All partners referenced in this section must have a corresponding Support Letter in Section 5: Additional Documentation.)*

### **3.5 Project Sustainability and Grantee Capacity**

#### **a. Sustainability Plan**

Describe the plan to ensure the project's long-term sustainability once ARC funds are expended. This is applicable to projects that initiate programming or other activities that are intended to become permanent, rather than those that have, for instance, a planning document as the output. Include efforts to secure other sources of support.

#### **b. Grantee Capacity**

Provide a brief description of the applicant and key project partners. Detail the applicant's capacity to manage the project's continuing, long-term activities (again, if

applicable), and its history in managing comparable projects. Summarize the qualifications of identified project participants as well as those of consultants and subcontractors. Complete CVs or resumes of these individuals should be included in Section 5: Additional Documentation. If the applicant is a 501(c)3 not-for-profit, a one-page documentation of that status should also be included in Section 5.

### 3.6 Performance/ Impact Measures

#### a. Outputs and Outcomes

Describe the project’s total forecasted Outputs and Outcomes for the expected period of the report and for three years following the project’s completions. Refer to the [Guide to ARC Project Performance Measures](#) to develop this section, and since these measures are ARC’s standard reporting measures of its grant fund’s impact, utilize the language of these performance measures. “Outputs” are the direct result of the project workplan’s activities, whereas “Outcomes” measures the rate of success of those activities. In this sense, when a project “serves” or “trains” a certain number of participants or communities – these are its outputs; but “outcomes” refers to the number “improved”, reflecting on the project’s success toward achieving its purpose. Provide a description of methodology used to forecast the Outputs and Outcomes for the project. (Suggestions: A project’s impact is one of the most important factors considered by reviewers; this section lets the applicant quantify those impacts. NOTE: Applicants will only be required to report on those Outcomes that accrue during the actual project period, NOT on those projected for 3 years post-project.)

#### b. Additional Project Benefits

When a project’s success attainment of targeted outputs and outcomes is likely to facilitate other follow-on or complementing private or public investments, initiatives, or other desired outcomes, these can enhance the desirability of investing in the proposed project. Unlike the hard Outputs and Outcomes above, these are any additional benefits to the region and local economy that will result from the project. Consult your LDD to determine if these forecasted additional benefits should be included here.

#### c. Performance Measures Table

The table ad

Outputs Project period	Outputs Project period + 3 years after	Outcomes 3 years post-project
<i>Example:</i>	<i>Example:</i>	<i>Example:</i>
<i>75 students served</i>	<i>225 students will be served (trained in skills demanded by regional employers) during the project period and over the 3 years after completion.</i>	<i>200 students are expected to be improved -- gaining employment in their field; 50 locally &amp; 150 regionally and nationally –within 3 yrs. of project completion</i>

,

## Section 4: BUDGET NARRATIVE

[Sample format – content is not representative of a particular ARC application]

**SAMPLE Project title:** *Get a Job Now*

**SAMPLE Project applicant:** *ABC WorkForce Training*

**SAMPLE Project Timeline:** *18-month project period*

**SAMPLE “Get A Job Now” Total Project Expenses: \$70,930**

- ARC: \$34,953 (49.3%)
- Local cash: \$2,982 (4.2%) ##
- Local In-kind: \$32,995 (46.5%) ##

### Personnel - \$33,000

*Get a Job Now program will be ABC WorkForce Training’s regional programmatic response to the substantiated high-demand jobs that employers currently can’t fill with appropriately skilled or trained workforce. ABC WorkForce Training’s Project Manager will apply at least 40% of her work time and effort to this project and assume responsibility for development and implementation of the entire program. She brings high-level expertise in program development, management, grant compliance, and has the professional credentials and experience in employment and training programs, as well as entrepreneurial ventures and creative business modeling. As well, she also has developed a state-wide network of peers and resources which will be utilized as much as possible in the creation of the Get a Job Now program development.*

*Annual salary \$55,000 @ .40 = \$22,000 x 1.5 years = \$33,000*

*\$33,000 @ .45 = \$14,850 (ARC)*

*\$33,000 @ .55 = \$18,150 (ABC WorkForce Training In-kind)*

**ARC: \$14,850**  
**Local In-kind: \$18,150**

### Fringe Benefits - \$9,570

*The standard annual rate for fringe expenses used at ABC WorkForce Training is 29%. The fringe for this project has been calculated on the associated personnel expenses for 1.5 years (18-month project period).*

*Project personnel expense \$33,000 @ 29% = \$9,570 (ABC WorkForce Training in-kind)*

**Local In-kind: \$9,570**

### Travel - \$6,600

*This project involves considerable travel costs as the service area covers over 3,200 square miles. by both ABC WorkForce Training staff and the Get a Job Now Advisement Team. The travel by ABC WorkForce Training staff for this project is in addition to any other travel performed for non-project business. The project will take place in all areas of the LDD region, encompassing more than 3,300 square miles. ABC WorkForce Training staff will travel a minimum of 400 miles per month for the project development and implementation = total of 7,200 miles.*

*The Advisement Team will convene in person as the full group at least several times and in smaller group session with ABC WorkForce Training staff and to participate in immersive skill and trades training program days. Advisement Team mileage is calculated for a flat total of 600 miles.*

Staff - \$3,600

18 months @ 400 miles/month = 7,200 miles @ .365/mile = 2,628 (ARC)

18 months @ 400 miles/month = 7,200 miles @ .135/mile = \$972 (ABC WF cash)

Advisement Team - \$3,000

600 miles @ .365/mile = \$219 x 10 people (ARC \$2,190)

600 miles @ .135/mile = \$81 x 10 people (ABC WorkForce local cash \$810)

ARC: \$4,818

## Local cash: \$1,782

### Supplies - \$6,460

The project budget includes the startup supplies and device purchases needed for program launch. Once Get a Job Now is operational, the annual program fees will cover the consumable supply expenses and general printing and materials development. Category and line-item expenses will be included with the final application. All purchases will be made according to federal cost principles.

Office supplies: \$1,250 (ARC) ##

Expenses for the consumable supplies and items needed to support the meetings of the Advisement Team, the group activities for each of the program modules, and distributed materials to promote the program. An itemized expenditure list will be provided with the final application submission. At minimum, the initial supply cache will include: copy paper cases (various sizes of paper), photo paper, binders, clips, name tags, name tag lanyards, pens, markers, flip charts, post it notes, folders, manila envelopes, 3-ring binders, brochure holders/stands, portable file portfolios, spiral binding, materials totes, attendance certificates

Printing/marketing: \$2,650

The expense budget includes items and costs for promotion of the Get a Job Now program and materials needed to support the recruitment effort. Banner stand displays will be used for multiple years and displayed at regional and state-wide conferences, or other similar venues where ABC WorkForce Training can set up a table display. Program brochures will be outsourced for professional quality output. General copies and materials preparation will be done in-house.

- Pull up banner stand displays, full color – 3 @ \$175 = \$525 (ARC)
- Glossy 2-sided, fold over brochures, full color – 5,000 @ .18 = \$900 (ARC)
- Copies @ 1000s of pages, program handbooks, resource materials, Advisement Team materials, handouts = \$1,225 (ABC WF Training in-kind)

Devices: \$2,560

A strategy to develop leadership, build team cohesion, and to produce creative outputs that capture the cohort's or individual's program experience is the production of video footage. The videos can be edited and produced with text and music and then used as promotional pieces for the Get a Job Now program and shared on other websites. Team building exercises will be developed that help the workforce training cohorts through the process of skills development and introduce the participants to using tech-nology in ways they may not be exposed to. Two iPad Pro tablets and a higher-quality video camera will be available during each program day; the external monitor will be available when participants begin to work on the editing of the footage.

- Apple iPad Pro 2, 10.5" display, wi-fi, camera - 2 @ \$685 each = \$1,370
- Digital camera compatible with iPad and iMovie - \$570
- External microphone with extra-long cord - \$65
- Portable external HDMI 15" monitor for full screen viewing - \$450
- Memory cards 3 @ \$35 each = \$105

ARC: \$5,235  
Local In-kind: \$1,225  
Supplies Total: \$6,460

**Other - \$15,300**

Expenses in this category include the stipends for the 10 Advisement Team members, stipends to the program session special presenters, and to field site visit hosts. Also included are the expenses related to building out the regional WorkForce website, purchase of domain name, and content population and updates. The fees for graphic design services to develop a logo for the "Get a Job Now" program are also included.

- Advisement Team: 10 stipends @ \$900 = \$9000 (ARC) ##
- Presenter stipends: 6 @ \$100 = \$600 (ABC WorkForce Training local cash)
- Field site hosts stipends: 12 @ \$50 - \$600 (ABC WorkForce Training local cash)
- Website: a URL purchase for Get a Job Now, design and populate site, content maintenance and update = 18 months @ \$225/month = \$4,050 (ABC WorkForce in-kind)
- Graphic design service: program logo, website, social media, PowerPoint templates, scalable images, full color, black/white, greyscale - \$850 (ARC)

ARC: \$10,050  
Local cash: \$1,200  
Local in-kind: \$4,050

**Construction/ Renovation: \$0**

Not applicable to this project's activities or budget.

**Equipment: \$0**

Not applicable to this project's activities or budget.

**Procurement Compliance:**

All expenditures of federal grant funds and cash and in-kind match sources will be in accordance with ABC WorkForce Training's purchasing policy (copy attached in **Section 5: Additional Documentation**), which meets the most recent updates to the Code of Federal Regulations, Title 2, Subtitle A, Chapter II, Part 200, sections 200.318-326.

**ARC Match Rate Calculation:**

[NOTE: Remember that the match rate is based on the ARC-designated income status of the county or counties in which your project is taking place. Counties designated by ARC as "Transitional" require a 50% match rate, while counties with an "At Risk" designation require only a 30% match.]

The ARC request for the proposed project is \$34,953, which represents 49.3% of the total budget of \$70,930. The applicant demonstrates a match rate of 50.7 % of the total project expenses, or

\$35,977 [\$2,010 Local cash + \$33,967 Local In-kind]. This figure meets the 50% match commitment required by ARC.

## Section 5: ADDITIONAL DOCUMENTATION

### Supporting Materials

- REDC representative support letter (Whenever this can be obtained, it should be the first document in the additional documentation section. If one cannot be obtained, a statement by the applicant certifying the project's consistency with the REDC(s)'s Current strategic plan may be substituted. (Consult your LDD about this item.)
- Match commitment letter(s) in order of dollar value (highest to lowest). For all in-kind Match, please explain how the fair market value was calculated
- All applicable board or sponsor resolutions supporting the project
- All other commitments demonstrating project's long-term sustainability

### Additional Support Letters

- Community and Local Partners
- Non-financial strategic partners
- Elected officials (federal, state, local)
- All other support letters

### Procurement Documentation

- Supplies & equipment lists
- Price quotations
- RFP documents
- Local procurement guidelines as appropriate

### Credential Documentation

- 501(c)3 or other not-for-profit status documentation, if applicable
- Key staff and contractor credentials

### Technical Documentation

- Maps or diagrams
- Surveys
- Agreements
- Other Enclosures

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22)

*[This page is the Table of Contents / Checklist for your supporting materials section. Please customize this list to you*

*r specific content. This should match Section 5 of your Table of Contents/ Checklist, found at the beginning of the application.]*

## Guidance for filling the SF424A pages 1 & 2

### BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f) Match	Total (g)
1. ARC		\$	\$	\$	\$	0.00
2. Match Source #1						0.00
3. Match Source #2						0.00
4. Match Source #3						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

  

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)	
	(1) ARC	(2) Source #1	(3) Source #2	(4) Source #3 Match		
a. Personnel	\$	\$	\$	\$	0.00	
b. Fringe Benefits					0.00	
c. Travel					0.00	
d. Equipment					0.00	
e. Supplies					0.00	
f. Contractual					0.00	
g. Construction					0.00	
h. Other					0.00	
i. Total Direct Charges (sum of 6a-6h)	0.00	0.00	0.00	0.00	0.00	
j. Indirect Charges					0.00	
k. TOTALS (sum of 6i and 6j)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
7. Program Income	\$	\$	\$	\$	0.00	

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Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
<u>non-Federal</u>	(e) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	Match Source #1	\$	\$ or	\$ or	\$ 0.00
9.	Match Source #2		or	or	0.00
10.	Match Source #3		or	or	0.00
11.					0.00
12.	TOTAL (sum of lines 8-11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
SECTION D - FORECASTED CASH NEEDS					
	Total 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 ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(e) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. ARC (Provide federal project \$ > 1 year out)	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
SECTION F - OTHER BUDGET INFORMATION					
21. Direc: Charges:			22. Indirect: Charges:		
			(only if applicable & documented)		
23. Remarks:					

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Standard Form 424A (Rev. 7-87) Page 2

# Guidance for filling the SF424A pages 1 & 2

## BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f) Match	Total (g)
1. <b>ARC</b>		\$	\$	\$	\$	\$ 0.00
2. <b>Match Source #1</b>						0.00
3. <b>Match Source #2</b>						0.00
4. <b>Match Source #3</b>						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY : Match :				Total (5)	
	(1) ARC	(2) Source #1	(3) Source #2	(4) Source #3		
a. Personnel	\$	\$	\$	\$	\$ 0.00	
b. Fringe Benefits					0.00	
c. Travel					0.00	
d. Equipment					0.00	
e. Supplies					0.00	
f. Contractual					0.00	
g. Construction					0.00	
h. Other					0.00	
i. Total Direct Charges (sum of 6a-6h)	0.00	0.00	0.00	0.00	0.00	
j. Indirect Charges					0.00	
k. TOTALS (sum of 6i and 6j)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
7. Program Income	\$	\$	\$	\$	\$ 0.00	

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SECTION C - NON-FEDERAL RESOURCES						
<u>non-Federal</u>	(a) Grant Program	(b) Applicant:	(c) State	(d) Other Sources	(e) TOTALS	
8.	"	Match Source #1	\$	\$ or	\$ 0.00	
9.	"	Match Source #2		\$ or	\$ 0.00	
10.	"	Match Source #3		\$ or	\$ 0.00	
11.					0.00	
12.	TOTAL (sum of lines 8-11)		\$ 0.00	\$ 0.00	\$ 0.00	
SECTION D - FORECASTED CASH NEEDS						
		Total 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
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.	ARC (Provide federal project \$ > 1 year out)	\$	\$	\$	\$	
17.						
18.						
19.						
20.	TOTAL (sum of lines 16-19)		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:			22. Indirect Charges: (only if applicable & documented)			
23. Remarks:						