

**2016**

**Request for  
Proposals**

# ARC REQUEST FOR PROPOSALS

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# **VIRGINIA APPALACHIAN REGIONAL COMMISSION PROGRAM AND CONTACT INFORMATION**

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The Appalachian Regional Commission, or ARC, is an independent Federal agency created through the Appalachian Regional Development Act of 1965. ARC's mission is to be an advocate for and partner with the people of Appalachia to create opportunities for self-sustaining economic development and improved quality of life.

Virginia is one of thirteen states in the ARC region. The Appalachian Regional Commission programs, other than the Highway program, are administered in the Commonwealth of Virginia by the Virginia Department of Housing and Community Development. The Virginia ARC Program is managed by:

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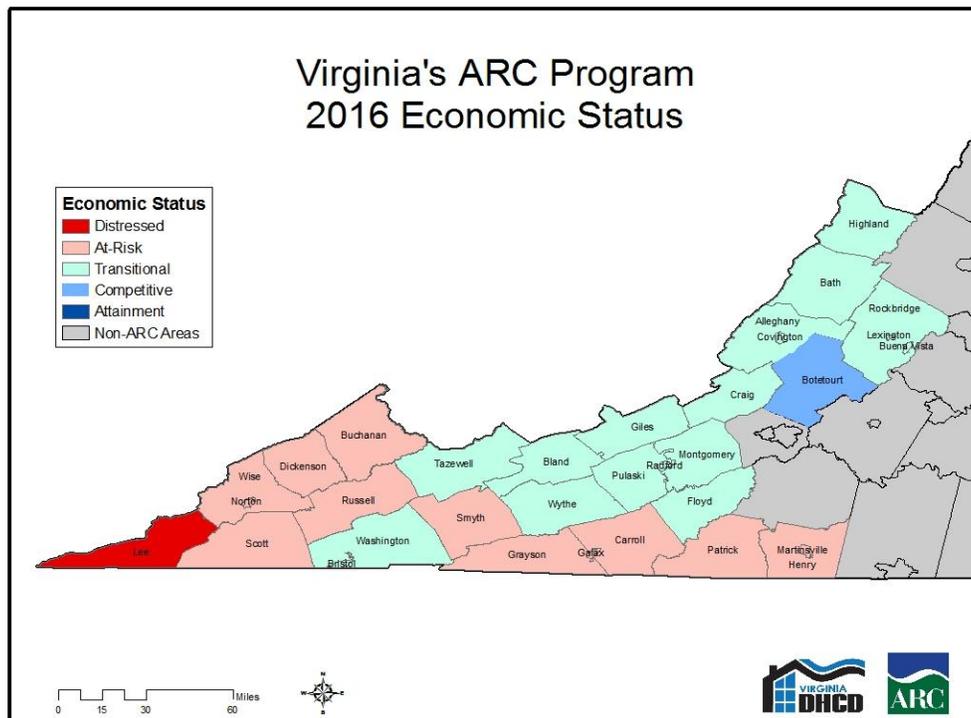
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In Virginia, twenty-five counties and eight independent cities are eligible for the ARC program. These localities and their economic stress designation are as follows:

<b>Counties</b>			
Alleghany County	<i>Transitional</i>	Lee County	<i>Distressed</i>
Bath County	<i>Transitional</i>	Montgomery County	<i>Transitional</i>
Bland County	<i>Transitional</i>	Patrick County	<i>At Risk</i>
Botetourt County	<i>Competitive</i>	Pulaski County	<i>Transitional</i>
Buchanan County	<i>At Risk</i>	Rockbridge County	<i>Transitional</i>
Carroll County	<i>At Risk</i>	Russell County	<i>At Risk</i>
Craig County	<i>Transitional</i>	Scott County	<i>At Risk</i>
Dickenson County	<i>At Risk</i>	Smyth County	<i>At Risk</i>
Floyd County	<i>Transitional</i>	Tazewell County	<i>Transitional</i>
Giles County	<i>Transitional</i>	Washington County	<i>Transitional</i>
Grayson County	<i>At-Risk</i>	Wise County	<i>At Risk</i>
Henry County	<i>At Risk</i>	Wythe County	<i>Transitional</i>
Highland County	<i>Transitional</i>		
<b>Cities</b>			
City of Bristol	<i>Transitional</i>	City of Lexington	<i>Transitional</i>
City of Buena Vista	<i>Transitional</i>	City of Martinsville	<i>At Risk</i>
City of Covington	<i>Transitional</i>	City of Norton	<i>At Risk</i>
City of Galax	<i>At Risk</i>	City of Radford	<i>Transitional</i>

Virginia receives funding from the Appalachian Regional Commission on an annual basis and through special initiatives for distribution in these localities. Virginia prepares a State Strategy on an annual basis which guides its use of ARC funding.



## Virginia ARC Program Objectives

Virginia's Four Year Development Plan and Annual Strategy Statement identify the objectives of Virginia's program which are consistent with ARC's strategic goals. The state objectives are closely correlated to the Appalachian Regional Commission Goals, and several specific strategies are developed for each objective. Virginia's objectives, the corresponding ARC goal, and the specific strategies are as follows:

### **VIRGINIA ARC OBJECTIVE I**

Promote regional partnerships that support regional economic development, encourage activities that diversify the economic base, enhance entrepreneurial activities, develop a highly skilled, competitive workforce, and provide training and technical assistance to agents engaged in economic development.

#### **ARC Goal:**

Increase job opportunities and per capita income in Appalachia to reach parity with the nation.

#### **Strategies:**

- 1.1 Encourage public-private sector partnerships and regional approaches to economic development, marketing, regional competitiveness, and business assistance.
- 1.2 Develop and market strategic assets for local economies (heritage and cultural tourism and creative economies).
- 1.3 Support tourism activities that are directly linked to overall regional economic development strategies.
- 1.4 Encourage projects which diversify the economic base, including asset-based development and energy-related projects.

- 1.5 Encourage communities and community leaders to develop the skills and tools necessary to use existing and innovative telecommunications technology to assist in their community and economic development efforts.
- 1.6 Participate in business development efforts which will assist existing businesses with expansion activities.
- 1.7 Assist with installation of public infrastructure (water, sewer, fiber) for new business location / expansion, creating jobs for the Region.
- 1.8 Assist in the expansion of the availability of capital for small and medium-sized businesses, including microenterprises and new small technology-based companies through the use of revolving loan funds or other financing mechanisms.
- 1.9 Assist small and medium-sized businesses to access markets for their products, with emphasis on export training and assistance that will enable them to participate in the international marketplace.
- 1.10 Encourage the development of telecommunications and other technologies to assist in improving the participation of Appalachian businesses in the international marketplace.
- 1.11 Support the expansion of value-added businesses and sustainable development strategies to build sustainable local economies.
- 1.12 Capitalize on the economic potential of the Appalachian Development Highway System.
- 1.13 Support programs that will ensure the availability of a workforce with

skills and abilities required to promote economic retention and growth.

- 1.14 Implement workforce readiness programs such as technologically literate workforce training and technological training in math, science, and engineering that will ensure students are given the necessary skills to enable them to find and hold jobs.
- 1.15 Strengthen the delivery of workforce training programs among the various provider agencies in order to improve the business retention, expansion, and formation efforts.
- 1.16 Support programs that will provide access to entrepreneurship training for high school students and adults.
- 1.17 Foster civic entrepreneurship.
- 1.18 Assist communities and regions in establishing ongoing strategic planning and management processes.
- 1.19 Encourage efforts to establish ongoing local and regional civic and leadership development programs.
- 1.20 Encourage Local Development Districts (LDDs) to become more involved in local and regional capacity building.
- 1.21 Support energy-related projects, including research of carbon sequestration, energy-efficiency technologies, alternative energies and biofuels, and coal mine reclamation.
- 1.22 Support projects that encourage broad-based, regional cooperation and provide increased regional economic growth opportunities.

## **VIRGINIA ARC OBJECTIVE II**

Develop a world class work force that is well educated and appropriately trained for the job market, as well as provide adequate health care services throughout the Region.

### **ARC Goal:**

Strengthen the capacity of the people of Appalachia to compete in the global economy.

### **Strategies:**

- 2.1 Provide skill development training for high demand jobs which currently lack adequate training programs (ex. Construction, telecommunications, energy).
- 2.2 Continue to support initiatives that will reduce the school dropout rates.
- 2.3 Support programs that will improve the enrollment of Virginia Appalachians in post-secondary education.
- 2.4 Continue to expand educational opportunities through telecommunications.
- 2.5 Strengthen the delivery of workforce training programs among the various provider agencies in order to improve the business retention, expansion and formation efforts.
- 2.6 Implement work force readiness programs such as technologically literate work force training and technological training in math, science that will ensure students are given the necessary skills to enable them to find and hold jobs.
- 2.7 Encourage educational programs which train students in cultural and heritage arts, such as traditional music and craft production.
- 2.8 Encourage communities and community leaders to develop

knowledge, skills and abilities necessary to use existing and innovative telecommunications technology to assist in their community and economic development efforts.

- 2.9 Encourage the establishment of partnerships and innovative arrangements among health care providers in Appalachian Virginia in order to assure quality care and the efficient use of available health care resources.
- 2.10 Encourage the use of telemedicine technology to assist in the delivery of rural health care services, to include wellness and prevention efforts.
- 2.11 Support projects which include wellness and healthcare prevention efforts.
- 2.12 Continue efforts to place doctors and other medical professionals in medically underserved areas through physician and other recruitment programs.
- 2.13 Support efforts to initiate and expand early childhood education programs.
- 2.14 Support programs to increase access to quality child care.
- 2.15 Encourage local leaders to develop innovative, cost-effective arrangements for delivery of healthcare services, including regional approaches, privatization and service consolidation.
- 2.16 Foster civic entrepreneurship.

### **VIRGINIA ARC OBJECTIVE III**

Assist communities to provide and develop an adequate physical infrastructure to support economic development opportunities and improve the quality of life.

#### **ARC Goal:**

Develop and improve Appalachia's infrastructure to make the Region economically competitive.

#### **Strategies:**

- 3.1 Assist community water supply and wastewater treatment projects that will support private investment leading to job creation or retention.
- 3.2 Assist community water supply and wastewater treatment projects that will support private investment leading to job creation or retention in distressed counties and that will address serious health/environmental compliance problems. Such projects could be proposed to be carried out through a Self-Help method of implementation.
- 3.3 Support continued efforts to expand the Region's stock of safe, affordable housing.
- 3.4 Build and enhance environmental infrastructure, such as brownfields redevelopment and eco-industrial activities.
- 3.5 Support infrastructure projects where installation of telecommunication conduit (dark fiber) is included in construction with the larger infrastructure project, to increase local and regional connectivity.
- 3.6 Provide financial and technical assistance to communities for development of industrial sites and parks, shell buildings, business incubators and micro-enterprises.
- 3.7 Increase accessibility and utilization of telecommunications technology, especially to identify markets and consumer groups.
- 3.8 Support public-private sector partnerships, which provide clear and measurable service outcomes

directly associated with quality sustainable job creation activities, to deploy advanced traditional and nontraditional cost-effective solutions and increase advanced telecommunications infrastructure capacity.

- 3.9 Provide access to child and adult care services in specific work-related environments.
- 3.10 Assist in the local revitalization efforts that will increase the physical and economic revitalization of communities, neighborhoods and downtowns.
- 3.11 Support local access road projects which would result in job creation or retention opportunities or community revitalization.
- 3.12 Help establish multi-county projects for establishing solid waste collection, disposal and recycling.
- 3.13 Foster development of an intermodal transportation network.
- 3.14 Capitalize on the ADHS and its development potential.
- 3.15 Support projects that promote energy conservation, green building, use of eco-friendly resources, and sustainable land-use practices.
- 3.16 Encouraging sustainable economic use of natural resources.
- 3.17 Conserving the natural places in the region for ecotourism.
- 3.18 Supporting land use and development strategies that promote sustainable communities and which

seek to align transportation, housing, economic development, and environmental issues.

## **VIRGINIA ARC OBJECTIVE IV**

Expand and upgrade existing roadways in rural communities to allow greater access to resources and opportunities for increased economic growth.

### **ARC Goal:**

Build the Appalachian Development Highway System to reduce Appalachia's isolation.

### **Strategies:**

- 4.1 Capitalize on the ADHS and its development potential.
- 4.2 Promote a development approach for the ADHS that preserves the cultural and natural resources of the Region while enhancing economic opportunity.
- 4.3 Encourage strategic, appropriate development along ADHS corridors (industrial parks, commercial development, and intermodal transportation).
- 4.4 Continue to support the development of the Coalfields Expressway.
- 4.5 Support infrastructure projects where installation of telecommunication conduit (dark fiber) is included in construction with the larger infrastructure project to increase local and regional connectivity.
- 4.6 Foster civic entrepreneurship.

# VIRGINIA ARC FUNDING

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## IMPLEMENTATION STRATEGY

Approximately \$3,000,000 is expected to be available in this round of funding for ARC projects. DHCD reserves the option to add additional ARC funds, if available. Final funding figures will be based on Virginia's ARC allocation pending federal budget approval for fiscal year 2016.

This RFP and the funding available are for both the Area Development and Regional Initiatives program. Previous set-asides for Regional Initiatives projects have now been incorporated into the Area Development program, which is a change from previous years. Former Regional Initiatives included Asset-Based Development, Energy Efficiency, and Telecommunications. Projects may still address these activities; however, there is not a separate RFP or set-aside.

Eligible funding requests must meet the following criteria:

- Are clearly described with achievable performance outcomes,
- Applicant has the capacity to implement the project,
- Non-ARC resources are in place to leverage the requested funds,
- Project will be implemented using a collaborative approach, and
- The project is sustainable.

## ELIGIBLE APPLICANTS

Non-profit organizations, educational institutions, Local Development Districts (Planning District Commissions), and state

and local governmental entities are eligible to apply for Virginia ARC funding. Private organizations or for-profit businesses are not eligible to apply.

Nonprofit organizations must demonstrate adequate capacity to be an eligible applicant for ARC funds. To show adequate capacity, an applicant must have fulltime staff, a track record with managing comparable projects, and a current 501(c)3 status.

## ECONOMIC STRESS DESIGNATIONS

Available ARC funding levels are based on the relative economic stress of the applicant's locality. Each eligible locality is classified into one of five categories. A description of this process, from the ARC website ([www.arc.gov](http://www.arc.gov)) is as follows:

The Appalachian Regional Commission (ARC) uses an index-based county economic classification system to identify and monitor the economic status of Appalachian counties. The system involves the creation of a national index of county economic status through a comparison of each county's averages for three economic indicators—three-year average unemployment rate, per capita market income, and poverty rate—with national averages. The resulting values are summed and averaged to create a composite index value for each county. Each county in the nation is then ranked, based on its composite index value, with higher values indicating higher levels of distress.

## ***County Economic Levels***

Each Appalachian county is classified into one of five economic status designations, based on its position in the national ranking.

### **Distressed**

Distressed counties are the most economically depressed counties. They rank in the worst 10 percent of the nation's counties.

### **At-Risk**

At-Risk counties are those at risk of becoming economically distressed. They rank between the worst 10 percent and 25 percent of the nation's counties.

### **Transitional**

Transitional counties are those transitioning between strong and weak economies. They make up the largest economic status designation. Transitional counties rank between the worst 25 percent and the best 25 percent of the nation's counties.

### **Competitive**

Competitive counties are those that are able to compete in the national economy but are not in the highest 10 percent of the nation's counties. Counties ranking between the best 10 percent and 25 percent of the nation's counties are classified competitive.

### **Attainment**

Attainment counties are the economically strongest counties. Counties ranking in the best 10 percent of the nation's counties are classified attainment.

## **FUNDING AND MATCH**

### ***Available Funding - Area Development***

The maximum amount of Virginia ARC Area Development assistance available per project is \$500,000 for a Construction project and \$100,000 for a Non-Construction project.

### ***Required Match***

All Virginia ARC assistance must be matched **dollar for dollar or 50% match** with local (non-Federal) funding, unless the project is in a:

- Distressed locality which must provide a 20% match for 80% ARC funds,
- At-Risk locality which must provide a 30% match for 70% ARC funds, or
- Competitive locality, which must provide a 70% match for 30% ARC funds.

It is generally expected that this will be a cash match; however, in certain projects, it is appropriate for in-kind resources to make up a portion of the match. **In no case shall in-kind resources make up more than 50% of the required match of a project.**

## **SUBMISSION REQUIREMENTS**

*This RFP document is intended to serve as a reference as you prepare your application. The actual format and questions are available through DHCD's online application system, CAMS. The system can be accessed by visiting [www.dhcd.virginia.gov](http://www.dhcd.virginia.gov) and selecting CAMS in the upper-right hand corner.*

It is strongly suggested that applicants contact DHCD to discuss the submission of their proposal. This discussion will ensure that the applicant's proposed idea is eligible and will provide insight regarding DHCD's investment philosophy on the proposed project.

All proposals must contain direct responses to all required items and must provide well organized information in the form of complete sentences and proper paragraphs. Only relevant attachments should be included and these should be organized as requested.

**ALL PROPOSALS MUST BE SUBMITTED THROUGH THE CAMS ON-LINE APPLICATION SYSTEM. CAMS CAN BE ACCESSED THROUGH THE DHCD WEBSITE AT [www.dhcd.virginia.gov](http://www.dhcd.virginia.gov). SEE APPENDIX A FOR ADDITIONAL INFORMATION ON CAMS.**

## **TIMETABLE**

**The deadline for submission of 2016 ARC proposals is Wednesday, September 30, 2016.**

DHCD anticipates completion of proposal reviews by late November 2015. Notice of funding decisions should follow in early 2016. All proposals should include performance targeting, outputs, and outcomes. Outcomes which can be achieved within the one year contract should be identified. Additional long-term outcomes may be projected for up to two years beyond contract expiration and must be tracked.

**Proposals should assume the receipt of contracts and initiation of activities by, but no earlier than, August 1, 2016.** Be aware, if project activities begin prior to ARC approval and contract execution the entire project is at risk of being deemed ineligible. This includes activities funded by match that is used as leverage for the ARC request.

## **ARC RESOURCES**

Applicants are encouraged to visit the ARC website at: [www.arc.gov](http://www.arc.gov). This site contains numerous data sets, research reports, and links to other sources of information.

## **PLANNING DISTRICT COMMISSION REVIEW**

Copies of proposals must be provided to the local Planning District Commission (Local Development District). **This should be submitted to the PDC no later than September 30, 2015.** The purpose of this requirement is to keep the PDC informed of potential projects. The PDCs are also available to assist applicants in developing projects. The PDC role is not to accept, reject, or otherwise screen these proposals.

### **LENOWISCO PDC**

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Phone: (276) 431-2206

### **Cumberland Plateau PDC**

Mr. Jim Baldwin  
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Lebanon, Virginia 24266  
Phone: (276) 889-1778

### **Mount Rogers PDC**

Mr. Aaron Sizemore  
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Marion, Virginia 24354  
Phone: (276) 783-5103

### **New River Valley PDC**

Mr. Kevin Byrd  
6580 Valley Center Drive  
P. O. Box 21  
Radford, Virginia 24141  
Phone: (540) 639-9313

### **Roanoke Valley-Alleghany PDC**

Mr. Wayne Strickland  
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Roanoke, Virginia 24010  
Phone: (540) 343-4417

**Central Shenandoah PDC**

Ms. Bonnie Riedesel  
112 MacTanly Place  
Staunton, Virginia 24401  
Phone: (540) 885-5174

**West Piedmont PDC**

Mr. Dave Hoback  
P.O. Box 5268  
Martinsville, Virginia 24115  
Phone: (276) 638-3987

Administering Agency and the status of that agency’s approval of this project, specifically whether a pre-application or application was submitted and whether that application was approved. Contact DHCD if you need help in identifying the Basic Agency.

**Non-Construction Projects**  
**For non-construction projects the Basic Agency shall be ARC.**

**LETTERS OF BENEFIT AND SUPPORT COMMITMENT:**

Applicants must be prepared to provide letters and other documentation which provide confirmation that the project will benefit the number of individuals it is targeting.

Applicants are strongly encouraged to solicit letters from proposed beneficiaries. Letters from potential project partners should be available as evidence of additional project support.

**PROPOSED BASIC FEDERAL ADMINISTERING AGENCY AND APPROVAL STATUS:**

**Construction Projects**

All construction projects must have a Basic Agency identified to administer the grant. Identify the proposed Basic Federal

**APPLICATION REVIEW PROCESS**

DHCD will review proposals and as necessary, may ask for additional information or clarification. Once projects are selected for funding a recommendation is prepared for the Governor’s office. Following announcement by the Governor’s office, DHCD will coordinate with successful applicants to revise or in some cases, substantially re-write proposals if needed, complete necessary federal forms and resolve any outstanding issues that were noted in the review. Applicants must respond by the deadline provided or they may jeopardize funding. Please note the recommendation from the Governor’s office **does not** guarantee funding. Once all additional proposal information is returned to DHCD, proposals will be reviewed and then sent to ARC for final approval. ARC will review proposals and may ask for additional information as well. Funding is only secured after ARC has approved the proposal.

# ASSET-BASED DEVELOPMENT

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ARC may be an appropriate funding source for Asset-Based Development projects with the goal to build a strong and sustainable asset-based economy, bringing jobs and prosperity to Appalachian communities while preserving their character. This program seeks to develop the cultural, natural, community, structural, and local business and economic assets of the Region.

Asset-based development does *not* focus on filling gaps in the development landscape, or on the provision of amenities, which often occurs at the expense of leveraging unique assets and community strengths. For example, supporting a unique community asset like the Carter Family Fold is a compelling asset-based activity, while engaging with local wellness centers, which are not unique to the Region and are based in many mid-sized communities, would not. In general, support for local ballets, provision of water or sewer lines, and studies for access roads do not fit well into an asset-based development framework.

## ELIGIBLE PROJECTS

Implementation of projects which address one of the five key elements of asset-based development are eligible. The five elements are:

### Cultural Assets

Promotion of arts, culture, and heritage products or businesses; examples are:

- Creating heritage trails
- Developing apprenticeship programs
- Supporting locally-based entrepreneurs
- Promotion / branding of cultural assets
- Support for “greening” of traditional industries

### Natural Assets

Capitalizing on the Region’s mountains, rivers, forests, and lands (ecological assets) to promote economic development or to diversify the local economy; examples are:

- Promotion of outdoor sports and recreation
- Value-added farming, organic farming
- Sustainable timbering and value-added processing
- Development of communities as gateways to cultural amenities

### Leadership/Community Assets

Training and preparation of local sparkplugs to be civic leaders; examples are:

- Business / leadership programs
- Technical assistance to establish boards or governing bodies

### Structural Assets

Utilizing the existing built-environment Brownfield redevelopment; examples are:

- Finding new uses for old buildings, such as conversion of overlooked and underused facilities into business or commercial centers, business incubators, or educational uses
- Targeted aspects of downtown revitalization

### Business/Economic Assets

Supporting local existing and expanding businesses; examples are:

- Innovative finance mechanisms
- Educating current and future entrepreneurs
- Physical or operational assistance to a small business incubator that provides a

broad array of entrepreneurial assistance services

- Market research and feasibility studies to identify potential areas for new business or business expansion
- Product development assistance resulting in the creation of new businesses and / or jobs

### **Ineligible Projects**

The following types of proposals will be considered ineligible for 2016 Virginia ARC funding:

- Those that do not support the ARC goals for the Asset-Based Development projects, including those targeting assistance for non-local businesses
- Those that do not present clear outcomes for the Virginia ARC investment
- Those that do not add significantly to currently available resources

# TELECOMMUNICATIONS

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The Virginia ARC program may be appropriate for telecommunications projects that seek to stimulate economic growth and improve the standard of living in the Region through technology-related avenues. ARC's **Information Age Appalachia** telecommunications and information technology program was created to promote the development of telecommunications in Appalachia, with a special focus on helping the Region's distressed counties. In November 2001, the Commission approved a policy statement for the Information Age Appalachia program:

The Information Age Appalachia program envisions Appalachia as a prosperous and vibrant region with full access to the tools of the Information Age, and possessing the knowledge and capacity to use those tools to compete successfully in the twenty-first-century economy.

The overall program will support the Commission's four strategic goals by focusing on the following four distinct subject areas:

## **Focus Area One: Access and Infrastructure**

Broaden the availability of advanced telecommunications services by promoting increased infrastructure investments from both private sector and government sources.

## **Focus Area Two: Education and Training**

Ensure that the region is supporting today's workforce as well as developing the workforce of tomorrow by integrating technology into K-12 and continuing education programs plus expanding community awareness and training programs.

## **Focus Area Three: E-Commerce**

Improve the competitiveness of businesses in the region by increasing the adoption of e-commerce practices.

## **Focus Area Four: Technology Sector Job Creation**

Increase employment in the technology sector for producer and user industries through investment and entrepreneurship support.

## **ELIGIBLE PROJECTS**

Proposals will be accepted for the following project types:

- Planning
- System Development and Technical Support
- Implementation

Applicants may submit proposals that target a single project type or a combination of project types that marries either: a) Planning and System Development and Technical Support, or b) Planning and Implementation. Projects may not target all three of the project types. Applicants submitting for an implementation and/or a system development project must have completed a Regional Telecommunications Plan last year, and the proposed project must fit within this Plan.

Funding is available for System Development/Technical Support or Implementation projects. However, prior to funding either of these project types, there must be a Community Telecommunications Plan in place for the locality / region that will be served by the proposed project. This Community Telecommunications Plan must indicate that the locality has seriously considered its need and demand for the proposed project.

Examples of eligible project activities are:

***Planning***

- Regional Coordination: PDC wide or multi-county
- Public/Private Partnership strategy
- Community Telecommunications Plan

***System Development and Technical Support***

- Community Business Training and Education Program
- Establishment of Community Cooperative
- Establishment of E-Village
- Development of community tech support

***Physical Implementation***

- Installation of a wireless network
- Installation of “last mile” dark fiber loop
- Installation of a co-location facility/equipment

**Note:** Installation of “Backbone” is generally NOT an eligible activity.

**Ineligible Projects**

The following types of proposals will be considered ineligible for ARC funding:

- Those that do not support the ARC goals for the Appalachian Telecommunications projects, including those targeting assistance for non-local businesses such as the location of branch plants;
- Those that do not present clear outcomes for the ARC investment;
- Those that do not add significantly to currently available resources;
- Those that have no relevance to the use of telecommunications infrastructure; or,
- Those that include funding for efforts which exclude potential participants based on factors beyond business interest or skill level, including assistance based on religious affiliation or membership.

# ENERGY EFFICIENCY

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ARC funds may be available to support costs for the actual dollar amount of the Energy Efficiency components of a project. Energy Efficiency investment is intended for projects that have a broad, regional impact or that create a model for future efficiency improvements. General retrofitting of buildings for improved energy efficiency is a low priority for the ARC program. Energy Efficiency proposals must contain complete and detailed responses to the following items:

***Energy Efficiency Questions:***

Identify any energy efficient features to be utilized in this project. Describe any efforts

that were made to improve the energy efficiency of the project, including a discussion of features that were considered but were not included.

Comment on any efforts that have been made to improve the energy efficiency of the proposed project. If any “green building” standards are being utilized, please identify them. Recommended areas that should be discussed are energy efficiency considerations related to the building design, materials used, and technology utilized.

# PLANNING GRANTS

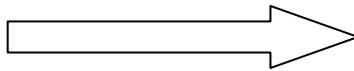
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ARC funds may be available to support costs for planning grants. Planning Grants enable localities and organizations to conduct an assessment and develop effective strategies for solving local community needs. Eligibility under this program is subject to the following minimum criteria:

1. Must demonstrate both the need and rationale for the assessment;
2. Demonstrate broad community support and that local officials and stakeholders are fully committed to fully identifying and addressing local needs;
3. Must describe scope of work and demonstrate capacity of the grantee and/or consultant to perform and complete the planning process;
4. Demonstrate that the planning grant output (i.e. feasibility study, PAR/PER, etc) generally supports future project development to address identified local need;

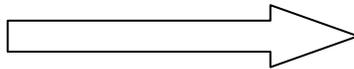
## Planning Grant Performance Measures

OUTPUTS



1. Plans or reports produced
2. Community (ies) to be served from project development

OUTCOMES



1. Future project implementation
2. Improved communities as a result of project implementation

**\*\*Must complete CAMS application in its entirety\*\***

# APPENDIX A – CAMS

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CAMS is DHCD’s on-line application and grant management system. All 2016 applications for ARC funding must be submitted through CAMS. You can access CAMS at:

<https://dmz1.dhcd.virginia.gov/camsportal/Login.aspx>

In order to access CAMS and complete an application for funding, organizations must complete a profile request. The request for a profile can be made by going to the CAMS site and selecting the “Registration” option. In order to register your organization, you will need your organizations DUNS number and FEIN number. Please allow up to five business days for DHCD to process and approve your registration request.

Once your organization has been registered, you may log in with your username and password and select the “Applications and Programs” option. From this page, select the “Apply” option and select “2016 Appalachian Regional Commission – Area Development” from the dropdown. A description of the program and the button to “apply” will appear.

As you complete the application, be sure to save each page. You have the option to close out of CAMS and return to the application at any time until the application is submitted or the deadline has passed.

**If you need assistance with the registration or completion of the application in CAMS, please send an email request to the CAMS help team through the “contact us” link at the bottom of every page in CAMS.** Someone will contact you as soon as possible to provide needed assistance.

## **Helpful Hints**

- 1) Remember Construction projects are limited to not more than \$500,000 per project request; non-construction projects are limited to not more than \$100,000 per project request.

For Construction projects, answer the additional Basic Agency and Energy-efficiency questions. If your project is for non-construction, enter “N/A” in the response field.

- 2) If your project also supports an Asset-Based Development, Telecommunications, or Energy-Efficiency effort, select that category as well for additional questions related to those categories. Refer to page 11 for more information on allowable project requests for these categories.
- 3) Save often! It is recommended to save after each question you answer.
- 4) There are required ATTACHMENTS and templates which must be completed based on the project type. Refer to the ATTACHMENT tab for instructions.

- 5) You may submit attachments to support your application. When doing so **you must provide a separate Table of Contents** to outline your attachments. The Table of Contents should indicate the name of the uploaded file and describe the contents of the attachment.

When naming your attachments, use file names which identify the attachment's contents. For example, Preliminary Engineering Report, Operations Plan, Feasibility Study, Project Pictures, and so forth.

- 6) When including ATTACHMENTS, be sure to summarize key elements in the narrative section. Also use the questions in the narrative section to cite certain attachments.
- 7) Preview your application prior to submission.
- 8) You must complete all narrative responses. If a question does not apply, simply enter "N/A".
- 9) If you experience difficulties, contact DHCD. You may contact Matt Weaver directly, however, also note DHCD has created a Help Desk to assist with troubleshooting. The Help Desk can be reached at: [camshelp@dhcd.virginia.gov](mailto:camshelp@dhcd.virginia.gov)

Prior to contacting DHCD, please make note of:

- a) The specific issue (i.e. text is not saving)
  - b) Your browser type (i.e. Internet Explorer)
  - c) Your operating system (i.e. Windows 7)
- 10) Do not wait until the last minute to get started. Allow time to learn how CAMS operates and how to most efficiently utilize the system.

# APPENDIX B – OUTPUTS AND OUTCOMES

## GOAL 1 – ECONOMY

### Measures:

<b>ENTREPRENEURSHIP/BUSINESS INCUBATOR</b>	
Output Measurement – number of <input type="checkbox"/> <i>participants</i> <input type="checkbox"/> <i>businesses served / assisted (existing and new)</i>	Outcome Measurement – number of <input type="checkbox"/> <i>new businesses created or graduated</i> <input type="checkbox"/> <i>jobs created</i> <input type="checkbox"/> <i>jobs retained</i> <input type="checkbox"/> <i>Leveraged Private Investment</i> <input type="checkbox"/> <i>participants with improved skills or completed program (such as course with certified skills)</i>
<b>EXPORT</b>	
Output Measurement – number of <input type="checkbox"/> <i>participants</i>	Outcome Measurement – increase in <input type="checkbox"/> <i>Export dollars</i>
<b>HIGH VALUE, HIGH WAGE EMPLOYMENT OPPORTUNITIES</b>	
Output Measurement – number of <input type="checkbox"/> <i>new/revised strategic plans</i>	Outcome Measurement – number of <input type="checkbox"/> <i>jobs created</i> <input type="checkbox"/> <i>jobs retained</i>
<b>TELECOMMUNICATIONS</b>	
Output Measurement – number of <input type="checkbox"/> <i>participants</i> <input type="checkbox"/> <i>businesses hooking on</i>	Outcome Measurement – number of <input type="checkbox"/> <i>new telecommunications sites serving 50 clients per week offering telemedicine, distance learning, governmental or business applications</i> <input type="checkbox"/> <i>number of trainees with improved skills</i> <input type="checkbox"/> <i>miles of infrastructure or new technology deployed</i>
<b>TOURISM DEVELOPMENT</b>	
Output Measurement – number of <input type="checkbox"/> <i>businesses assisted</i>	Outcome Measurement – number of <input type="checkbox"/> <i>jobs created</i> <input type="checkbox"/> <i>Leveraged Private Investment</i> <input type="checkbox"/> <i>“new” tourists</i> <input type="checkbox"/> <i>revenue generated</i>

## GOAL 2 – HEALTH AND EDUCATION

### Measures:

<b>WORKERS RECEIVING BASIC EDUCATION, SKILLS TRAINING, SKILLS UPGRADING OR CUSTOMIZED TRAINING.</b>	
Output Measurement – number of workers <input type="checkbox"/> <i>participating in skills training activity</i>	Outcome Measurement – number of workers <input type="checkbox"/> <i>obtained employment</i> <input type="checkbox"/> <i>retained employment</i>
<b>STUDENTS PARTICIPATING IN SCHOOL READINESS, DROPOUT PREVENTION, SCHOOL-TO-WORK TRANSITION AND GED PROGRAMS.</b>	
Output Measurement – number of students <input type="checkbox"/> <i>participating in educational activity</i>	Outcome Measurement – number of students <input type="checkbox"/> <i>obtained a GED (within 1 year)</i> <input type="checkbox"/> <i>graduated from high school (at-risk dropouts)</i> <input type="checkbox"/> <i>completed a school readiness activity and tested on grade level entering kindergarten</i> <input type="checkbox"/> <i>entered college after high school (within 1 year)</i> <input type="checkbox"/> <i>entered workforce after participating in school-to-work program (within 1 year) (school/college students)</i>
<b>TELECOMMUNICATIONS</b>	
Output Measurement – number of <input type="checkbox"/> <i>students</i> <input type="checkbox"/> <i>workers</i>	Outcome Measurement – number of <input type="checkbox"/> <i>new telecommunications sites serving workers/students per week</i>
<b>HEALTH CARE PROFESSIONALS RECRUITMENT</b>	
Output Measurement – number of <input type="checkbox"/> <i>health care professionals recruited</i> <input type="checkbox"/> <i>annual patient office visits</i>	Outcome Measurement – number of <input type="checkbox"/> <i>patients with improved health care</i>
<b>INTEGRATED HEALTH CARE DELIVERY</b>	
Output Measurement – number of <input type="checkbox"/> <i>participants</i>	Outcome Measurement – number of <input type="checkbox"/> <i>participants with improved health</i>

### GOAL 3 - INFRASTRUCTURE

*Measures:*

<b>WASTE/SEWER/WASTE DISPOSAL SYSTEM</b>	
Output Measurement – number of <input type="checkbox"/> <i>linear feet</i> <input type="checkbox"/> <i>businesses served</i> <input type="checkbox"/> <i>increase in capacity or storage</i>	Outcome Measurement – number of <input type="checkbox"/> <i>households served</i> <input type="checkbox"/> <i>jobs created</i> <input type="checkbox"/> <i>jobs retained</i> <input type="checkbox"/> <i>Leveraged Private Investment</i>
<b>INDUSTRIAL PARK/COMMUNITY REVITALIZATION</b>	
Output Measurement – number of <input type="checkbox"/> <i>Linear feet installed</i> <input type="checkbox"/> <i>businesses served</i> <input type="checkbox"/> <i>housing units</i>	Outcome Measurement – number of <input type="checkbox"/> <i>jobs created</i> <input type="checkbox"/> <i>jobs retained</i> <input type="checkbox"/> <i>housing units</i> <input type="checkbox"/> <i>Leveraged Private Investment</i>
<b>TELECOMMUNICATIONS</b>	
Output Measurement – number of <input type="checkbox"/> <i>participants</i> <input type="checkbox"/> <i>businesses served</i> <input type="checkbox"/> <i>jobs created / retained</i>	Outcome Measurement – number of <input type="checkbox"/> <i>new telecommunications sites offering tele-health, distance learning, governmental or business applications</i> <input type="checkbox"/> <i>Leveraged Private Investment</i>

### GOAL 4 – ADHS SYSTEM

*Measures:*

<b>ADHS CORRIDOR DEVELOPMENT</b>	
Output Measurement – number of <input type="checkbox"/> <i>new revised strategic plans</i>	Outcome Measurement – number of <input type="checkbox"/> <i>jobs created</i> <input type="checkbox"/> <i>jobs retained</i>

# APPENDIX C – PROJECT SUMMARY FORMAT

(2 page maximum)

Project Title: Title of the Project

Project Grantee: Provide name, address, and contact information, including email.

County(ies) to be Served: List each county and its designation (e.g. transitional, distressed, etc.)

List the Distressed Area Census Tracts – Use the *County Economic Status and Distressed Area* report in your packet

**Basic Agency:** Not required for non-construction projects

Goal/Strategy: Identify the primary ARC Goal and State Objective which the project will address. Specify the State Strategies by number

Purpose: 1-2 sentence statement describing overall purpose of proposed project

Funding:	<u>Amount</u>	<u>% age</u>	<u>Source</u>
<b>ARC</b>	<b>\$200,000</b>	<b>36 %</b>	<b>ARC AD</b>
Federal	200,000	36 %	RD Grant
State	100,000	18 %	CDBG
Local	50,000	9 %	RD Loan
Local	<u>10,000</u>	<u>1 %</u>	Grantee
<b>Total</b>	<b>\$560,000</b>	<b>100 %</b>	

**Description:** Description of major activities to be conducted under grant proposal. The description should address who, what, where, when and how for each major activity.

Rationale:

- Critical circumstances that compel project to be funded
- Local, regional and/or state need for project
- Problems and/or issues that project will alleviate
- Why this project is a good investment of ARC funds and why the ARC funds are necessary

Benefit:

- Results and accomplishments to be derived from project
- Other non-quantifiable benefits (e.g. new partnerships, improved standard of living, etc.)

Output/Outcome:

- Identify output and outcome measurements (as defined by ARC, see Appendix B)
- Identify Outcomes of this proposal (as defined by ARC, see Appendix B)

Leveraged Private Investment:

Identify anticipated private sector commitments (with associated dollar amounts) and associated job impacts that follow as a result of this project for a three-year period following completion of the project. *Does not apply to Planning Projects.*

# APPENDIX D – APPLICATION QUESTIONS

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## Goals & Strategies

1. Indicate which of the following four ARC Goals the proposed project will address. Select only ONE goal the proposed project will primarily address:
  - a. Economic Development and Job Creation (Financial Capital),
  - b. Health, Education, and Training (Human Capital),
  - c. Develop and Improve Infrastructure (Physical Capital),
  - d. Build Highways/Reduce Isolation through the Appalachian Development Highway System.
  
2. Indicate the State Objective to be addressed by the project. Select only ONE State objectives based on your ARC goal.
  - a. Promote regional partnerships that support regional economic development, encourage activities that diversify the economic base, enhance entrepreneurial activities, develop a highly skilled, competitive workforce, and provide training and technical assistance to agents engaged in economic development.
  - b. Develop a world class work force that is well educated and appropriately trained for the job market, as well as provide adequate health care services throughout the Region.
  - c. Assist communities to provide and develop an adequate physical infrastructure to support economic development opportunities and improve the quality of life.
  - d. Expand and upgrade existing roadways in rural communities to allow greater access to resources and opportunities for increased economic growth.
  
3. Indicate the specific Strategies based on Virginia ARC objective selected in Item 2 for the proposed project. Please list the strategies by number and write out the strategy description that best fits the proposed project (do not just provide the number). Consult the Virginia ARC Annual Strategy for additional information on the Goals and Virginia's Objectives and Strategies. You can find this document at the DHCD website, <http://www.dhcd.virginia.gov/index.php/community-partnerships-dhcd/downtown-revitalization/appalachian-regional-commission-arc.html>.
  
4. Indicate if your project is a CONSTRUCTION or NON-CONSTRUCTION project. Note there are different forms and questions to be completed based on the type of project.

## Project Description

5. Describe in a one sentence the main purpose of the proposed project, proposed project activities, and the expected outcome(s) of the project.

Provide a detailed description of the project. Describe the proposed project and all major activities such as construction, expansion, or rehabilitation, jobs creation, water or sewer service, employment or health care, etc., location, and the population to be served through which proposed programs (and describe each program).

6. Discuss the proposed beneficiaries. Applicants must provide letters and other documentation which provide confirmation that the project will benefit the number of individuals it is targeting. Identify any individuals expressing an interest in participating as a project beneficiary, providing, also, their names and telephone numbers. Applicants are strongly encouraged to solicit letters from proposed beneficiaries and include in the *ATTACHMENTS* section.
7. Identify those individuals and organizations, including names and telephone numbers, which have committed to support this project. Provide information on the type and level of support provided (in-kind and financial resources). Identify any individuals expressing an interest in participating as a project beneficiary, providing, also, their names and telephone numbers. Be prepared to provide letters from these individuals and entities documenting their role in the project upon request in the ATTACHMENTS tab.

### **For Construction Projects Only**

8. Identify who will own the improvements and provide maintenance for the completed project (*where applicable*). Enter "N/A" if this does not apply.

### **Telecommunication Project Only**

9. *Telecomm projects*- If you are applying for funding to support a telecommunications effort provide a response. If this question does not apply, enter "N/A".

Discuss in detail which of the three eligible telecommunications project types this proposal addresses:

- Planning
- System Development and Technical Support
- Implementation

10. *Telecomm projects*- If you are applying for funding to support a telecommunications effort provide a response. If this question does not apply, enter "N/A".

Discuss in detail how the proposed effort addresses one of the following ARC Telecommunications Focus Areas:

1. Access and Infrastructure
2. Education and Training
3. E-Commerce
4. Technology Sector Job Creation

11. **Asset Based Development Project Only**

*Asset-Based Development projects*- If you are applying for funding to support an asset-based development effort provide a response. If this question does not apply, enter "N/A".

Discuss how this project addresses at least one of the five key elements of asset based development:

1. Cultural Assets
2. Natural Assets
3. Leadership/Community Assets
4. Structural Assets
5. Business/Economic Assets

**Energy Efficiency Project Only**

12. *Energy Efficiency projects* - If you are applying for funding which has an energy-efficiency component provide a response. If this question does not apply, enter "N/A".

Identify any energy efficient features to be utilized in this project. Describe any efforts that were made to improve the energy efficiency of the project, including a discussion of features that were considered but were not included.

13. Comment on any efforts that have been made to improve the energy efficiency of the proposed project. If any "green building" standards are being utilized, please identify them. Recommended areas that should be discussed are energy efficiency considerations related to the building design, materials used, and technology utilized.

**Project Rationale**

14. Indicate the NEED for the project. This section should address the extent to which there is a need for your proposed project. In addressing project needs, discuss any relevant data (include sources) derived from plans, studies, statistics, or engineering reports. The sources of such data should be cited (title, date, page numbers) and include documentation in the ATTACHMENTS section but remember to summarize all key elements in your narrative. There must be a direct and substantial relationship between the proposed project, ARC goal and state objective, and documented community need.

15. Explain how the proposed project will fill a void in current services or programs. Describe problems or opportunities the project will address and how these issues impact the community and will be addressed by the proposed project and the need for ARC resources in addressing the need. Describe and provide evidence of the local/regional demand for the project, and provide letters from key stakeholders, customer data, etc. to support these claims in the ATTACHMENTS section. Explain why the proposed approach is the most beneficial. Explain why the project is the most practical, cost effective, and beneficial way to achieve the desired results when compared to other alternatives.

16. Explain how this project is ready to proceed. Why is now the appropriate time to undertake this effort? (Note: Projects should be approved by ARC by August of 2016.) The start date

should be projected to be no earlier than August 1, 2016. What steps have been taken to get the applicant and its proposed beneficiaries ready for this project? What is the level of energy and degree of will among the organization and its partners to see this effort through? **Complete the *Performance Target Table* template in the *ATTACHMENTS* section.**

17. If the proposed project is a continuation or expansion of an ongoing program (whether or not the program received ARC funding), describe the program's outputs and outcomes to date, as well as other project milestones reached. Describe any evaluations tools or methods that were used to measure the accomplishment and progress.

## **Project Location**

18. Please describe the locality (or localities) where the project will be located and the project's service area by locality (or localities) (i.e. place name, boundaries, building, etc.) Please note to include (a) the geographic area for services and benefits for residents that are in relatively close proximity, or (b) the service area when residents are scattered over a wide area.
19. Provide a list of all census tracts in the service area and a map in the *ATTACHMENTS* of the project service area with census information overlaid. If your project only serves part of a Transitional or Competitive County, be very clear about which census tracts are included. ARC tracks activities and benefits in "areas of distress" within Distressed, At-Risk, Transitional, and Competitive Counties.

Attach maps(s) to illustrate the project's location and service area, as well as proximity to distressed areas. Projects providing site improvements, a site map must show proposed improvements, including affected or proposed buildings or facilities, water and sewer lines, water storage tanks, treatment plants, drainage improvements, access roads, location of assisted industry(ies) on site plan, etc. The map(s) should show at least a 10-mile radius, clearly showing roads, appropriate service area, and significant landmarks.

20. Describe why the location and service areas were selected.

## **Relation to Other Local/Regional Activities**

21. Describe how the project addresses the priorities of local or regional community or economic development strategy or plans, and describe efforts to coordinate the project with other area economic development activities.
22. In what ways does the proposed activity represent progress toward addressing a regional strategy, such as a comprehensive economic development strategy or a local visioning process?

**Performance Measures and Benefits<sup>1</sup>** *(Please note that if your project has jobs created/retention or leverage private investment attach letters documenting private-sector funding or job commitments, if available).*

23. Describe proposed performance measures and proposed project activities. Please note that the proposed performance measures and project activities must be measureable.

Outputs-Selecting an Output measure from Appendix B, please describe in detail the proposed project activities that will be implemented to achieve the associated output measures (quantifiable) to be accomplished. Please note that additional outputs not included in Appendix B may be included as well. Outputs **MUST** be specific, measurable, attainable, relative and time-bound. Percentages may also be used to supplement the application. *For example: provision of at least 4 classroom and 4 individualized follow-up training sessions in business development to approximately 20 entrepreneurs.*

List the expected outputs:

24. -Outcomes: *(Please note that if your project has jobs created/retention or leverage private investment attach letters documenting private-sector funding or job commitments, if available).*

Selecting an Outcome measure from Appendix B, please describe the overall desired goal or outcome measurement (including long-term benefit), specific ARC goal, specific state objective to be accomplished. The goal or outcome measure needs to be specific, measurable, attainable, relative and time-bound. Diversification of the local economy and reduction of out-commuting are examples of possible outcomes of a project that includes utility extensions to help an industry locate in a particular market. Consult *Appendix B* for examples of project Outcomes.

List the expected outcomes:

25. Describe additional project benefits likely to result from the project (e.e., positive impact of future economic development activity in the area).

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<sup>1</sup> For Construction Projects Only

**All projects:** If households, businesses, or other organizations will be served or improved, list the number of households (residences) served/improved separately from the number of businesses and other non-residential buildings, such as hospitals, schools, and churches.

▪**Water/sewer projects:** Estimate capacity constructed or repaired in millions of gallons per day (MGD), in addition to any other relevant performance measures.

▪**Water tank projects:** Estimate capacity constructed or repaired in millions of gallons (MG), in addition to any other relevant performance measures.

▪**Tourism projects:** Provide numerical (not percentage) estimates of new annual daytime visitors, new overnight visitors, and increased tourism revenues, in addition to any other relevant performance measures.

▪**Business, industrial parks, and speculative building projects:** include projections for the jobs that will be created, the jobs that will be retained, the businesses that will be served, and the private investment that will be leveraged when the site is complete. List other performance measures if relevant to the project scope.

## **Capacity and Management**

### *Note to Nonprofits*

*Nonprofit organizations applying for ARC funding must provide the following. Be sure to include these items in the ATTACHMENTS tab.*

- 1. A copy of their current designation as a 501(c)3 nonprofit organization.*
  - 2. A listing of the number and positions of fulltime and part-time staff of the organization. For smaller organizations this should include all staff, while for larger organizations (>15 employees) this can include only the staff associated with this project.*
  - 3. A detailed synopsis of similar projects managed and implemented by the organization within the last three years.*
26. Indicate the organization type (i.e. local government, educational institution, nonprofit, etc.) Provide a statement of the other business conducted by this organization and the relationship of this project to this other business.
27. Briefly describe your capacity to undertake the proposed activity by describing previous experience with relevant activities. Provide the name, description, performance targets, and outcome of two of the most similar and recent projects implemented by this organization.
28. Describe your experience in managing local, state and federal grants awards.
29. Provide the names and describe the qualifications (i.e. the skills, knowledge, and attributes each individual possesses and the value they provide to the overall project effort) of key individuals who will be responsible for managing and or carrying out implementation.
30. If your project involves the procurement of any consultant(s), describe the process that will be used to select this consultant. Will the consultant be solicited through a Request for Proposal (RFP)? Who will be responsible for evaluating and selecting the best response? What criteria will be used to determine the most suitable responses? Describe proposed qualifications for all consultants and subcontractors, and describe the competitive procedures used to select them.
31. Explain how the project will achieve long-term sustainability once the ARC support is no longer available. Include a description and timeline of efforts to secure other sources of support for future operations. Discuss the plans for continuation of the project following initial ARC funding (once ARC funds have been expended).
32. Provide a detailed work plan, including a description of all major project activities (what will be done, who will complete each activity) and a timeline for starting and ending the project. Identify and discuss methods you will use to document activities, progress, and program effectiveness. Identify any potential barriers to implementing the project and how these barriers will be overcome. Explain how you will make necessary changes to improve program performance.

## Funding Need

33. Detail why ARC funding is needed at this time. In addressing the need for ARC resources, discuss why ARC funding is being sought in lieu of other funding.
34. Please list all other funding sources (private, local, state, federal, etc.), please state if source is a grant or loan. Please include the status of all non-ARC funds (i.e. pending, committed, application submit, etc) of other sources and state whether implementation of the project is contingent on receiving the funds from these sources. If the project is contingent on these funds, please provide an explanation as to how the project will be implemented without these funds (i.e. scaled back, reduced beneficiaries or participants, etc.)

## Budget Information and Supporting Materials

### Required Budget Forms to be completed:

- a. *Complete the 424A or 424C form template in the ATTACHMENTS section*
  - b. *Complete the BUDGET AND DERIVATION template in the ATTACHMENTS section.* In completing this template be sure to list the specific project activities and the proposed funding to support each activity; it is critical to provide a high level of detail to illustrate exactly which activities will be supported with ARC funds. Be sure to accurately document the source of cost information. **Complete the Construction or Non-Construction budget form and upload any applicable letters of commitment from each funding source, citing the specific amount of funds committed, in the ATTACHMENTS section.**
35. Provide a detailed budget narrative explaining of anticipated expenditures by the line item listed on Standard 424A (non-construction) or 424C (construction) form, including expenses in the “other” line item, if applicable.
36. If the budget includes personnel or contractual expenses (cash or in-kind resources), estimate the number of hours/days and hourly rate (or portion of FTE and salary) for the time that is expected to be spent on the proposed activity by key personnel, contractors, or consultants. (After grant is awarded, all time should be tracked by actual hours worked for each individual.)
37. Provide descriptions of specific in-kind resources committed, including the methods used to determine their value.
38. Calculations of match – ARC project match rates are dependent on the economic status of the counties the project serves. List each locality your project will serve and the economic status of each.
  - a. If your project will serve multiple localities with the same economic designation, see page 8 of the RFP to determine the ARC match rate for your project.

- b. If your project will serve more than one locality, and the localities have different ARC economic designations, contact your state ARC program manager to identify the match rate for you project.

39. Leveraged Private Investment: Identify private sector commitments that follow as a result of the completion of this project. Leveraged private investment is different from the funds that leverage the ARC request and are a part of the project budget, and not all proposals will include leveraged private investment. Estimates for the leveraged private investment and associated job impacts for a three-year period following the completion of this project should be included. Letters of commitments by private companies should be available.

For example: Amount of private funds invested in relocating to the project area by Business X as a result of the installation of and access to telecommunications / fiber optics.

40. Provide any additional information necessary to support your proposal. Enter "N/A" if the proposal is complete

# APPENDIX E – ATTACHMENT INSTRUCTIONS

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You may submit attachments to support your application. When doing so you must provide a separate Table of Contents to outline your attachments. The Table of Contents should indicate the name of the uploaded file and describe the contents of the attachment. When naming your attachments, use file names which identify the attachment's contents. For example, Preliminary Engineering Report, Operations Plan, Feasibility Study, Project Pictures, and so forth. When including ATTACHMENTS, be sure to summarize key elements in the narrative section. Also use the narrative section to cite certain attachments.

## ATTACHMENTS

Proposal Summary: To be completed by all applicants. Attach a maximum 2-page proposal summary in Word in the format shown. Be sure that all budget figures match your derivation of cost worksheet, project budget, and any other supporting documentation.

424 Budget: Attach either the SF424C (Construction) or SF424A (Non-Construction) budget for your project.

Maps: Attach maps if needed to illustrate the project's service area and proximity to distressed areas and for projects providing site improvements, a site map showing proposed improvements, including affected or proposed buildings or facilities, water and sewer lines, treatment plants, access roads, location of assisted industry(ies) on site plan, etc. For all projects, be prepared to provide a map within at least a 10-mile radius, clearly showing roads or appropriate service area at a later time. ALL maps should be LEGIBLE and contain a scale which is clearly marked on the map.

Performance Target Table: To be completed by all applicants. This illustrates the key milestones for the project.

Budget and Derivation Template: To be completed by all applicants. Details the source, amount, and status of funds, along with how costs were derived. Please be sure this figure matches the figures on the Proposal Summary and the Project Budget.

Letters of Support - Attach letters from key stakeholders in support of this project.

PER / PAR / Master Plan: Attach a copy of the PER/PAR or other relevant study for the project. If more than one document, please combine into a zip file. **Construction Projects** – Provide a detailed engineer's budget for the construction project, detailing line-item project costs. Project total from the engineer's budget should match budget figures elsewhere in the application. Explain any discrepancies. **Non-construction Projects** – Provide a detailed budget that includes sources and uses of ARC funds and all non-ARC matching funds. Provide a budget narrative that explains expenditures by line items shown on the SF424A.

Commitment Letters: Attach signed award letters or other documentation showing other funds in the project have been committed.

**Basic Agency:** All construction projects must have a Basic Agency identified to administer the grant. Identify the proposed Basic Federal Administering Agency and the status of that agency's approval of this project, specifically whether a pre-application or application was submitted and whether that application was approved. Contact DHCD if you need help in identifying the Basic Agency.

Table of Contents: To be completed if additional attachments are included. Should indicate the name of the uploaded file and describe the contents of the attachment. Remember to name attachments based on their content.

The other fields are for additional items in support of your proposal. Please name the files according the content.

# Guide to ARC Project Performance Measures

Rev. Feb 2015

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 stand-alone outcome measures list below.*

### Stand-Alone Output Measures

- access road miles
- acreage
- energy capacity (KWh/KW)
- linear feet
- new visitors: days
- new visitors: overnights
- plans/reports
- square feet
- system capacity (MGD/MG)

### Stand-Alone Outcome Measures

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

## Paired Performance Measures

*The output and outcome measures below must be paired as shown.*

<b>Output Measure</b>	<b>Outcome Measure</b>
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

## **Definitions: Outputs**

### **Access Road Miles**

The length of the access roads constructed as part of the project, in miles or decimals of miles (not linear feet).

### **Acreage**

The number of acres impacted by an ARC site-development or reclamation project, such as the number of acres graded and prepared for development at an emerging industrial park, the number of acres open to future development, or the number of acres remediated in a reclamation project.

### **Businesses Served**

The number of businesses served by an ARC project, including entrepreneurship projects, business technical assistance, and infrastructure projects.

### **Communities Served**

The number of communities served by an ARC project, including projects that improve planning, civic participation, infrastructure, and educational opportunities. For consolidated technical assistance grants, the number of communities served is the number of projects submitted by state ARC program offices.

### **Energy Capacity (KWh/KW)**

The number of kilowatt hours saved by energy efficiency projects, or kilowatts produced by renewable energy projects within one year of project implementation.

### **Households Served**

The number of households served by an ARC infrastructure project. This includes either the number of households with access to a new service (e.g., water, sewer, gas line, or telecommunications) or the number of households with improved infrastructure (e.g., improvements in health or safety, compliance with environmental quality, improved water pressure).

### **Linear Feet**

The number of linear feet of pipe, wire, cable, trails, etc. to be constructed or installed.

### **New Visitors: Days**

The number of new daytime visitors to a tourism destination times the number of days they visit, within one year of project implementation.

### **New Visitors: Overnights**

The number of new overnight visitors to a tourism destination times the number of their overnight stays, within one year of project implementation.

### **Organizations Served**

The number of organizations served by an ARC project, including hospitals, schools, churches, non-profits, non-governmental organizations, and government agencies (use when number of businesses or households does not apply).

### **Patients Served**

The number of unique patients receiving clinical services one or more times as a result of an ARC health project. For equipment projects, report the number of patients served during the project period and one year after the equipment is deployed. For health projects that do not provide clinical services (such as health promotion activities), use the measure “participants served.”

### **Participants Served**

The number of individual participants that can be served or are targeted by an ARC project (use when patients, students, or worker/trainee measures do not apply). This can include the number of attendees at a meeting, workshop or conference. For example, the number of individuals participating in a planning process; or the number of individuals attending health promotion activities.

### **Plans/Reports**

The number of plans or reports developed as a result of an ARC project. This could include strategic plans, master plans, concept plans, or plans for infrastructure improvements or new programs, as well as research reports, feasibility studies, etc. This measure is often paired with the outcome “Programs Implemented,” since a program or specific activity is often implemented as a result of a planning process.

### **Square Feet**

The number of square feet constructed or improved by an ARC project, such as the square footage of a renovated community center, a newly constructed parking lot, a reconfigured interior space, etc.

### **Students Served**

The number of students that an ARC education project will be able to serve, measured during the project period, when possible (e.g., the number of students served by a science and technology program in a given semester or year). For projects that are not fully operational during the project period, the measurement time period may be extended up to three years after the project end date. Projects that expand existing programs count only the additional number of students served.

### **System Capacity (MGD/MG)**

The capacity of a water or sewer system, in millions of gallons per day; or the capacity of a water tank, in millions of gallons. This includes the capacity of a new water or sewage treatment plant or water tank, or the increase in capacity of a plant due to renovation, new equipment, or other improvements. This measure may be expressed in decimals.

### **Workers/Trainees Served**

The number of worker/trainees that an ARC training project will be able to serve, measured during the project period when possible. For example, the number of worker/trainees the project will be able to enroll in a new workforce education program. For projects that are not fully operational during the project period, the measurement time period may be extended up to three years after the project end date. Projects that expand existing programs count only the additional number of workers/trainees that the project will be able to serve.

## **Definitions: Outcomes**

### **Businesses Created**

New businesses created as a result of an ARC project. This is generally a secondary measure in business development projects such as entrepreneurship training, value-added agriculture, access to capital, or business accelerators/incubators. The grantee should estimate how many new businesses will be created within three years of the project end date.

### **Businesses Improved**

The number of businesses with a measureable improvement as a result of an ARC project. For each project this number is always the same as, or a subset of, the “businesses served” output measure.

**Communities Improved**

The number of communities with a measureable improvement as a result of an ARC project, including projects that improve planning, civic participation, infrastructure, and educational opportunities. This measure should also be used for consolidated technical assistance grants. The “communities improved” number will always be the same as, or a subset of, the “communities served” output measure.

**Costs Reduced**

Costs reduced as a result of project activities, within one year of project implementation. For example, small business technical assistance may help a business streamline and cut costs, or an energy-efficiency program may help to reduce energy costs, through a renegotiated flat fee for energy use or through a reduction in kilowatt hours used. See the output measure “energy capacity.”

**Households Improved**

The number of households with measureable improvement as a result of an ARC project. For each project this number is always the same as, or a subset of, the “households served” output measure. For infrastructure projects, the output and outcome numbers are usually the same.

**Housing Units Constructed/Rehabbed**

The number of housing units constructed or rehabilitated as a part of an ARC housing or community development project.

**Jobs Created**

The projected number of jobs (direct hires, excluding construction jobs) that will result from an ARC project, measured during the project period and up to three years after the project end date. Part-time and seasonal jobs should be converted to full-time equivalents and rounded up to whole numbers. Note: for infrastructure projects, employers must provide letters stating their intention to create a specific number of new jobs; for non-infrastructure jobs, applicants should estimate the number of jobs that will be created by the organizations expected to benefit from the project.

**Jobs Retained**

The number of jobs that would be lost or relocated without the ARC project, measured during the project period and up to three years after the project end date. Existing jobs benefitting from an infrastructure upgrade cannot be counted as jobs retained. Note: for infrastructure projects, employers must provide letters explicitly stating the number of jobs at risk, due to loss of competitiveness or relocation, without the project. For non-infrastructure projects, applicants should estimate the number of existing jobs that would be at risk, due to loss of competitiveness or relocation, without the ARC-funded project.

**Leveraged Private Investment (LPI)**

The dollar amount of private-sector financial commitments, outside of project costs, that result from a project, measured during the project period and up to three years after the project end date. Note: for infrastructure projects, businesses must provide letters stating their intention to make a specific level of investment if the project is funded; for non-infrastructure jobs, applicants should estimate the dollar value of investments that will be made by the company or companies that will benefit from the project.

**Organizations Improved**

The number of organizations with a measureable improvement as a result of an ARC project. This number is always the same as, or a subset of, the “organizations served” output measure.

**Patients Improved**

The number of unique patients expected to benefit from an ARC health project. Because it is usually assumed that all patients served by a health project receive some benefit from it, the numbers for

“patients served” and “patients improved” is usually the same. However, if the project grantee can perform clinical measurement of health outcomes, the outcome number may be lower than the output number. For example, if 30 obese patients participate in an exercise program and 25 are expected to lower their BMI by a certain percentage, the output could be recorded as 30 patients served and the outcome as 25 patients improved.

### **Participants Improved**

The number of participants with a measureable improvement as a result of the project (use when patients, students, or worker/trainee measures do not apply). A plan and a method for measuring the degree of improvement must be provided. This number is always the same as, or a subset of, the “participants served” output measure. If outcomes are not achieved or cannot be measured within three years after the project is completed, the number of participants that complete or attend all or a required number of components of the project activity may be substituted. For example, the number of participants that attend at least four out of the five community workshops offered.

### **Programs Implemented**

The number of new programs, or the number of ongoing activities related to a defined goal, that are implemented as a result of an ARC project. If possible, use with other measures that indicate the results of the project, such as students, workers, participants, etc.

### **Revenues Increased: Export Sales**

The increase in revenue in export sales that a business or businesses realize as a result of an ARC project, within three years of the project end date.

### **Revenues Increased: Non-Export Sales**

The increase in revenue in domestic (non-export) sales that a business or businesses realize as a result of an ARC project, within three years of the project end date.

### **Students Improved**

The number of students who obtain a job in the field for which they were specifically trained; the number that receive a diploma, certificate or other career credential; or the number of students who successfully complete a course or unit of study and/or graduate to the next grade or level necessary to continue their education. When outcomes occur after the project period, the number of students improved may be counted up to three years beyond the project end date. For programs where final outcomes are achieved after three or more years, the number of students improved may be counted by an alternative benchmark, such as the number of students completing a skill, grade, or level, or continued enrollment for the project period. This number is always the same as, or a subset of, the “students served” output measure.

### **Telecom Sites**

The number of new telecom services installed as a result of an ARC project. This diverse measure includes, but is not limited to, new telemedicine sites, new wi-fi hotspots, a new wireless router or computer lab at a high school, new fiber run to an industrial site, a new antenna used to provide broadband service, etc.

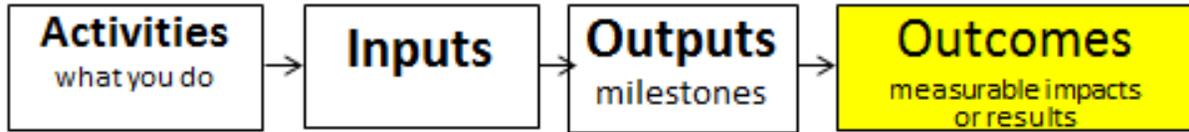
**Workers/Trainees Improved**

The number of workers/trainees with improved skills that enable them to obtain employment or to enhance their current employment. For example, the number of workers or trainees obtaining a new job; getting higher pay or a better position; or receiving a certification, measured during the project period when possible. When outcomes occur after the project period, the number of workers or trainees improved may be counted up to three years beyond the project end date. For programs where outcomes are achieved after three or more years, the number of students improved may be counted by an alternative benchmark, such as completion of a skill, level/course, or continued enrollment for the project period. This number is always the same as, or a subset of, the “workers/trainees served” output measure.

# What are Outcomes and Outputs? How are they connected?

**Outputs:** Outputs are the activities or deliverables that will be accomplished as a result of a grant. Outputs are generally described as deliverables or milestones in a work plan or timeline. Outputs include things like the number of workers trained, square feet developed, or new day visitors to a facility. Outputs are generally accomplished during the life of the grant.

**Outcomes:** Outcomes are the measurable impacts or results of the work of the grant. Outcomes sometimes occur after the completion of the grant.



Training  
Outreach  
Recruitment  
Construction  
Repair

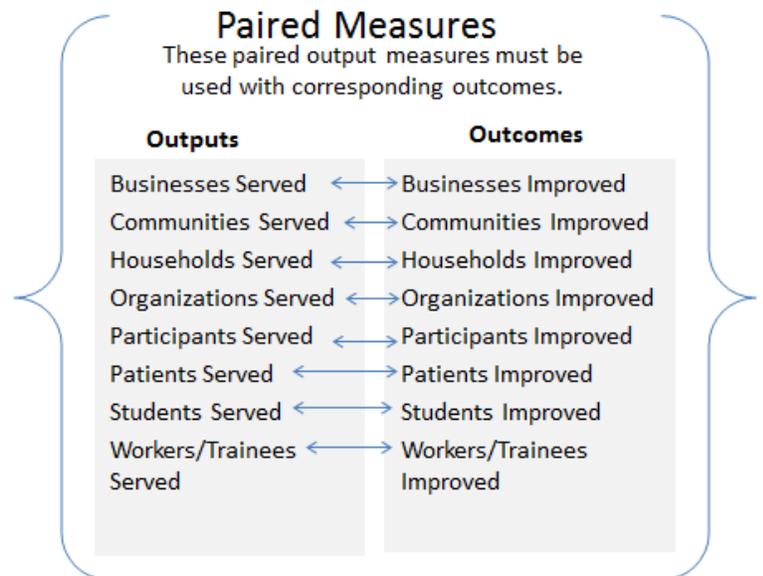
Staff  
Materials  
Equipment

Access Road Miles  
Acreage  
Energy Capacity  
(KWh/KW)  
Linear Feet  
New Visitors -Days  
New Visitors -  
Overnights  
Plans/Reports  
Square Feet -  
System Capacity  
(MG/MGD)  
Plans/Reports

Businesses Created  
Costs Reduced  
Housing Units  
Constructed/Rehabbed-  
Jobs Created  
Jobs Retained  
Leveraged Private Investment  
(LPI)  
Programs Implemented Revenues  
Increased- Export Sales  
Revenues Increased- Non-export  
Telecom Sites

## Tips for Paired Measures

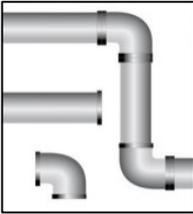
If the project will result in stakeholders or groups that will be *served* (i.e. inputs such as: students, businesses, organizations, or patients), then the grantee must also measure the number of stakeholders or groups that will be *improved* (i.e. outcomes such as: students, businesses, organizations, or patients). For example, if a project results in 100 households served (output), then the project must also estimate how many will be improved (outcome). The improved (outcome) number is always the same as, or a subset of, the served (output) measure.



# Sample ARC Project Types & Performance Measures

The following chart lists examples of common ARC project types and the performance measures that are typically tracked by these projects. ARC grant applicants must select at least one output and one outcome per ARC project, though not necessarily all the performance measures listed below. Applicants may be asked to demonstrate how they estimated projected measures and how they will verify the measures during the course of the project.

If selected, paired measures must be used together. Paired measures are linked with an arrow in the chart below.

PROJECT TYPE	COMMON OUTPUTS	COMMON OUTCOMES
<p><b>Water, sewer, or infrastructure construction project</b></p> 	<p>Households served ↔            Businesses served ↔            MGD capacity            Linear feet</p>	<p>Households improved            Businesses improved            Jobs created            Jobs retained            Leveraged private investment</p>
<p><b>Tourism facility, revitalization, or trail construction project</b></p> 	<p>Communities served ↔            Businesses served ↔            Square feet            Acreage            New visitors - days            New visitors – overnights</p>	<p>Communities improved            Businesses improved            Non-export (tourism) revenues increased</p>
<p><b>Education or workforce development project</b></p> 	<p>Students served ↔            Workers/trainees served ↔</p>	<p>Students improved            Workers/trainees improved            Programs implemented</p>
<p><b>Healthcare access, health promotion project</b></p> 	<p>Communities served ↔            Patients served ↔</p>	<p>Communities improved            Patients improved            Programs implemented</p>

## Sample ARC Project Types & Performance Measures, cont'd.

PROJECT TYPE	COMMON OUTPUTS	COMMON OUTCOMES
<p><b>Business Development, Entrepreneurship project</b></p> 	<p>Businesses served</p> <p style="text-align: center;">←→</p>	<p>Businesses improved            New businesses created            Jobs created            Jobs retained            Leveraged private investment            Export revenues increased            Non-export revenues increased</p>
<p><b>Local access road project</b></p> 	<p>Businesses served            Access road miles</p> <p style="text-align: center;">←→</p>	<p>Businesses improved            Jobs created            Jobs retained            Revenues increased            LPI</p>



# Checklist for Appalachian Regional Commission Non-Construction Project Applications

Rev. Feb 2015

*This checklist is a guide to the information required for ARC project applications. Please list, in the column at left, the page number in your application where the required information can be found. Submit completed applications to your state ARC program office.*

## SECTION 1: PROJECT NARRATIVE

*Formatting instructions: Use the headings below as headings for your project narrative. The suggested length of the narrative is 5-8 pages. Please number the pages.*

### 1. Goals and Strategies

- List the primary ARC goal and the primary ARC objective the project will address (one goal and one objective only). See the [ARC Project Guidelines \(page 2\)](#) for a list of ARC goals and objectives.
- List the primary ARC state strategy the project will address. See your state's *ARC Strategy Statement* for a list of strategies.

### 2. Performance Measures & Benefits

- List the expected outputs and outcomes of the project. See the *Guide to ARC Project Performance Measures* for information on identifying outputs and outcomes.
- If your project has "jobs created," "jobs retained," or "leveraged private investment" as an outcome, attach letters documenting private-sector funding or job commitments, if available.
- Describe other project benefits likely to result from the project (e.g., positive impact on future economic development activity in the area).

### 3. Project Description

- Provide a one-sentence statement that describes the primary purpose of the proposed project, proposed project activities, and the projected outcome. For example: "This project will provide training that helps workers obtain advanced manufacturing jobs and that meets the needs of local employers."
- Provide a detailed work plan, including a description of all major project activities (what will be done, who will complete each activity) and a timeline for starting and ending the project.
- Identify the counties where the activity will be based and the counties in the project's entire service area. If the project is not county-wide, identify the census tracts where the activity will be based and the census tracts in the project's entire service area.
- Attach maps to illustrate the project's service area.

### 4. Project Rationale

- Describe problems or opportunities the project will address and how these issues impact the community.
- Explain why the proposed activity is the most practical, cost-effective, and beneficial way to achieve the desired results when compared to alternative approaches.
- Provide evidence of local/regional demand for the proposed project (e.g., letters from key stakeholders, or customer data).
- Describe any partnerships or collaborations with other local community, state, regional, and federal partners in the development of the proposal.
- Explain how the proposed activity represents progress toward addressing a regional strategy, such as a comprehensive economic development strategy or a local visioning process.
- If the proposed project is a continuation or expansion of an ongoing program (whether or not the program received ARC funding), describe the program's outputs and outcomes to date, as well as other project milestones reached.

	<p><b>SECTION 1: PROJECT NARRATIVE, cont'd.</b></p>
	<p><b>5. Project Sustainability and Grantee Capacity</b></p> <ul style="list-style-type: none"> <li>• Briefly describe your capacity to undertake the proposed activity by describing previous experience with similar activity.</li> <li>• Describe your experience in managing grants and your capability for managing federal awards.</li> <li>• Describe the qualifications of key individuals who will manage and operate the project. Attach position descriptions or brief resumes of these individuals.</li> <li>• Describe the qualifications of all consultants and subcontractors, if any, and describe the competitive procedures that will be used to select them.</li> <li>• Explain how the project will achieve long-term sustainability once ARC support is no longer available. Include a description and timeline of efforts to secure other sources of support for future operations.</li> </ul> <p><b>6. Executive Summary</b></p>
	<ul style="list-style-type: none"> <li>• Provide a 2-page executive summary of project goals, purpose, measures, key activities, and rationale.</li> </ul>
	<p><b>SECTION 2: BUDGET INFORMATION AND SUPPORTING MATERIALS</b></p>
	<p><b>1. Detailed Budget &amp; Budget Narrative</b></p> <ul style="list-style-type: none"> <li>• Provide a detailed budget that lists the sources and uses of ARC funds and all non-ARC matching funds.</li> <li>• Provide a budget narrative that includes a detailed explanation of expenditures by the line items listed on Standard Form 424A. Include purpose of travel and supply/equipment lists, and describe expenses in the 'other' line item, if applicable.</li> <li>• If the budget includes personnel or contractual expenses (cash or in-kind resources), estimate the number of hours/days and hourly rate (or portion of FTE and salary) for the time that is expected to be spent on the proposed activity by key personnel, contractors, or consultants. (After grant is awarded, all time should be tracked by actual hours worked for each individual.)</li> </ul> <p><b>2. Non-ARC Funding Commitments</b></p>
	<ul style="list-style-type: none"> <li>• Identify each non-ARC funding source as federal, state, local, or private; and include a letter of commitment from each funding source that includes the specific amount of funds committed, and states whether the funding is a grant or a loan.</li> <li>• Provide descriptions of specific in-kind resources, including the methods used to determine their value.</li> </ul> <p><b>3. ARC Match Rate Calculation</b></p>
	<ul style="list-style-type: none"> <li>• ARC project match rates are dependent on the economic status of the counties the project serves. If you don't know the economic status of the county or counties your project will serve, see the <i>ARC County Economic Status and Match Rates</i> table on the ARC Web site.</li> <li>• List each county your project will serve and the economic status of each.</li> <li>• If your project will serve one county, or several counties with the same economic designation, use the table below to determine the ARC match rate for your project.</li> <li>• If your project will serve more than one county, and the counties have different ARC economic designations, contact your state ARC program manager to identify the match rate for your project.</li> <li>• ARC funding is not available for projects that serve ARC-designated attainment counties, unless the project's service area includes a distressed county and that county will directly benefit from the project. (Contact your state ARC program manager for more information on projects that serve attainment counties.)</li> </ul>

**SECTION 2: BUDGET INFORMATION AND SUPPORTING MATERIALS , cont'd.**

**Match Rates**

<b>Economic Status of County the Project Will Serve</b>	<b>ARC/Applicant Match Rate</b>
Distressed County	80/20
At-Risk County	70/30
Transitional County	50/50
Competitive County	30/70

**4. Additional Documentation**

- Enclose pertinent supporting materials that will lead to a better understanding of the proposed project.
- Do not include form letters or financial audits.

**SECTION 3: REQUIRED APPLICATION FORMS**

*Attach the required application forms to the front of your application packet.*

- Federal Standard Form 424 (Include ARC funds and all matching funds.)
- Federal Standard Form 424A (Budget Information)
- Federal Standard Form 424B (Non-Construction Assurances)
- ARC Memorandum of Understanding
- Other forms as required by state ARC program offices (ARC Form 3 may be required)



# Checklist for Appalachian Regional Commission Construction Project Applications

Rev. Feb 2015

This checklist is a guide to the information required for ARC project applications. Please list, in the column at left, the page in your application where the required information can be found. Submit completed applications to your state ARC program office.

## SECTION 1: PROJECT NARRATIVE

Formatting instructions: Use the headings below as headings in your project narrative. The suggested length of the narrative is 5-8 pages. Please number the pages.

### 1. Goals and Strategies

- List the primary ARC goal and the primary ARC objective the project will address (one goal and one objective only). See *ARC Project Guidelines (page 2)*, for a list of ARC goals and objectives.
- List the primary ARC state strategy the project will address. See your state’s ARC Strategy Statement for a list of strategies.

### 2. Performance Measures & Benefits

- List the expected outputs and outcomes of the project. See the *Guide to ARC Project Performance Measures* for information on identifying outputs and outcomes, and the information below on project-specific requirements. *Note:* if your project has “jobs created,” “jobs retained,” or “leveraged private investment” as an outcome, attach letters documenting private-sector funding or job commitments.

#### Project-Specific Requirements

- **All projects:** If households, businesses, or other organizations will be served or improved, list the number of households (residences) served/improved separately from the number of businesses and other non-residential buildings, such as hospitals, schools, and churches.
- **Water/sewer projects:** Estimate capacity constructed or repaired in millions of gallons per day (MGD), in addition to any other relevant performance measures.
- **Water tank projects:** Estimate capacity constructed or repaired in millions of gallons (MG), in addition to any other relevant performance measures.
- **Tourism projects:** Provide numerical (not percentage) estimates of new annual daytime visitors, new overnight visitors, and increased tourism revenues, in addition to any other relevant performance measures.
- **Business, industrial parks, and speculative building projects:** include projections for the jobs that will be created, the jobs that will be retained, the businesses that will be served, and the private investment that will be leveraged when the site is complete. List other performance measures if relevant to the project scope.
- Describe other project benefits likely to result from the project (e.g., positive impact on future economic development activity in the area).

### 3. Project Description

- Provide a one-sentence statement describing the proposed activities and expected outcomes of the project. For example: *This project will extend sewer service to 50 households and 200 businesses in order to create jobs and increase future development.*
- Provide a detailed work plan, including a description of all major project activities (what will be done, who will complete each activity) and a timeline for starting and ending the project.
- Identify the counties where the project will be located and the counties in the project’s entire service area. If the project is not county-wide, identify the census tracts where the project will be located and the census tracts in the project’s entire service area.

	<p><b>SECTION 1: PROJECT NARRATIVE, cont'd.</b></p> <ul style="list-style-type: none"> <li>• Provide a preliminary engineering report, an architect's report, or a detailed description of all major construction components. Include details, such as linear feet to be constructed, square footage built, acreage served, and timelines for starting and completing each component, and alternative approaches that were considered.</li> <li>• Identify the organization or agency that will own improvements and provide maintenance for the completed project.</li> <li>• Attach maps to illustrate the project's service area and detailed maps or schematics that show the route of utility systems, diagrams of building sites, and floorplans of buildings to be constructed.</li> </ul> <p><b>Project-Specific Requirements</b></p> <ul style="list-style-type: none"> <li>▪ <b>For projects where energy-efficiency can be improved</b> (in the scope of the project), discuss efforts that may have been made to improve the energy-efficiency and green-building practices of the project, as outlined in the <i>ARC Project Guidelines</i>.</li> <li>▪ <b>For residential service projects in non-distressed counties</b>, explain how the project meets the "Policy for Residential Infrastructure Projects" in the <i>ARC Project Guidelines (page 18)</i>. Include letters or other documentation from state health/environmental agencies if relevant.</li> <li>▪ <b>For industrial sites or community facilities</b>, describe approaches to marketing the project to potential users and beneficiaries, including strategic sectors to be pursued and an explanation of who will be responsible for marketing activities. Indicate who will own and operate the property. Describe any plans for leasing or transferring ownership of the property, if applicable.</li> <li>▪ <b>For projects involving the acquisition of land or buildings with ARC or matching funds</b>, provide an MAI appraisal or a comparable appraisal.</li> <li>▪ <b>For projects involving construction or renovation of a community facility, tourism facility, hospital, business incubator, commercial kitchen, or similar facilities</b> include 5-year pro forma financial projections to demonstrate sustainability. Projections should be prepared by a third party. ARC may request a financial projection or business plan for other types of constructions projects.</li> </ul>
	<p><b>4. Project Rationale</b></p> <ul style="list-style-type: none"> <li>• Describe problems or opportunities the project will address and how these issues impact the community.</li> <li>• Explain why the proposed activity is the most practical, cost-effective, and beneficial way to achieve the desired results when compared to alternative approaches.</li> <li>• Provide evidence of the local/regional demand for the proposed project (e.g., letters from key stakeholders, or customer data).</li> <li>• Describe any partnerships or collaborations with other local community, state, regional, and federal partners in the development of the proposal.</li> <li>• Explain how the proposed activity represents progress toward addressing a regional strategy, such as a comprehensive economic development strategy or a local visioning process.</li> </ul>
	<p><b>5. Project Sustainability and Grantee Capacity</b></p> <ul style="list-style-type: none"> <li>• Describe your strategy for ensuring the project's long-term sustainability once ARC funds are no longer available, and your capacity to manage the facility's long-term operations.</li> </ul>
	<p><b>6. Executive Summary</b></p> <ul style="list-style-type: none"> <li>• Provide a 2-page executive summary of project goals, purpose, measures, key activities, and rationale.</li> </ul>

**SECTION 2: BUDGET INFORMATION AND SUPPORTING MATERIALS**

**1. Engineer or Architect Budget**

- Provide an engineer’s or architect’s budget detailing line item project costs. The project total from the engineer’s or architect’s budget should match the total on Standard Form 424. (Note that for construction projects only, ARC does not require a breakdown of expenditures by funding source.)
- If the ARC project is part of a larger, multi-phase project, provide only the detailed budget information that corresponds to the total budget for the ARC and matching funds. Example: a proposed ARC project includes \$500,000 of ARC funds and \$1.5 million of matching funds. This \$2 million project is part of a \$10 million multi-phase project. Applicant will provide detailed budget information only for the scope of the \$2 million ARC project, and will describe the rest of the larger \$10 million project in the Project Narrative section.

**2. Non-ARC Funding Commitments**

- Identify each non-ARC funding source as federal, state, local, or private; and include a letter of commitment from each funding source that includes the specific amount of funds committed, and states whether the funding is a grant or a loan.
- Provide descriptions of specific in-kind resources, including the methods used to determine their value.
- If match includes donated land or buildings, provide an MAI appraisal or comparable appraisal.

**3. ARC Match Rate Calculation**

- ARC project match rates are dependent on the economic status of the counties the project serves. If you don’t know the economic status of the county or counties your project will serve, see the *ARC County Economic Status and Match Rates* table on the ARC Web site.
- List each county your project will serve and the economic status of each.
- If your project will serve one county, or several counties with the same economic designation, use the table below to determine the ARC match rate for your project.
- If your project will serve more than one county, and the counties have different ARC economic designations, contact your state ARC program manager to identify the match rate for your project.
- ARC funding is not available for projects that serve ARC-designated attainment counties, unless the project’s service area includes a distressed county and that county will directly benefit from the project. (Contact your state ARC program manager for more information on projects that serve attainment counties.)

**Match Rates**

<b>Economic Status of County the Project Will Serve</b>	<b>ARC/Applicant Match Rate</b>
Distressed County	80/20
At-Risk County	70/30
Transitional County	50/50
Competitive County	30/70

**4. Additional Documentation**

- Enclose pertinent supporting materials that will lead to a better understanding of the proposed project.
- Do not include form letters, financial audits, or utility rate structure information.

	<p><b>SECTION 2: BUDGET INFORMATION AND SUPPORTING MATERIALS, cont'd.</b></p>
	<p><b>5. Basic Agency Letter Committing to Administer ARC Funds</b></p> <ul style="list-style-type: none"> <li>• Address the letter to the Executive Director of the Appalachian Regional Commission.</li> <li>• The letter must state the basic agency's willingness to administer the project, if approved by ARC; the ARC grant amount; the total matching funds amount; the total project cost; the primary contact(s) for financial administration and program management; and the proposed administrative fee, if applicable.</li> <li>• For projects that will be administered by the U.S. Department of Housing and Urban Development's Community Development Block Grant (CDBG) program or CDBG Entitlement program, the HUD certification form is the basic agency commitment letter.</li> </ul>
<p><b>SECTION 3: REQUIRED APPLICATION FORMS</b>  <i>Attach the required application forms to the front of your application packet.</i></p>	
<ul style="list-style-type: none"> <li>• Federal Standard Form 424 (Include ARC funds and all matching funds.)</li> <li>• Federal Standard Form 424C (Budget Information)</li> <li>• Federal Standard Form 424D (Construction Assurances)</li> <li>• ARC Memorandum of Understanding</li> <li>• Forms required by state ARC program offices (ARC Form 1 or Form 2 may be required.)</li> </ul>	