



# Appalachian Regional Initiative for Stronger Economies (ARISE)

## Notice of Solicitation of Applications (NOSA)

This Notice of Solicitation of Applications (NOSA) for project grants provides an overview of ARISE as well as the specific requirements needed to complete a grant application. The application process comprises three main steps; namely, the submittal of a project summary, a concept paper, and the submittal of a complete application upon invitation to apply.

NOSA release date	June 8, 2023												
Application period opens	June 8, 2023												
Pre-application workshop	June 22, 2023 at 10am EST ( <a href="#">Register for Workshop</a> )												
Project summary (mandatory)	A Project Summary must be submitted to and acknowledged by all State Program Managers in states impacted by a project prior to submission of a concept paper.												
Concept paper (mandatory)	<p>A concept paper using the template provided by ARC must be submitted prior to applying for an ARISE grant. Concept papers will be reviewed every two months starting the day after the first submittal deadline.</p> <table border="1"> <thead> <tr> <th>Round</th> <th>Submittal Deadline</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>October 31, 2023</td> </tr> <tr> <td>2</td> <td>December 31, 2023</td> </tr> <tr> <td>3</td> <td>February 29, 2024</td> </tr> <tr> <td>4</td> <td>April 30, 2024</td> </tr> <tr> <td>5</td> <td>June 30, 2024</td> </tr> </tbody> </table>	Round	Submittal Deadline	1	October 31, 2023	2	December 31, 2023	3	February 29, 2024	4	April 30, 2024	5	June 30, 2024
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Full applications (by invitation only)	ARC will only consider applications from applicants that have been invited to apply by ARC upon review of the concept paper.												

More information about ARISE, available technical assistance opportunities, and further guidance on submission is available at [www.arc.gov/ARISE](http://www.arc.gov/ARISE). Questions can be emailed to [ARISE@arc.gov](mailto:ARISE@arc.gov).

## Appalachian Regional Commission Overview

The Appalachian Regional Commission (ARC or the Commission) is a regional economic development entity that represents a partnership of federal, state, and local government. Established by an act of Congress in 1965 through the Appalachian Regional Development Act (ARDA) 40 U.S. Code § 14101–14704, ARC is composed of the governors of the 13 Appalachian states and a federal co-chair, who is appointed by the president of the United States. Local participation is also provided through multi-county local development districts (LDDs). ARC serves a 206,000-square-mile region (423 counties) of 26 million people that includes all of West Virginia and parts of 12 other states: Alabama, Georgia, Kentucky, Maryland, Mississippi, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, and Virginia.

## ARC Strategic Investment Goals

As described in ARC's strategic plan, [\*Appalachia Envisioned: A New Era of Opportunity\*](#), the Commission has identified five investment goals to advance its vision and mission and to guide its work through fiscal year (FY) 2026. These goals reflect consensus among local, state, and federal partners on the most critical investment opportunities in the Appalachian Region (the Region). While the investment goals are distinct, they are also interdependent, with progress on one goal often requiring investment in another. All ARISE applications must address one or more of these goals:

1. **Building Appalachian Businesses:** Strengthen and diversify the Region's economy through inclusive economic development strategies and investments in entrepreneurship and business development.
2. **Building Appalachia's Workforce Ecosystem:** Expand and strengthen community systems (education, healthcare, housing, childcare, and others) that help Appalachians obtain a job, stay on the job, and advance along a financially sustaining career pathway.
3. **Building Appalachia's Infrastructure:** Ensure that the residents and businesses of Appalachia have access to reliable, affordable, resilient, and energy-efficient utilities and infrastructure in order to successfully live and work in the Region.
4. **Building Regional Culture and Tourism:** Strengthen Appalachia's community and economic development potential by preserving and investing in the Region's local cultural heritage and natural assets.
5. **Building Community Leaders and Capacity:** Invest in the capacity of local leaders, organizations, and communities to address local challenges by providing technical assistance and support to access resources, engage partners, identify strategies and tactics, and conduct effective planning and project execution.

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## Background on the Appalachian Regional Initiative for Stronger Economies (ARISE)

The Infrastructure Investment and Jobs Act (IIJA) of 2021 (also known as the Bipartisan Infrastructure Law or BIL) provided the Appalachian Regional Commission with \$200 million per year for five years, in addition to regular annually appropriated funds. On January 3, 2022, the Commission approved Resolution 786, allocating fiscal year (FY) 2022 appropriations under BIL for Appalachian Regional Development Act Programs. Resolution 786 reserved \$80 million for a regional multistate initiative program designed to support larger initiatives that can have a transformational impact on Appalachian communities by funding multistate proposals.

To support development of the new regional multistate initiative, ARC contracted with the American Institutes for Research (AIR) to gather input from key leaders and collaborators on the design and implementation of the new initiative. AIR conducted interviews with ARC state and local economic development experts to obtain their perspectives on key elements to include in the initiative, areas for technical assistance, community development opportunities, and challenges in the Appalachian Region (the Region).

This program takes advantage of the significant increase in Commission funding and is issued as a challenge to provoke creative, large-scale, regional approaches to economic development in the Region. With the additional funding provided by BIL, ARC can provide support to business and industry sector clusters that both strengthens regional economies and supports the development of new opportunities for growth across multiple states.

This NOSA makes available \$80 million in total, which is provided by the Infrastructure Investment and Jobs Act of 2021 (IIJA, P.L. 117-58). Up to \$10 million in FY 2023 funding is available for planning grants and up to \$63.5 million is available in FY 2023 funding for implementation grants. In addition, ARC is making available up to \$6.5 million to the ARC states to facilitate the development of ARISE projects.

## Purpose of ARISE

ARISE rests on the observation that significant economic opportunities often reach across state lines and that achieving the maximum economic impact from these can demand a multistate approach. For example, industry clusters may exist in adjacent states, or they may reach broadly across states that are not contiguous. ARISE recognizes that helping Appalachia achieve socioeconomic parity with the nation requires strategies that can yield truly regional impacts. A multistate approach can enable ARC states acting collectively to realize economic advantages that are greater than the states acting individually. Through carefully crafted planning grants and transformational implementation grants, ARISE will foster creative collaboration across state lines to produce a more robust and sustainable regional economy. ARISE aims to create economic mobility; address historic inequities for marginalized, underserved, and underrepresented communities; and produce high-quality employment for workers who reside in the Region, enabling them to remain and thrive in these communities.

## Essential Elements of ARISE Projects

ARISE resources are to have a transformational impact on the Appalachian Region. All grant applications must address the following essential elements of the program:

- **Multistate Focus**—Projects must have multistate partnerships with at least one partner from each state within the project area. The partnerships can have configurations of geography or programming. A geography-based configuration would be a regional partnership focusing on cultivation and acceleration of an industry, service, or infrastructure across contiguous states. A program-based configuration would be a program model that is expanded and scaled across multiple states but which does not require a shared border.
- **Targeted to Advancing Multistate Economies**—Applicants must have assessed their assets and opportunities and have formulated a plan that significantly advances the economies of multiple states. Among other goals, ARISE aims to lay critical groundwork to support local communities' efforts to create good-paying jobs with the free and fair choice to join a union; and grow economic opportunities, including for local workers, ultimately helping the Region achieve socioeconomic parity with the rest of the country.
- **Assessment and Planning**—Each project receiving implementation funding should have a well-articulated analysis of how and why this project will improve the current economy and communities of the states included in the project. As such, ARC encourages the partners to apply for a planning grant before applying for an implementation grant. Planning grants are not a prerequisite to applying for an implementation grant if the proposed project already has a plan completed.
- **Demonstrable Collaboration Among All Partners**—Each multistate partnership must be demonstrable and equitable, with shared input, goals, accountability, and benefits for each partner. To facilitate an equitable partnership, all partners must execute a Memorandum of Understanding (MOU) before beginning an implementation grant. The MOUs shall identify the roles of each partner, funding allocations, communication expectations, and agreed-upon outcomes of a project.
- **Leverage Regional Resources**—Projects should demonstrate a multistate commitment to the proposed project by leveraging ARC resources with monetary and non-monetary investments from strategic partners, including private and philanthropic organizations and government entities, such as Appalachian communities that are part of the [Rural Partners Network](#)<sup>1</sup> led by the United States Department of Agriculture.
- **Outcome Driven**—Projects should define specific output and outcome measures for each partner, demonstrate how the project is designed to achieve those outcomes, and commit to capturing and sharing those measures over the life of the investment.

## Program Description/Investment Priorities

- ARISE presents an opportunity to support a transformational economic development opportunity for Appalachian communities—potentially a once-in-a-generation opportunity. The central element of the program is the collaboration across ARC's 13 states, so the aggregate economic impact of collective efforts is greater than isolated activity in any individual state.

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<sup>1</sup> Rural Partners Network (RPN) is an all-of-government program that demonstrates to rural America that the federal government can work differently to serve their unique needs in a way that is community-centered and locally-driven.

- Project types must advance one or more of the five strategic investment priorities of ARC’s strategic plan.
- The ARISE program hopes to foster a creative environment where large transformational and economically significant projects can be realized.
- Successful applicants will further propose strategies to achieve economic opportunity and address historical inequities affecting marginalized individuals and communities.

## Grant Types

### Planning Grants

**Funding Availability for Planning Grants:** \$10,000,000 in FY23

**Maximum Planning Grant Award Size:** \$500,000

Planning grants that provide time, resources, and support for partnership building are essential to these projects and may bridge to implementation grants. Planning grants can help communities put together the partnerships and vision to drive strong implementation projects down the line. ARC encourages the interested parties to apply for a planning grant before an implementation grant is considered to yield a more compelling implementation project design. The maximum ARISE multistate program planning grant will be \$500,000. At the end of the planning grant, if opting to apply for an implementation grant, ARC will require a formal plan to be submitted. The formal plan must outline the roles of each partner, funding allocations, communication expectations, agreed-upon overall outcomes, timelines, and budgets.

The planning grant will allow flexibility for funding to include a “neutral facilitator,” if requested, who is not an active project participant with the other partners and does not have a stake in the project, other than the success of the project itself. A neutral facilitator is typically an entity that is trusted by all partners, or, at a minimum, is mutually agreed upon by all partners. This organization or person can be a bridge between each of the other partners and helps to provide stability and accountability for all partners. In addition to helping with issues such as competition, this neutral party can also help address some of the capacity issues. A neutral facilitator is not required.

Participants are encouraged to engage their states’ program managers early in the project design process for feedback and possible modification prior to submitting any application documentation.

### Implementation Grants

**Funding Availability for Implementation Grants:** Up to \$63,500,000 in FY23

**Implementation Grant Award Size:** \$10 million maximum (ARC reserves the right to award grants in larger amounts on a case-by-case basis when substantially compelling circumstance are present and funds are available)

A multistate project could be either one grantee coordinating activities in multiple states or a combination of grantees in multiple states executing a common multistate work plan and scope of work that covers all of the participating states under a single application. The implementation grant will allow flexibility for funding to include a “neutral facilitator,” if

requested, who is not an active project participant with the other partners and does not have a stake in the project, other than the success of the project itself. A neutral facilitator is typically an entity that is trusted by all partners, or, at a minimum, is mutually agreed upon by all partners. This organization or person can be a bridge between each of the other partners and helps to provide stability and accountability for all partners. In addition to helping with issues such as competition, this neutral party can also help address some of the capacity issues. A neutral facilitator is not required.

## Eligibility

Eligible applicants for ARC's ARISE planning grant and implementation grant program are the following:

### Eligible Organizations

- Local development districts (LDDs)
- Indian tribes or a consortium of Indian tribes
- States, counties, cities, or other political subdivision of a state, including a special purpose unit of a state or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions
- Institutions of higher education or a consortium of institutions of higher education
- Public or private nonprofit organizations or associations

### Eligible Geography

Projects must serve and benefit, at a minimum, two (2) states within a portion of the Appalachian Region as defined by the Appalachian Regional Development Act (ARDA) of 1965, as amended. The Appalachian Region includes certain counties in Alabama, Georgia, Kentucky, Maryland, Mississippi, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, Virginia, and all of West Virginia. If projects extend beyond the Appalachian Region as defined by the ARDA of 1965, only that portion that is within the Region is eligible for ARC funding. A map of the Appalachian Region eligible for ARISE assistance is available online at <https://www.arc.gov/appalachian-counties-served-by-arc/>.

### Eligible Number of Partners

There must be at least two (2) eligible organizations collaborating across more than one Appalachian Region state. There must be at least one partner from each state within the project area.

# Applying for ARISE Funding

## General

**State Program Manager Engagement.** Participants are encouraged to engage their states' program managers early in the project design process for feedback and possible modification prior to submitting any application documentation.

**Single Multistate Application.** There shall be one (1) multistate concept paper for each application. ARC will only consider one application per proposal, either for a planning grant or an implementation grant. Only applicants with written invitations to apply will be considered by ARC to participate in the ARISE program.

**Memorandum of Understanding.** A Memorandum of Understanding (MOU) between all the partners is required for all implementation grants.

**Single Application with Multiple Awardees.** It is recognized that a particular implementation project may involve more than one grant award. The applicant must consult with ARC staff during the pre-application stage and discuss the proposed structure for the allocation of the ARISE funds.

## The Application Process

### Outreach to State Program Managers

All applicants are required to submit a project summary to the state program managers of all the states impacted by the proposed project prior to the submittal of a concept paper. Applicants must use the ARC Project Summary Template and send to all state program managers of the states impacted by the proposed project in a single email or mail correspondence. The [ARC Project Summary Template](https://www.arc.gov/arise-project-summary-template/) is available at <https://www.arc.gov/arise-project-summary-template/>.

Upon receiving the ARC Project Summary, the state program managers will respond to the applicant and may either request more information or acknowledge and confirm that the proposed project aligns with their state's economic development priorities. **Note:** A response from a state program manager does not constitute an invitation to submit a full application or an approval of a proposed project.

All state program managers impacted by a project proposal must, at minimum, acknowledge and confirm that the project described in the project summary aligns with their states' priorities prior to the submittal of a concept paper. A list of all ARC program managers and their contact information is available at [https://www.arc.gov/state\\_partner\\_role/state-program-manager/](https://www.arc.gov/state_partner_role/state-program-manager/)

### Concept Paper Submittal

Applicants interested in applying for ARISE grants must submit a concept paper. In the concept paper, the applicant will briefly describe the project proposal. Concept papers can be up to six pages in length and must adhere to the applicable ARC ARISE Concept Paper Template provided by ARC based on the type of grant sought by the applicant (planning or implementation). The templates are available at <https://www.arc.gov/arise-concept-paper->



[template/](#). Applicants must complete the applicable template in its entirety and must provide clear, concise, and relevant answers to the questions in the template. ARC will only consider complete and sufficient concept papers submitted in the provided ARC ARISE Concept Paper Template.

Applicants must submit their concept papers to [ARISE@arc.gov](mailto:ARISE@arc.gov) in either Word or PDF format. The submittal of a concept paper does not guarantee an invitation to submit a full application.

Concept papers will be reviewed every two months, starting the day after the first submittal deadline.

Round	Submittal Deadline
1	October 31, 2023
2	December 31, 2023
3	February 29, 2024
4	April 30, 2024
5	June 30, 2024

### **Invitation to Apply**

Upon review of the concept paper and at its sole discretion, ARC will invite applicants that, in its judgment, meet the requirements of the program. An invitation to submit a full application shall not be construed as an ARC commitment to fund the project or as a guarantee of a grant application approval, nor a direct or implied endorsement of the applicant's project or program. A written invitation to submit a full application will be mandatory for ARC to consider an ARISE grant application. ARC will also notify submitters of concept papers that are not invited to proceed with the full grant application.

### **Submittal of a Full Application**

Applicants must submit the full application following the instructions provided in ARC's written invitation to submit a grant application. ARC will not consider incomplete or insufficient grant applications. The Commission will not entertain full grant applications from applicants that have not been invited to submit a grant application. The submittal of a grant application does not commit ARC to make any specific award. ARC reserves the right to accept or reject any or all grant applications. All grant awards are contingent upon funding availability and ARC policy priorities.

Full applications are limited to 20 pages of narrative responses and 100 pages of file attachments. Applicants must meet eligibility requirements and the ARC cost-share matching requirement for the proposed service area.

Successful applicants will be notified to the primary point of contact on record for the given application.

## Criteria for and Guidance on Planning Grants

Scoring table with parameters and possible point value:

A.	Executive Summary	
B.	Statement of Need or Opportunity	15 points
C.	Project Description (ARC Priority)	15 points
D.	Project Team—Evidence of Collaboration	20 points
E.	Outputs and Outcomes	20 points
F.	Budget and Match	10 points
G.	Feasibility	20 points
H.	Application Documents	

### Executive Summary

Use the [Executive Summary](#) template, which has the following components:

- Project title
- Project applicant partners
- Counties and states served
- Purpose (one sentence)
- Funding sources—regional resources leveraged
- Project description (one to two paragraphs)
- Who, what, when, where, why

### Statement of Need or Opportunity (up to 15 points)

- Describe the need or opportunity this project seeks to address, and identify the states involved in the multistate proposal.

### Project Description (up to 15 points)

- Clearly describe how the proposed project significantly advances the regional economy.
- Describe the proposed scope of work and intended results.
- Identify the proposed geographic areas of focus.
- Explain how the proposed scope of work and the project's goals align with one or more of the [ARC Strategic Investment Goals](#) and [State Priorities](#).
- Explain how the proposed scope of work will address priority areas of (1) advancing equity by engaging underserved communities and planning for equitable access to the benefits and opportunities made available by the proposed project and (2) contributing to addressing the climate crisis through resilient and energy-efficient project design.

### Project Team—Evidence of Collaboration Among All Partners (up to 20 points)

- Identify project partners in the proposed project and project design. Partners may include, but are not limited to, community-based groups; organized labor; not-for-

profit institutions of higher education; economic development organizations; for-profit entities; local, regional, and state quasi-governmental entities; or Indian tribes.

- Identify each partner's role, responsibilities, contribution, and benefits in the proposed project and project design.
- Identify the location of each partner within each state of the proposed service area.

### **Project Outputs and Outcomes (up to 20 points)**

- Demonstrate how pursuing the outlined scope of work will help facilitate the formulation of a plan for a potential implementation project. Include a discussion of how the resulting plan will articulate quantifiable, measurable outcomes to guide an implementation project, and where and how the potential funding could be found beyond the ARC ARISE Initiative.
- Include a description of how project collaborators envision the proposed project transforming and furthering the long-term community and economic development of the project region. In particular, describe how the proposed planning efforts will include the input of communities that have historically been excluded from the planning processes for public investments, such as underserved communities.

### **Match and Budget Evaluation: Leverage Regional Resources (up to 10 points)**

- Identify regional resources to be leveraged as match and the status of that match (confirmed, pending, etc.). Applicants should demonstrate community and regional commitment to the proposed project by combining ARC resources with a diverse array of match types (cash, in-kind, loans, etc.) and sources (public, private and philanthropic, etc.). Submit budget and budget narratives. Details about matching or cost-sharing requirements for ARC grants is available at <https://www.arc.gov/match-requirements-for-arc-grants/>.

### **Feasibility (up to 20 points)**

- Demonstrate the project team's ability to undertake/accomplish the proposed scope of work including, but not limited to, the project teams' qualifications and experience managing federal awards (upload résumés, sample request for qualifications, etc.).

### **Application Documents**

- Complete the appropriate federal standard forms and other application documents.
  - Federal Standard Form 424 (SF-424): Application for Federal Assistance
  - Includes ARC funds and matching funds
  - SF-424A: Budget Information for Non-Construction Programs
  - SF-424B: Non-Construction Assurances
- Workplan identifying planned activities, timelines, and responsible parties.

## Criteria for and Guidance on Implementation Grants

Scoring table with parameters and possible point value:

A.	Executive Summary	
B.	Statement of Need or Opportunity	10 points
C.	Project Description	15 points
D.	Project Team Collaboration	20 points
E.	Project Outputs and Outcomes	30 points
F.	Budget and Match	10 points
G.	Feasibility	10 points
H.	Sustainability	5 points
I.	Application Documents	

### Executive Summary

Use the [Executive Summary](#) template, which has the following components:

- Project title
- Project applicant partners
- Counties and states served
- Purpose (one sentence)
- Funding sources—regional resources leveraged
- Project description (one to two paragraphs)
  - Who, what, when where, why

### Statement of Need or Opportunity (up to 10 points)

- Describe the need or opportunity this project seeks to address, and identify the states involved in the multistate proposal. The description should include, to the extent possible, references to government, academic, or expert publications discussing the need or opportunity; or a concise description of the assumption that supports the proposed solution to the need or the area of opportunity.

### Project Description (up to 15 points)

- Clearly describe how the proposed project significantly advances the regional economy.
- Describe the proposed scope of work and intended results.
- Identify the proposed project area, highlighting geographic areas of focus.
- Explain how the proposed scope of work and the project's goals align with one or more of the [ARC Strategic Investment Goals](#) and [States Priorities](#).
- Explain how the proposed scope of work will address priority areas of (1) advancing equity by engaging underserved communities and designing plans for future implementation projects so that underserved communities enjoy equitable access

to the benefits and opportunities of those projects and/or (2) addressing the climate crisis through resilient and energy-efficient project design.

- Describe the readiness of the project team to begin work once a grant is awarded. Highlight whether significant hiring is required and what additional expertise is needed for implementation of the proposed scope of work.
- Provide a full timeline of the project's activities and milestones; include a listing of project activity, date to be completed, and key deliverables.

### **Project Team—Evidence of Collaboration Among All Partners (up to 20 points)**

- Memorandum of Understanding (MOU) is required as proof of partnership collaboration.
- MOU shall identify project partners in the proposed project and each partners' role, responsibilities, contribution, and benefits in the proposed project.
- Identify the location of each partner within each state of the proposed service area.

### **Project Outputs and Outcomes (up to 30 points)**

- Identify the **proposed project outputs and outcomes** that are aligned with the scope of work; reviewers will assess whether they appear relevant, realistic, and achievable. Reviewers will also gauge the potential return on investment based on the correlation between the amount of funding requested, the overall scope of work, and the stated outputs and outcomes. Please use [ARC's Performance Measurement document](#).
- **Methodology:** Explain the methodology and reasoning used to determine the estimated outputs and outcomes, and split into short, medium, and long-term results. Include data collection, tracking, and verification of what role each partner will play in the reporting. Include a description of how project collaborators envision the proposed project transforming and furthering the long-term community and economic development of the project region.

### **Match and Budget Evaluation—Leverage Regional Resources (up to 10 points)**

- Identify regional resources to be leveraged as match and the status of that match (confirmed, pending, etc.). Resources listed as match should be confirmed or accessible within 60 days of the contract date. Applicants should demonstrate community and regional commitment to the proposed project by combining ARC resources with a diverse array of match types (cash, in-kind, loans, etc.) and sources (public, private and philanthropic, etc.). Additionally, if real property is being utilized as match, please attach a MAI (Member, Appraisal Institute) appraisal of the property's value. Details about matching or cost-sharing requirements for ARC grants are available at <https://www.arc.gov/match-requirements-for-arc-grants/>.
- Submit complete and detailed budget and budget narratives. All items included in the budget and budget narrative must align with each other. All items included in the budget and budget narrative (including personnel, fringe benefits, travel, equipment, supplies, construction, other and indirect charges) must align with the

project as described. All items in the budget narrative must be detailed and reflected in the budget. Complete the appropriate federal Standard Forms.

### **Feasibility (up to 10 points)**

- Demonstrate the project team's ability to undertake/accomplish the proposed scope of work including, but not limited to, the project teams' qualifications and experience managing federal awards (upload résumés, sample request for qualifications, etc.).

### **Sustainability (up to 5 points)**

- Describe the plan for the project's sustainability after the grant funding expires and the project is completed. Include a plan and timeline of efforts to secure other sources of support for future operations. Sustainability in this context means the ability for this project to continue after ARC funding comes to an end.

### **Application Documents**

- Complete the appropriate federal standard forms:
  - Federal Standard Form 424 (SF-424): Application for Federal Assistance
    - Includes ARC funds and matching funds
  - SF-424A: Budget Information for Non-Construction Programs
  - SF-424B: Non-Construction Assurances
  - SF-424C: Budget Information for Construction Programs (if applicable)
  - SF-424D: Construction Assurances (if applicable)
- Workplan identifying planned activities, timelines, and responsible parties
- MOU—Memorandum of Understanding between project partners
- Supporting Documents—Such documents that the applicant deems adequate to submit with its grant application so that ARC can satisfactorily assess the merits of the application. ARC may request additional documentation during the review process when, in its sole discretion, it is necessary to adequately evaluate the grant application. Applicants must identify and mark all confidential/proprietary documents they deem appropriate to submit with their grant application.
- For construction projects, a Basic Agency Letter and an Engineering or Architectural Budget is also required.

## **Cost Sharing and Match**

Under ARISE, applicants for an ARC grant must demonstrate a matching share from non-ARC sources that is identified and forthcoming to the project. Matching sources may be non-federal, other federal, or a combination of sources, including in-kind sources. The maximum share of ARC assistance is determined by the ARC classification of the county (or all counties) served by the proposed activity. A table summarizing ARC's economic designations and the

maximum ARC share for each Appalachian county can be found online at <https://www.arc.gov/match-requirements-for-arc-grants/>

## Unique Entity Identifier and System for Award Management (SAM)

As required by the Federal Funding Accountability and Transparency Act of 2006 and 2 CFR §200, Appendix I, applicants are required to meet the following criteria:

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

## Funding Restrictions

Grant awards funded in part or in whole with ARC program funds are subject to the same program funding restrictions of other ARC grants. Additional program information is available at <http://www.arc.gov/ARISE>.

ARISE funding may not be used to support or oppose union organizing.

## Indirect Costs

Applicants are encouraged to include the indirect costs in their budget formulation. Indirect costs are those costs incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. Entities with a Negotiated Indirect Cost Rate Agreement (NICRA) must provide an explanation of how the indirect costs are calculated in the grant application. Organizations that do not have a current negotiated indirect cost rate as provided in the Uniform Guidance, 2 CFR §200, may elect to charge a de minimis rate of 10% based on the modified total direct cost. Applicants are encouraged to familiarize themselves with the Cost Principles set forth in 2 CFR §200, Subpart E, available at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E?toc=1>

## Award Administration

### General

Administration of ARC awards is subject to the same regulations, restrictions, and requirements as other federal awards. These include but are not limited to “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” at [2 CFR §200](https://www.ecfr.gov/current/title-48/chapter-I/subchapter-A/part-201), as currently updated; past performance and non-compliance; restrictions on making awards to corporations convicted of felony criminal violations and unpaid federal tax liabilities; environmental and historic preservation; and national policy requirements, including but not limited to those protecting free speech, religious liberty, public welfare, the

environment, and prohibiting discrimination, e.g., Equal Employment Opportunity and the Americans with Disabilities Act (ADA).

Funds made available under ARISE are subject to the domestic content procurement (Buy America) preference requirements set forth in the Build America, Buy America Act. This Buy America preference will apply to the infrastructure portion of all grants involving infrastructure regardless of whether the primary purpose of the award is an infrastructure project. The Buy America preference means that, for infrastructure projects, (1) all of the iron and steel in the project is produced in the United States; (2) the manufactured products used in the project are produced in the United States; and (3) the construction materials used in the project are produced in the United States. Details about this domestic content procurement preference are available at <http://www.arc.gov/BuyAmericaGuidelines>. ARC grants for infrastructure are administered by either a Federal basic agency or a registered state basic agency. Additionally, ARC grants are subject to the Davis-Bacon Act.

ARC reserves the right to change the reporting time periods and, depending on the nature of the project, may request additional relevant data. In addition, ARC requires grantees to cooperate with post-award evaluations, which require maintaining records for at least three years after project closeout. All ARC awards are subject to audit. If your organization has been subject to a federal audit within the past five years, please note within your application the recommendations made and your subsequent responses to those recommendations.

## Non-Construction

General management and administration requirements for non-construction projects are contained in the [ARC Grant Administration Manual for Non-Construction Grant Agreements](#).

## Construction

All ARC construction projects, including projects that include both construction and non-construction components, must be administered by a registered federal agency or state basic agency. While a Basic Agency Agreement is not required at the time of application submission, applicants must indicate which agency they intend to work with and provide the status of those discussions in their basic agency letters.

Additionally, ARC must have an agreement in place with the basic agency before the project can be approved. Utilizing an agency that does not yet have an agreement with ARC can result in substantial delays. A list of agencies with agreements in place with ARC can be found here: <https://www.arc.gov/basic-agency-partners/>.

## ARC Contact Information

[ARC state program managers](#) help ensure that project proposals are in alignment with their state Appalachian economic development priorities. State program managers also serve as a resource regarding any questions that applicants have about ARISE in general or about the use of agency funds to support projects in their communities and regions. Applicants with additional questions may submit them to [ARISE@arc.gov](mailto:ARISE@arc.gov).



## General Legal Disclosures

ARISE FY 2023 awards will be made only to the extent that funds are available. Publication of this NOSA does not obligate ARC to award any specific grant or cooperative agreement or to obligate all or any part of available funds. Applicants intending to contract with a specific individual, consulting group, or organization with ARC funding must have and use a competitive procurement policy that conforms to procurement standards at [2 CFR §200.317-327](#).

This NOSA does not commit ARC to make any specific award. Notwithstanding any other provisions of the NOSA, ARC reserves the right to award grants, cooperative agreements, or contracts to communities or regions that best meet the requirements of the NOSA. ARC solely reserves the right to accept or reject any or all responses received as a result of this request; to negotiate with all qualified sources; or to cancel in part or in its entirety this NOSA if it is in the interests of ARC to do so.

Please note that ARC will not reimburse any costs associated with the preparation of a response to this NOSA. Consultants and consultant teams that are legally barred from receiving federal contracts or contract payments will not be considered for work with communities or regions under this NOSA.

Grants awarded under the ARISE program are subject to the provisions of the Appalachian Regional Development Act of 1965, as amended; 40 USC Sec. 14101 et seq.; the Appalachian Regional Commission Code; and other terms and conditions set forth in the grant agreement.

Records of the Commission's doings and transactions are made available for public inspection pursuant to the Appalachian Regional Development Act of 1965, as amended; 40 USC 14308; and Commission disclosure practices.