



Construction Projects

Application Template

INSTRUCTIONS: All applicants requesting ARC investment funding should use this template to develop a complete project application. The structure of this template models the project record format in Pathways, ARC's Grant Management System, to allow applicants to easily and accurately transfer hardcopy data into applicable fields while uploading and tagging supporting documents as appropriate. Make sure to label each section with the correct heading and subheading and that the information you provide is clear, concise, and complete (**HEADINGS**, which mirror the tabs you will find in Pathways, are bold and capitalized; **subheadings**, which mirror individual response fields in Pathways, are in bold).

Double check for consistency across all forms, fields, or documents and follow the submission process as required by your state's ARC program office.

PREAPPLICATION REQUIREMENT: Applicants **must** be fully registered in The System for Award Management (SAM) and have an active *Unique Entity Identifier (UEI)*. *UEIs need to be renewed every year; any lapse may result in deactivation which may take months to remedy. See <https://sam.gov/content/duns-uei> for more information.*

PROJECT INFO

Executive Summary

This section serves as an executive summary of your project and provides ARC with some basic information as well as a high-level snapshot of what your project entails. Responses here should summarize the longer and more detailed information required in the narrative.

- **Lead Applicant Organization**
- **Lead Applicant**
- **Project Title**
- **Planning or Implementation Project?**
- **Administering Agency:** *ARC does not administer awards for construction projects once funding has been approved. Instead, ARC works in partnership with Federal and State Basic Agencies to administer funding. See here for a list of ARC's Basic Agency Partners: <https://www.arc.gov/basic-agency-partners/> and consult your State Program Manager for information.*
- **Administering Agency Status:** *Proposed or committed?*

- **Geographic Scope:** List the State(s) and County(ies) that are impacted by the project and include their economic status designations.
- **Project Purpose:** Summarize the purpose of this project (1-2 sentences)
- **Project Summary:** Describe major activities to be conducted. The description should address who, what, where, when, and how for each major activity (1-2 paragraphs).
- **Strategic Rationale Summary:** Identify the problems and/or opportunities the project will address, explain the critical circumstances that compel the project to be funded by ARC, and describe how the project supports a regional strategy or plan (1 paragraph).
- **Collaborative Partnerships Summary:** Identify local, regional and/or state partnerships that will support the project (1 paragraph).
- **Project Sustainability and Capacity:** Describe capacity to undertake the proposed activity by describing previous experience with similar activities. Explain how the project will be sustainable once ARC support is no longer available (1 paragraph).
- **Is this a Broadband project?** Yes or No. If yes, see Appendix _ “Broadband Projects” for an additional subset of project-specific questions.
- **Project Start Date:** Provide an estimated start date for your project.
- **Project End Date:** With few exceptions, 3 years from the project start date is the default timeframe for construction projects.

APPLICANT INFO

- **Type of Organization**
- **EIN/TIN**
- **UEI**
- **SAM Cage Code**
- **Congressional District**
- **Website**
- **Organizational EO 12372 Review:** Is Submission Subject to Review by State Under Executive Order 12372 Process? If so, has the application been selected by the State for review? *This does not apply to most ARC grant applicants. If unsure, consult your State Program Manager.*
- **Organization Delinquent:** Identify if the organization is delinquent on any federal debt.
- **Organizational Capacity:** Describe the qualifications of key individuals who will manage and operate the project. Identify subrecipients and intended contractor roles to distinguish them from other personnel. Make sure to include any experience with similar activities i.e., federal and state award management, if applicable. Attachments include resumes and/or position descriptions.
- **Partnerships:** Expand on any partnerships or collaborations with other local community, state, regional, and federal partners in the development of the proposal. Attachments include letters of engagement/MOUs

- **Applicant Contacts:** List the name, organization, email address, and role of those directly involved in the administration and management of the project.
- **Basic Agency Contacts:** List the name, organization, email address, and role of the basic agency representatives directly involved in the administration of the project.

PROJECT CLASSIFICATION

Goals and Objectives: List the primary ARC goal and objective as well as the primary state goal and objective that the project will address. See ARC's current strategic plan for a list of ARC goals and objectives: <https://www.arc.gov/strategicplan/> and consult your state's most recent strategy statement for a list of state goals and objectives <https://www.arc.gov/state-plans-strategies/>.

- **ARC Goal:**
- **ARC Objective:**
- **State Goal:**
- **State Objective:**

ARC further classifies ARC projects into different *categories, types, and subtypes*. In Pathways, a drop-down list will appear that includes a list of options. These options vary depending on the ARC goal and objective noted above. As such, applicants can wait until they submit their applications in Pathways to indicate project category and type. For additional guidance, reach out to your State Program Manager.

- **Category:** (applicant response required only in Pathways)
- **Type:** (applicant response required only in Pathways)

Performance Measures

- List the expected outputs and outcomes of the project using ARC's list of acceptable performance measures and provide achievement timeframes (this can be included in a table such as the example below with definitions and timeframes included in the "Notes" section).
- All outputs and outcomes must be quantifiable (listed with an associated numeric value) and defined in the context of project activities (i.e., how do you define "served" and "improved").
 - For information on identifying outputs and outcomes, see <https://www.arc.gov/resource/guide-to-arc-project-performance-measures/>

- **Example:**

| Measure | Value | Notes |
|---------|-------|-------|
|---------|-------|-------|

| | | |
|-------------------|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Patients Served | 300 | This clinic currently serves 700 patients a month. The expansion will allow an additional 300 patients to be served. All patients will be served through the completion of this project. Timeframe: up to 3 years post-closeout. |
| Patients Improved | 300 | All patients who are served will be improved through increased access to care, shorter waiting times, and new diagnostic equipment. Timeframe: up to 3 years post-closeout. |
| Square Footage | 780 sq. ft. | An additional 780 sq. ft will be added to an existing medical center. Timeframe: at the time of project closeout. |

Methodology

- Provide a credible and established methodology for estimating each performance measure that results from the project.
- Explain how each output and outcome will be tracked and measured.

If project has “jobs created,” “jobs retained,” or “leveraged private investment” as a performance measure, attach letters that affirm these commitments

Example: “The impact of the medical center expansion will be demonstrated by several key metrics. An increase in capacity can be indicated by patient volume – this data can be collected and tracked by monitoring appointments, walk-in visits, and the number of patients seen. Changes in wait times will be assessed by using comparison data from before and after expansion while the utilization of new diagnostic equipment that is included in the plans for expansion will be tracked by the number of on-site procedures conducted.”

FINANCIAL

Applicant match is a required component of virtually all ARC funding awards. The required match amount is based on the economic status designation of the county(ies) of project impact. See here for more information on ARC match requirements: <https://www.arc.gov/match-requirements-for-arc-grants/> and here for a tool applicants can use to calculate their cost share <https://www.arc.gov/resource/match-rate-calculator/>

Construction projects require the submission of an official cost estimate (PER/PAR). Budget line items will reflect and supplement what is included in these estimates.

Detailed Budget (aka Budget Narrative):

- Provide a detailed budget that lists the uses of ARC funds and all non-ARC matching funds.
- Make sure to round to the nearest dollar. Do not include cents.
- Include a line item for administrative costs in the budget. This amount should cover the costs of providing project administration tasks including environmental review, Davis-Bacon Act compliance, procurement management, etc.
- If the ARC project is part of a larger, multi-phase project, provide only 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. The applicant will provide

detailed budget information only for the scope of the \$2 million ARC portion of the project and will simply describe the rest of the project in the applicable narrative section(s).

Funding Sources:

- Identify all project funding sources by contributor and contributor type (e.g., ARC, other federal, state, other)
- Identify funding type as either cash or in-kind (ARC will always be cash), total funding amount for each source, and the status of that funding (proposed, pending, or committed)
- Include a match commitment letter from each funding source that specifies the amount of funds committed and the kind of funds committed (grant, loan, cash, in-kind, etc.).
- Provide descriptions of in-kind resources, including the methods used to determine their value. These can be included as funding notes and/or incorporated into match commitment letters.
 - See here for more information on match types <https://www.arc.gov/types-of-match-funds/>

Program Income: Enter the estimated amount of total program income, if any, expected to be directly generated by or earned from this project.

Procurement Procedures: Describe the procurement methods you will use to purchase goods (supplies/equipment) or services (contractor/consultant) with grant and/or matching funds (see 2 CFR 200.320 <https://www.ecfr.gov/current/title-2/section-200.320>).

Financial Feasibility:

- Provide evidence of the financial feasibility of the project, e.g. a pro-forma financial projection that addresses cash flows from new revenues and cost savings.

NARRATIVE

Overview

- **Project Description:** Describe the project's primary purpose, main activities, and expected outcomes (the who, what, when, where, and how of main project activities. This should expand on what is included in the Project Summary under the Project Info section.) Make sure to identify the organization or agency that will be responsible for project administration tasks including environmental review, Davis-Bacon Act compliance, procurement management, etc.

Attach a detailed workplan that includes a description of all major project activities (what will be done and by whom) and timelines for each activity during the project.

- Find workplan template here: <https://www.arc.gov/resource/workplan-template/>
- **Project Geography:** Please identify the proposed project area highlighting geographic areas of focus. If the project is not county-wide, identify the project's census tract(s) and associated economic status, particularly if it is a distressed area. Include a map or diagram to demonstrate project scope or service area (as needed).
 - See ARC's County Economic Status tables and Distressed Area information: <https://www.arc.gov/classifying-economic-distress-in-appalachian-counties/>

Rationale

- **Strategic Rationale:** Describe any economic development problems and/or opportunities that the project will address and how these issues impact the community.
- **Regional Strategy and Planning Assessments:** Explain how the proposed project represents progress toward addressing a regional strategy, such as a comprehensive economic development strategy or local visioning process (attach cited or referenced section as appropriate).
- **Analysis of Alternatives:** Explain why the proposed project is the most practical, cost-effective, and beneficial way to achieve the desired results when compared to alternative approaches.
- **Evidence of Local Demand:** Describe local/regional demand for your project. Summarize any letters of demand from businesses and other community stakeholders that attest to the economic impact of the proposed project. Make sure to include these letters as attachments.
- **Long-Term Impacts:** Describe other project benefits likely to result from the project (e.g. positive impact on future economic development activity in the area).

Project Sustainability

- **Sustainability:** Explain how the project will achieve long-term financial and operational sustainability once ARC support is no longer available. In your description, include a plan and timeline of efforts to secure other sources of support for future operations.
- **Ownership and Maintenance:** Identify the organization or agency that will own improvements and provide maintenance for the completed project.
- **Project Continuation or Expansion:** Please note if the proposed project is a continuation or expansion of an ongoing program as well as whether the project previously received ARC funding. If so, describe the program's outputs and outcomes to date, as well as other project milestones reached.

DOCUMENTATION

The documents listed below are components of ARC applications. The documents denoted by an asterisk (*) are offered as embedded forms within Pathways. Note, the ARC forms within Pathways require substantially similar information to that of the typical Federal Standard Forms. You only need to complete the analogous Federal Standard Forms if required by your State. If not required by your State, you should expect to use ARC's embedded fields in the Pathways system to provide your information, and to upload your documentation. Please consult your [State Program Manager](#) for more information regarding use of the Federal Standard Forms.

Application for Federal Financial Assistance (AFFA):

- To be completed within the Pathways system.
- **FEDERAL STANDARD FORM (SF) 424* (AS REQUIRED BY YOUR STATE PROGRAM OFFICE):** Application for

Federal Assistance (Include only ARC funding request on the “Federal” line (a). Other federal sources should be listed on “Other” line (e))

*If required by your state to complete a SF424, the information from this form should be used to complete the **AFFA** tab within Pathways.*

Construction Assurances:

To be completed within the Pathways system.

FEDERAL STANDARD FORM (SF) 424D*

- ARC MEMORANDUM OF UNDERSTANDING (MOU)*

Other Forms as Required by State Program Office:

- Forms required by state ARC program offices as applicable.

Administrative

- **TRANSMITTAL LETTER** (For Official State Use Only): Must contain the total funding amount, allocation source of the funding, and the signature of the State Alternate.
- **BASIC AGENCY LETTER** Committing to Administer ARC Funds:
 - Address the letter to the Executive Director of the Appalachian Regional Commission.
 - 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; and the name and email of the primary basic agency contact person(s) for project management and financial management of the grant.
 - 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.

Budget Related Attachments:

- Detailed Budget and Funding Sources tables to be completed within the Pathways system.
- **FEDERAL STANDARD FORM (SF) 424C***: Budget Information for Construction Programs
- **OFFICIAL ENGINEERING OR ARCHITECTURAL BUDGET (PER/PAR)**: Provide an engineering or architectural budget detailing line-item project costs. The project total from the engineering or architectural budget should match the total on the AFFA/SF 424 as well as the Budget Table/SF 424C.
- **DETAILED BUDGET (AKA BUDGET NARRATIVE)***: Complete and include a budget narrative that supplements the PER/PAR. This will include administrative and other costs not included in a PER/PAR.
- **NICRA**: A copy of your Negotiated Indirect Cost Rate Agreement (as applicable)
- **EQUIPMENT AND SUPPLIES LIST**: Provide itemized equipment and supplies list to supplement what is offered in the associated budget line (as applicable)

Letters: Do Not Include Form Letters

- **MATCH COMMITMENT LETTERS:** Include a letter of commitment from each funding source that specifies the amount of funds committed and the kind of funds committed (grant, loan, cash, in-kind, etc.).
 - Match commitment letters should include the specific funding amount being provided (dollar amount or value of in-kind), description of in-kind match and how value was determined (as applicable), be on letterhead/official document, and contain an authorized signature.
 - If land or property acquisition is part of the project budget or being used as match, a copy of an MAI appraisal or equivalent is required.
- **LETTERS OF DEMAND:** From businesses and other community stakeholders that attest to the impact of the proposed project (supplements strategic rationale)
- **LETTERS OF PARTNER ENGAGEMENT:** Key partners and partner organizations that commit to overseeing specific activities in support of the project (supplements collaborative partnerships)
- **LETTERS OF DOCUMENTATION FOR PERFORMANCE MEASURES:** If project has “jobs created,” “jobs retained,” or “leveraged private investment” as a performance measure, attach letters documenting job or investment commitments (supplements performance measures)

Narrative Support:

- **RESUMES AND/OR POSITION DESCRIPTIONS** of key individuals who will manage and operate the project.
- **WORKPLAN** (required to supplement project activities section): Provide a detailed work plan that includes a description of all major project activities (what will be done and by whom) and timelines for each activity during the project. Include as many details as possible.

Find workplan template here: <https://www.arc.gov/resource/workplan-template/>
- **MAPS, DIAGRAMS, AND/OR PICTURES:** 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. Label the map appropriately so that it clearly shows areas that are served versus areas that are unserved or underserved.
- **FEASIBILITY STUDIES OR BUSINESS PLANS, ASSET MANAGEMENT PLANS, PRO FORMA FINANCIAL PROJECTIONS** to further support rationale or sustainability (as needed)

Policy Information and Associated Requirements (Project Specific):

- For residential service projects in non-distressed counties, explain how the project meets the “**POLICY FOR RESIDENTIAL INFRASTRUCTURE PROJECTS**” in ARC’s Project Guidelines. Include letters or other documentation from state health/environmental agencies if relevant.
- For construction or property acquisition of tourism-related projects, explain how the project meets the “**POLICY FOR DEVELOPMENT OF THE TRAVEL AND TOURISM INDUSTRY**” in ARC’s Project Guidelines. Include economic impact or feasibility studies as required.

For additional guidance on documentation requirements for travel and tourism projects, refer to <https://www.arc.gov/resource/guidance-on-documentation-travel-and-tourism-for-construction-projects/>

- o See ARC's *Project Guidelines for complete policy statements:* <https://www.arc.gov/resource/arc-project-guidelines/>

ADDITIONAL APPLICANT RESOURCES AND OTHER CONSIDERATIONS

- State Program Managers are the primary point of contact for those interested in pursuing ARC funding. See here <https://www.arc.gov/appalachian-states/> for state-specific information.
- Competitive programs (i.e., POWER, INSPIRE) should reference initiative specific NOSAs and other resources as appropriate. Visit ARC's website for more information <https://www.arc.gov/grants-and-opportunities/#funding-opportunities>
- Additional guidance for applicants based on project-type can be found here: <https://www.arc.gov/resource/application-guidance-by-project-type/>
- Additional guidance for Local Access Road project applicants can be found here: <https://www.arc.gov/resource/local-access-roads-project-guidelines/>
- A video overview of budget and match can be found here: <https://www.arc.gov/resource/arc-budget-and-match-overview/>
- Pathways Resource Page: www.arc.gov/pathways-user-resources

Appendix A

Broadband Projects

Broadband project applications require specific information that is unique to this project type. These questions will supplement what is included in all other sections of your application and should be answered separately.

- **Broadband Feasibility Study / Engineering Study Complete:** *Was a Feasibility Study, Engineering Report and/or Market Analysis prepared in advance of the implementation application? Indicate yes/no. (For implementation projects only – be sure to attach relevant studies and reports as needed. Engineering studies for Broadband Projects must include network design (i.e., fiber count, bandwidth, internet exchange points, etc.).*
- **Area Served:** *Describe how the area(s) being served by the grant application is considered unserved (less than 25/3 Mbps) or underserved (less than 100/20Mbps). Factors to consider include but are not limited to the level of service being provided, the needs of local businesses/schools in the target area and the reliability of the existing service.*
 - Attach CSV of broadband serviceable locations (BSL's) – Fabric location ID's or latitude/longitude must be included.
- **Existing Service:** *Describe the way(s) in which existing service has left unmet needs among the project service area's residents, small businesses and entrepreneurs – e.g., capacity/bandwidth (higher levels of service are not available), reliability (frequent outages or disruption in service), technological limitations (existing service cannot scale for current/future growth), pricing (cost of additional service is price prohibitive), etc.*
- **Unique Circumstances / Other Federal Funding:** *Describe any unique circumstances that should be considered when reviewing your broadband application. Include whether your organization has applied, or will apply, for other federal broadband funds (delivered through states), why or why not, and what gap in funding (if any) remains?*
- **Digital Opportunity (if applicable):** *Describe the needs/gaps in the project service area(s) regarding workforce training, device access, digital literacy, etc. and how this project will help meet those needs.*

Broadband Specific Attachments/Supportive Documentation:

- **Pre-Award Reporting Template:** Required for all broadband projects, both non-construction (BAAS) and construction. Access these templates here: <https://www.arc.gov/resource/broadband-applicant-reporting-templates/>
- **CSV of Broadband Serviceable Locations (BSLs) and Community Anchor Institutions (CAIs):** Information related to the Broadband Serviceable Location Fabric can be found by following the link <https://help.bdc.fcc.gov/hc/en-us/articles/5375384069659-What-is-the-Location-Fabric>