ECONOMIC DEVELOPMENT ADMINISTRATION

Research and National Technical Assistance

Program Requirements

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<td>Total for 1st Year</td>
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<td>FUTURE FUNDING PERIODS (Years)</td>
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<td>20. TOTAL (sum of lines 16-19)</td>
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<td>22. Indirect Charges:</td>
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<td>23. Remarks:</td>
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INSTRUCTIONS FOR THE SF-424A

General Instructions
This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other fiscal period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first fiscal period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-d of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)
For applications pertaining to a single Federal grant program (Federal Drought Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in Column (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary table by programs.

Lines 1-4, Columns (c) through (g)
For new applications, leave Column (c) and (d) blank. For each line entry in Columns (a) and (d), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Column (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (a) the amount of the increase or decrease of Federal funds and enter in Column (c) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 6 - Show the totals for all columns used.

Section B. Budget Categories
In the column headings (1) through (6), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Line 6a-1 - Show the totals of Lines 6a to 6h in column (a).

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount to column (b), Line 6, should equal the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (c)-(d), Line 6k should be the sum of the sum of the amounts in Section A, Columns (a) and (f) on Line 6.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program.
FIGURE 2
Standard Form 424A (Continued)

INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The
estimated amount of program income may be considered by the
Federal grantor agency in determining the total amount of the
grant.

Section C. Non-Federal Resources

Lines 9-11: Enter amounts of non-Federal resources that will be
used on the grant. If in-kind contributions are included, provide a
brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to
Column (a), Section A. A breakdown by function or
activity is not necessary.

Column (b) - Enter the contribution to be made by the
applicant.

Column (c) - Enter the amount of the State's cash and
in-kind contribution. If the applicant is not a State or
State agency, Applicants which are a State or State
agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind
contributions to be made from all other sources

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12: Enter the total for each of Columns (b)-(e). The amount
in Column (e) should be equal to the amount on Line 6, Column
(i), Section A.

Section D. Forecasted Cash Needs

Line 13: Enter the amount of cash needed by quarter from the
grantor agency during the first year.

Line 14: Enter the amount of cash from all other sources needed
by quarter during the first year.

Line 15: Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for
Balance of the Project

Lines 16-18: Enter in Column (a) the same grant program titles
shown in Column (a), Section A. A breakdown by function or
activity is not necessary. For new applications and continuation
grant applications, enter in the proper columns amounts of Federal
funds which will be needed to complete the project or program over
the succeeding funding periods, (usually in years). This section
must not be completed for revisions (amendments, changes, or
supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit
additional schedules as necessary.

Line 20: Enter the total for each of the Columns (b)-(e). When
additional schedules are prepared for this Section, annotate
accordingly and show the overall total on this line.

Section F. Other Budget Information

Line 21: Use this space to explain amounts for individual
direct object class cost categories that may appear to be out of the
ordinary or to explain the details as required by the Federal grantor
agency.

Line 22: Enter the type of indirect rate (provisional, predetermined,
final or fixed) that will be in effect during the funding period, the
estimated amount of the base to which the rate is applied, and the
total indirect expenses.

Line 23: Provide any other explanations or comments deemed
necessary.

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Economic Development Administration
FIGURE 3
Standard Form 424B (Continued)

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the OMB Control Number: 0938-0040, Office of Management and Budget, Paperwork Reduction Project (424B-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Interpersonal Violence Personnel Act of 1970 (42 U.S.C. §4779-4789) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OMB's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (78 Stat. 252) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1688, and 1665-1666), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicap; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-256), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1978 (P.L. 95-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§203 and 207 of the Public Health Service Act of 1982 (42 U.S.C. §§292b-8 and 290e-4), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§1901 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which applications for Federal assistance are being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and IV of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-644) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the highest (5 U.S.C §5501-5508 and 7334-7335) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 100(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order 11514; (b) notification of existing facilities pursuant to EO 11978; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurances of project compliance with the approved state management program developed under the Coastal Zone Management Act of 1972 (33 U.S.C. §§401 et seq.); (g) compatibility of Federal actions with State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1990, as amended (42 U.S.C. §§7407(c) et seq.); (h) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-229); (i) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to preserving components or potential components of the national wild and scenic rivers system.


14. Will comply with P.L. 89-284 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 90-544, 77 Stat. 258, 7 U.S.C. §§2331 et seq.) pertaining to the care, handling, and treatment of farm animals, laboratory animals, living research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of existing structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1990 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations ."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
ADDITIONAL ASSURANCES
EDA NATIONAL TECHNICAL ASSISTANCE, TRAINING, RESEARCH, AND EVALUATION GRANTS

As the duly authorized representative of the applicant, I further certify that the applicant:

1. Will comply with applicable regulations regarding indirect cost rates, if indirect costs are included in the application.

2. Will comply with the requirement that this Federal assistance will not provide a proprietary benefit to a private for-profit individual, corporation, or other entity.

3. In consideration of EDA funding a project to an applicant which is a business enterprise, applicant agrees that for two years after award by EDA of a grant or sub-grant, applicant will not employ or offer any office or employment to, or retain for professional services, any person who, on the date the grant or sub-grant was offered, or within one year prior to the date of offer, served as an officer, attorney, agent or employee of EDA in a position or engaged in activities which EDA has determined involves discretion with respect to the granting of assistance under PWEDA.

4. Understands that attorneys' or consultants' fees, whether direct or indirect, expended for securing or obtaining EDA assistance for this application are not eligible costs.

5. Understands that conflicts of interest or appearances of conflicts of interest are prohibited and may jeopardize this application or result in the forfeiture of grant funds. A conflict of interest occurs, for example, where a representative, official, employee, architect, attorney, engineer or inspector of the applicant, or a representative or official of the Federal, State or local government, has a direct or indirect financial interest in the acquisition or furnishing of any materials, equipment or services to or in connection with the project.


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<tr>
<td>TITLE</td>
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NATIONAL TECHNICAL ASSISTANCE, TRAINING, RESEARCH, AND EVALUATION APPLICANTS

For Applicants under Section 207: See EDA regulations at 13 CFR Chapter I, Part 307, Subpart C, available at www.doc.gov/eda or contact the Research and National Technical Assistance Division, Washington, DC for assistance.

Part I
Narrative: Purpose, Need, Methodology, Products and Criteria

Provide a narrative that describes the purpose of the project, the economic development need for the project, and the methodology to be used in completing the work program, including a detailed scope of work that identifies individual activities and specific project products to be completed under the grant. The narrative should also show, as appropriate, that the project meets one or more of the following criteria:

- does not depend upon further EDA or other Federal funding assistance to achieve results;
- strengthens the capability of local, State, or national organizations and institutions, including non-profit economic development groups, to undertake and promote effective economic development programs targeted to people and areas of distress;
- benefits severely distressed areas;
- helps to diversify distressed economies;
- demonstrates innovative approaches to stimulating economic development in distressed areas.

Attach the narrative as Exhibit 1.

Part II
Budget

- a. Provide an explanation for the proposed use of any amounts budgeted for “Equipment”, “Contractual”, and “Other” and attach as Exhibit 2.a.
- b. Provide a staffing plan listing all positions that will be charged to the Federal and non-Federal portion of the project budget including the position title, maximum annual salary, and the amount of annual salary charged to the project, and attach as Exhibit 2.b.

NOTE: The total of the individual salaries charged to the project must agree with the amount entered in SF-424A, Section B, Row 6.a., Column 5.

- c. Provide Indirect Cost Rate Agreement or documentation applying for indirect cost rate as Exhibit 2.c.
Is the applicant requesting a **Reduction or Waiver of the non-Federal Share** for this project?

☐ Yes. If yes:

  a. Provide a narrative substantiating why the project is not feasible without, and merits, a reduction or waiver of the non-Federal share, and attach as *Exhibit 3*; OR

  b. Provide narrative documenting that:

    - the project is addressing major causes of distress in the area serviced and requires the unique characteristics of the applicant which will not participate in the program if it must provide all or part of a 50% non-Federal share, and attach as *Exhibit 3*; OR

    - the project is for the benefit of local, state, regional or national economic development efforts, is of no or only incidental benefit to the recipient and, therefore, is eligible for up to and including 100% Federal share, and attach as *Exhibit 3*; OR

    - the project is eligible for a supplemental grant in accordance with 13 CFR 301.4(b), and attach as *Exhibit 3*.

☐ No.
This checklist identifies all of the Research and National Technical Assistance Exhibits of the application. Exhibit numbers refer to the specific item number in the application. Check the items and Exhibits submitted.

Part I:

☐ 1. Narrative: Purpose, Need, Methodology, Products and Criteria

Part II:

☐ 2.a. Budget Explanation
☐ 2.b. Staffing Plan
☐ 2.c. Indirect Cost Rate Agreement

PART III:

☐ 3. Reduction or Waiver of Non-Federal Share