



Non-Construction Project 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.

PRE-APPLICATION 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?**
- **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:** *Summarize the 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:** *Summarize 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:** *Summarize the local, regional and/or state partnerships that will support the project (1 paragraph).*
- **Project Sustainability and Capacity:** *Summarize your capacity to undertake the proposed activity by describing previous experience with similar activities and 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.*
- **Is this an Access to Capital project?** *Yes or No. If yes, see Appendix _ “Access to Capital Projects” for project-specific guidance.*
- **Project Start Date:** *Provide an estimated start date for your project.*
- **Project End Date:** *Project end date should be 3 years or less from the project start date.*

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.*

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").

Example:

Measure	Value	Notes
Workers Served	10	Provide training to at least 10 workers to gain IT certification through WFD program. Estimated reporting timeframe: by grant closeout.
Workers Improved	8	At least 8 workers will be promoted, either internally or externally, with positions that offer increased salary/compensation. Estimated reporting timeframe: 3 years post-closeout.

- For information on identifying outputs and outcomes, see <https://www.arc.gov/resource/guide-to-arc-project-performance-measures/>

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 *Business Development projects do not need to include documentation letters for LPI.

Example: “Those interested in pursuing this certification will need to first register and then officially enroll in the training program. Enrollment and attendance records will be maintained to allow for accurate data collection and tracking. Following the successful completion of the program, employment tracking will continue and be conducted via surveys and other forms of outreach with progress in the form of promotions and salary gains documented in an internal database.”

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/>

Detailed Budget (aka Budget Narrative):

- Provide a detailed budget that lists the uses of ARC funds and all non-ARC matching funds and includes a detailed explanation of expenditures. Applicants should include cost category, the associated line-item name, a brief description and calculation of cost, and the breakdown between ARC and high-level funding sources.
- Make sure to round to the nearest dollar. Do not include cents.
- If you include equipment and supplies, you must attach a separate list that breaks down per unit costs and quantity.
- If the budget includes key personnel, 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 project. This includes consultants and subrecipients. (After a grant is awarded, all time should be tracked by actual hours worked individually)
- Make sure to include all costs associated with a contractor’s scope of work in the “contractual” line item (i.e., estimates for key deliverables, wages, travel, etc.).

Applicants are encouraged to use ARC’s budget narrative template to develop their detailed budget: <https://www.arc.gov/resource/budget-narrative-template/>

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>).

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.)*

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.*
- **Project Expansion or Continuation:** *Please note if the proposed project is a continuation or expansion of an ongoing project as well as whether it previously received ARC funding. If so, describe the program's outputs and outcomes to date, as well as other project milestones reached.*

DOCUMENTATION

The supportive documentation listed below should accompany all ARC applications as applicable.

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.

Assurances Non-Construction Program:

- To be completed within the Pathways system.
- **FEDERAL STANDARD FORM (SF) 424B***
- **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.

Budget Related Attachments:

- Detailed Budget and Funding Sources tables to be completed within the Pathways system.
- **FEDERAL STANDARD FORM (SF) 424A***: Budget Information for Non-Construction Programs
- **DETAILED BUDGET (AKA BUDGET NARRATIVE) ***: Complete and include a budget narrative using ARC's budget narrative template: <https://www.arc.gov/resource/budget-narrative-template/>
- **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)
**Business Development projects do not need to include documentation letters for LPI.*

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:** To demonstrate project scope or service area (as needed)
- **FEASIBILITY STUDIES OR BUSINESS PLANS, ASSET MANAGEMENT PLANS, PRO FORMA FINANCIAL PROJECTIONS** to further support rationale or sustainability (as needed)
- **OTHER DOCUMENTS** that have been cited or referenced in support of the project (i.e. CEDs, research reports, other studies). Include only the relevant sections.

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/>
- 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

- **BROADBAND AS A SERVICE (BAAS) MOU:** Broadband as a Service (BaaS) applications require a project-specific MOU in addition to the standard ARC MOU. Both forms may be found by following the link <https://www.arc.gov/resource/memorandum-of-understanding/>
- **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>

Appendix B

ACCESS TO CAPITAL PROJECTS:

Access to Capital (ATC) project applications contain the same components as general non-construction project applications however, there is specific guidance that ATC applicants should adhere to when formulating various parts of their proposals. The application sections listed below include specific instruction for Access to Capital project applicants and should be referred to and followed accordingly.

WITHIN THE PROJECT INFO SECTION

- **Collaborative Partnerships Summary**
 - *Describe any partnerships or collaborations with other local community, state, regional, and federal partners in the development of the proposal, particularly outlining key organizations within the Region's entrepreneurial ecosystem that will support effective lending or investing.*
 - *Describe the applicant's ownership, including the following information if applicable organizations that have affiliated companies (e.g., parents, affiliates, subsidiaries), please provide a list of the individual owners with the contact information of those entities. Please describe the relationship between the applicant and these other entities and individuals, including management and products/services exchanged.*
- **Project Sustainability and Capacity**
 - *Describe ability to adhere to grant compliance and reporting requirements by describing any (1) experience in managing previous grant(s); (2) familiarity with federal grant regulations; and/or (3) experience managing federal awards.*
 - *Indicate whether the applicant is a member of any finance associations or organizations and describe their level of involvement.*
 - *Provide an overview of underwriting/investment guidelines and portfolio management systems; upload and include policies as part of your current operating plan in the "Attachments" tab.*

WITHIN THE NARRATIVE SECTION

- **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.)*
 - *Outline the proposed financial products and/or services.*
 - *Describe one or two sample projects and how the deals may be structured.*
 - *Detail any technical assistance to be provided by borrowers and identify whether this technical assistance is provided "in-house" or by outside sources.*

Note: You should also attach a detailed workplan that describes major project activities and timelines for each activity in the Attachments tab.
- **Strategic Rationale** *Describe any economic development problems and/or opportunities that the project will address and how these issues impact the community.*

- *If applicable, provide the deployment rate for currently available assets and outline restricted and unrestricted asset allocation.*
 - *Summarize any pipeline of loan or equity investments, feasibility studies, and demand from businesses.*
- **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.*
 - Describe traditional sources of financing or financial services available to the target communities and how the proposed product/services are superior or complementary.
- **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.*
 - Describe the gaps in currently available capital for the targeted communities. Summarize local and regional demand including the number of projects, types of projects, and total dollars needed.

ACCESS TO CAPITAL SPECIFIC ATTACHMENTS/SUPPORTIVE DOCUMENTATION

- **FIVE-YEAR PRO FORMA BALANCE SHEET:** Five year pro forma balance sheet that reflects the use of the loan proceeds and grant award indicating the necessary start-up capital, operating capital, and short-term credit; and projected cash flow and income statements for five years supported by a list of assumptions showing the basis for these projections.
- **LOAN AND/OR INVESTMENT OPERATING PLAN:** Note purposes, processes, rates/terms limits, underwriting guidelines, loan review committee members and experience, underwriting and investment guidelines/policies, and any other requirements referenced in the Access to Capital guidelines. Operating plan outline can be found here: <https://www.arc.gov/resource/access-to-capital-operating-plan-outline/>
- **HISTORICAL FINANCIAL STATEMENTS (FOR EXISTING FINANCIAL ORGANIZATIONS):** If an existing financial organization, please provide historical financial statements prepared according to Generally Accepted Accounting Principles (GAAP) for the past 3 years, including income statements and balance sheets and a current balance sheet and income statement according to GAAP and dated within 90 days of the application.
- Provide at least two letters of demand from businesses and other community stakeholders that attest to the need and impact of the proposed project and that were described in the strategic rationale. Include feasibility studies or other assessments if applicable
- Document a pipeline of loan or equity investment opportunities, including the type of business, amount requested (if available), and the intended use of financing
- **FOR POWER APPLICANTS ONLY:** Attach/include a letter that demonstrates proof of capital raise. This letter should state that the capital raise has been secured. If all the capital is not raised by the time of approval, the applicant must provide a letter showing progress on current capital raise. The letter must also contain a commitment to complete the raise by the expected date. The raise could also be provided on a loan-by-loan or investment-by-investment basis; however, the applicant needs to guarantee that the match will be provided.