



## North Carolina Appalachian Regional Commission Program

### ADHS Access Road Application Due on or before July 29, 2016

**Please submit 10 single-sided applications to the NC ARC Office by 5:00 p.m. on July 29, 2016.** Applications must be postmarked by 5 p.m. in order to be eligible for review. Electronic applications are not allowed. Incomplete applications will not be accepted or reviewed.

Applications and other resources are available at the following website: <http://www.nccommerce.com/rd/arc/about-arc/documents>. For questions, please contact Olivia Collier at [ocollier@nccommerce.com](mailto:ocollier@nccommerce.com) or (919) 814-4656.

Applications should be submitted to the attention of:

Olivia Collier  
Appalachian Regional Commission Program  
NC Department of Commerce  
4346 Mail Service Center  
Raleigh, North Carolina 27699-4346





# Checklist for Appalachian Regional Commission ADHS Access Road Project Applications

All applicants requesting ARC investment funding should use this checklist to develop a complete project application. The framework for the checklist is based on ARC's Strategic Plan which emphasizes strategic focus, collaboration, sustainability and measurable impact. **Incomplete applications will not be accepted or reviewed.** List, in the column at left, the page in the application where the required information can be found. Submit completed applications to the state ARC program office.

## SECTION 1: REQUIRED APPLICATION FORMS

- Attach the required application forms to the front of application packet.
- Federal Standard Form 424 (Include ARC funds and all matching funds)
  - Federal Standard Form 424C (Budget Information)
  - Federal Standard Form 424D (Construction Assurances)
  - ARC Memorandum of Understanding
  - Form 2 – ONLY FOR ACCESS ROAD PROJECTS

## SECTION 2: EXECUTIVE SUMMARY

Provide a 2-page executive summary of project goals and strategies, purpose, key activities, strategic rationale, collaborative partnerships, project sustainability and capacity, and impact measures. Formatting instructions: Use the headings below as headings in the summary.

**Project Title**  
Identify descriptive title of the project

**Project Grantee**  
Identify applicant's legal name

**Counties Served**  
Identify each county and its economic status (e.g. transitional, distressed, etc.)

**Basic Agency**  
Identify the administering agency (construction projects only)

**Goal/Strategy**  
Identify the primary ARC Goal and State Strategy that project will address

**Purpose**  
1-sentence statement describing purpose of proposed project

**Funding**

<u>Source</u>	<u>Amount</u>	<u>Percentage</u>
ARC	\$200,000	36%
Other Federal	\$200,000	36%
State	\$100,000	18%
Local	\$50,000	9%
<u>Private</u>	<u>\$10,000</u>	<u>2%</u>
<b>Total</b>	<b>\$560,000</b>	<b>100%</b>

**Project Description**  
In no more than 2 paragraphs, describe major activities to be conducted. The description should address who, what, where, when and how for each major activity.

**Strategic Rationale**  
In 1 paragraph:

- Identify the problems and/or opportunities project will address.
- Explain the critical circumstances that compel project to be funded by ARC.
- Describe how project supports a regional strategy or plan.

### Collaborative Partnerships

	<p>In 1 paragraph, identify local, regional and/or state partnerships that will support project.</p> <p><b>Project Sustainability &amp; Capacity</b> In 1 paragraph:</p> <ul style="list-style-type: none"> <li>Describe capacity to undertake the proposed activity by describing previous experience with similar activity.</li> <li>Explain how the project will be sustainable once ARC support is no longer available.</li> </ul> <p><b>Impact Measures:</b></p> <ul style="list-style-type: none"> <li>Identify quantifiable output and outcome measures, consistent with ARC guidance (include any leveraged private investment resulting from the project).</li> </ul>
	<p><b>SECTION 3: PROJECT NARRATIVE</b> <i>Formatting instructions: Use the headings below as headings in project narrative. The suggested length of the narrative is 5-8 pages. Please number the pages.</i></p>
	<p><b>1. Goals and Strategies</b></p> <ul style="list-style-type: none"> <li>List the primary ARC goal and the primary ARC objective the project will address (one goal and one objective only). See <a href="#">ARC Strategic Plan</a> for a list of ARC goals and objectives.</li> <li>List the primary ARC state strategy the project will address. See the state's list of <a href="#">strategies</a>.</li> </ul> <p><b>2. Project Description</b></p> <ul style="list-style-type: none"> <li>Provide a brief statement that describes the project's primary purpose, main activities, and expected impacts. This statement can also be used as the purpose statement in the Executive Summary.</li> <li>Provide a detailed work plan, including a description of all major project activities (what will be done, who will complete each activity) and timelines for each activity during the course of the project.</li> <li>Identify the counties where the proposed project will be based and the counties in the project's entire service area. If the project is not county-wide, identify the census tracts of the project's entire service area.</li> <li>Attach maps to illustrate the project's service area and detailed maps or schematics that show the route of utility systems, diagrams of building sites, and floorplans of buildings to be constructed.</li> <li>Provide a preliminary engineering report, an architectural report, or a detailed description of all major construction components. Include details, such as linear feet to be constructed, square footage built, acreage served, and timelines for starting and completing each component.</li> <li>For projects where energy-efficiency can be improved (in the scope of the project), discuss efforts that may have been made to improve the energy-efficiency and green-building practices of the project, as outlined in the <i>ARC Project Guidelines</i>.</li> <li>For industrial sites or community facilities, describe approaches to marketing the project to potential users and beneficiaries, including strategic sectors to be pursued and an explanation of who will be responsible for marketing activities. Describe any plans for leasing or transferring ownership of the property, if applicable.</li> </ul> <p><b>3. Strategic Rationale</b></p> <ul style="list-style-type: none"> <li>Describe any problems, opportunities, or local/regional demand that the project will address and how these issues impact the community.</li> <li>Explain why the proposed project is the most practical, cost-effective, and beneficial way to achieve the desired results when compared to alternative approaches.</li> <li>Explain how the proposed project represents progress toward addressing a regional strategy, such as a comprehensive economic development strategy or a local visioning process.</li> <li>Describe other project benefits likely to result from the project (e.g., positive impact on future economic development activity in the area).</li> <li>Describe how this project will help move the community/region towards economic success?</li> <li>For residential service projects in non-distressed counties, explain how the project meets the "Policy for Residential Infrastructure Projects" in the <i>ARC Project Guidelines</i>. Include letters or other documentation from state health/environmental agencies if relevant.</li> </ul> <p><b>4. Collaborative Partnerships</b></p> <ul style="list-style-type: none"> <li>Describe any partnerships or collaborations with other local community, state, regional, and federal partners in the development of the proposal.</li> <li>Provide letters of engagement from partner organizations that commit to undertake specific activities in support of the project</li> </ul> <p><b>5. Project Sustainability and Capacity</b></p> <ul style="list-style-type: none"> <li>Identify the organization or agency that will own improvements and provide maintenance for the completed project.</li> <li>Describe strategy for ensuring the project's long-term financial and operational sustainability (e.g., five-year pro forma financial projections).</li> </ul>

	<p><b>6. Impact Measures</b></p> <ul style="list-style-type: none"> <li>List the expected outputs and outcomes of the project. See the <i>Guide to ARC Project Performance Measures</i> for information on identifying outputs and outcomes.</li> <li>Provide a credible and established methodology for estimating each impact measure that results from the project.</li> <li>If project has “jobs created,” “jobs retained,” or “leveraged private investment” as an impact measure, attach letters documenting job or investment commitments, if available.</li> </ul>
	<p><b>SECTION 4: BUDGET INFORMATION AND SUPPORTING MATERIALS</b></p> <p><b>1. Engineering or Architectural Budget</b></p> <ul style="list-style-type: none"> <li>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 Standard Form 424. (Note that for construction projects only, ARC does not require a breakdown of expenditures by funding source.)</li> <li>If the ARC project is part of a larger, multi-phase project, provide only the detailed budget information that corresponds to the total budget for the ARC and matching funds. Example: a proposed ARC project includes \$500,000 of ARC funds and \$1.5 million of matching funds. This \$2 million project is part of a \$10 million multi-phase project. Applicant will provide detailed budget information only for the scope of the \$2 million ARC project, and will describe the rest of the larger \$10 million project in the Project Narrative section.</li> <li>If budget includes land or buildings, provide an MAI appraisal or comparable appraisal.</li> </ul> <p><b>2. Non-ARC Funding Commitments</b></p> <ul style="list-style-type: none"> <li>Identify each non-ARC funding source as federal, state, local, or private. 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.).</li> <li>Provide descriptions of in-kind resources, including the methods used to determine their value.</li> </ul> <p><b>3. ARC Match Rate Calculation</b></p> <ul style="list-style-type: none"> <li>List each county project will serve and the economic status of each county. See the <i>ARC County Economic Status and Match Rates</i> table on the ARC website to identify county economic status. For further match-related questions, contact the state ARC program manager.</li> </ul> <p><b>4. Additional Documentation</b></p> <ul style="list-style-type: none"> <li>Enclose pertinent supporting materials that will lead to a better understanding of the proposed project.</li> <li>Do not include form letters.</li> <li>Only include financial audits or utility rate structure information if they are needed to demonstrate project sustainability. Summarized financial statements or pro forma financial projections are preferred.</li> </ul> <p><b>5. Basic Agency Letter Committing to Administer ARC Funds</b></p> <ul style="list-style-type: none"> <li>Address the letter to the Executive Director of the Appalachian Regional Commission.</li> <li>The letter must state the basic agency’s willingness to administer the project if approved by ARC; the ARC grant amount; the total matching funds amount; the total project cost; the primary basic agency contact person(s) for project management and financial management of the grant.</li> <li>For projects that will be administered by the U.S. Department of Housing and Urban Development’s Community Development Block Grant (CDBG) program or CDBG Entitlement program, the HUD certification form is the basic agency commitment letter.</li> </ul>

**Reference Documents:**

- ARC Strategic Plan  
[www.arc.gov/images/newsroom/publications/sp/InvestinginAppalachiasFutureARCs2016-2020StrategicPlan.pdf](http://www.arc.gov/images/newsroom/publications/sp/InvestinginAppalachiasFutureARCs2016-2020StrategicPlan.pdf)
- State ARC Four-Year Development Plans  
[www.arc.gov/stateplans](http://www.arc.gov/stateplans)
- ARC Project Guidelines  
<http://www.arc.gov/publications/ARCProjectGuidelinesContents.asp>
- ARC County Economic Status  
<http://www.arc.gov/funding/ARCCountyEconomicStatusandMatchRatesFY2016.asp>  
[http://www.arc.gov/appalachian\\_region/CountyEconomicStatusandDistressedAreasinAppalachia.asp](http://www.arc.gov/appalachian_region/CountyEconomicStatusandDistressedAreasinAppalachia.asp)
- ARC Grantee Forms and Instructions  
[www.arc.gov/forms](http://www.arc.gov/forms)

**APPLICATION FOR  
FEDERAL ASSISTANCE**

Version 7/03

		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		<b>Organizational Unit:</b>	
		Department:	
Organizational DUNS:		Division:	
<b>Address:</b>		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b>	
Street:		Prefix:	First Name:
City:		Middle Name	
County:		Last Name	
State:	Zip Code	Suffix:	
Country:		Email:	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b>  □□-□□□□□□□□		Phone Number (give area code)	Fax Number (give area code)
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) <input type="checkbox"/> <input type="checkbox"/> Other (specify)		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types)	
		Other (specify)	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>  TITLE (Name of Program):    □□-□□□□		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date:	Ending Date:	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
g. TOTAL	\$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
<b>a. Authorized Representative</b>			
Prefix	First Name	Middle Name	
Last Name		Suffix	
b. Title		c. Telephone Number (give area code)	
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 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 this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), 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.**

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>B. County</td> <td>J. Private University</td> </tr> <tr> <td>C. Municipal</td> <td>K. Indian Tribe</td> </tr> <tr> <td>D. Township</td> <td>L. Individual</td> </tr> <tr> <td>E. Interstate</td> <td>M. Profit Organization</td> </tr> <tr> <td>F. Intermunicipal</td> <td>N. Other (Specify)</td> </tr> <tr> <td>G. Special District</td> <td>O. Not for Profit Organization</td> </tr> <tr> <td>H. Independent School District</td> <td></td> </tr> </table>	A. State	I. State Controlled Institution of Higher Learning	B. County	J. Private University	C. Municipal	K. Indian Tribe	D. Township	L. Individual	E. Interstate	M. Profit Organization	F. Intermunicipal	N. Other (Specify)	G. Special District	O. Not for Profit Organization	H. Independent School District		17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled Institution of Higher Learning																		
B. County	J. Private University																		
C. Municipal	K. Indian Tribe																		
D. Township	L. Individual																		
E. Interstate	M. Profit Organization																		
F. Intermunicipal	N. Other (Specify)																		
G. Special District	O. Not for Profit Organization																		
H. Independent School District																			
8.	Select the type from the following list: <ul style="list-style-type: none"> <li>• "New" means a new assistance award.</li> <li>• "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>• "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. Increase Award</td> <td style="width: 50%;">B. Decrease Award</td> </tr> <tr> <td>C. Increase Duration</td> <td>D. Decrease Duration</td> </tr> </table> </li> </ul>	A. Increase Award	B. Decrease Award	C. Increase Duration	D. Decrease Duration	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)												
A. Increase Award	B. Decrease Award																		
C. Increase Duration	D. Decrease Duration																		
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		



**Code of Federal Domestic Assistance**  
**CFDA numbers for ARC grants (Revised 2005)**

Applicants and LDDs should ensure that CFDA numbers are included on SF 424 for all project applications. These codes are primarily useful for grantees and their auditors, who may periodically ask what CFDA code applies to a particular grant. ARC also reports CFDA numbers to the US Census Bureau, which categorizes all federal funding by program.

23.009 LDD Admin Grants

23.011 Headquarters research or technical assistance activities

23.003 Local Access Roads (regardless of funding source)

23.002 All other ARC-funded area development projects

**BUDGET INFORMATION - Construction Programs**

*NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.*

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ .00	\$ .00	\$ .00
2. Land, structures, rights-of-way, appraisals, etc.	\$ .00	\$ .00	\$ .00
3. Relocation expenses and payments	\$ .00	\$ .00	\$ .00
4. Architectural and engineering fees	\$ .00	\$ .00	\$ .00
5. Other architectural and engineering fees	\$ .00	\$ .00	\$ .00
6. Project inspection fees	\$ .00	\$ .00	\$ .00
7. Site work	\$ .00	\$ .00	\$ .00
8. Demolition and removal	\$ .00	\$ .00	\$ .00
9. Construction	\$ .00	\$ .00	\$ .00
10. Equipment	\$ .00	\$ .00	\$ .00
11. Miscellaneous	\$ .00	\$ .00	\$ .00
12. SUBTOTAL (sum of lines 1-11)	\$ .00	\$ .00	\$ .00
13. Contingencies	\$ .00	\$ .00	\$ .00
14. SUBTOTAL	\$ .00	\$ .00	\$ .00
15. Project (program) income	\$ .00	\$ .00	\$ .00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ .00	\$ .00	\$ .00
<b>FEDERAL FUNDING</b>			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X _____%		\$ .00

## INSTRUCTIONS FOR THE SF-424C

Public reporting burden for this collection of information is estimated to average 180 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 this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0041), 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.**

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal Government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount, there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions, please contact the Federal agency.

*Column a.* - If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATION."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

*Column b.* - If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

*Column.* - This is the net of lines 1 through 16 in columns "a." and "b."

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Line 1 - Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2 - Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3 - Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4 - Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5 - Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6 - Enter estimated engineering inspection costs.

Line 7 - Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9 - Enter estimated cost of the construction contract.

Line 10 - Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11 - Enter estimated miscellaneous costs.

Line 12 - Total of items 1 through 11.

Line 13 - Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14 - Enter the total of lines 12 and 13.

Line 15 - Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16 - Subtract line 15 from line 14.

Line 17 - This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

**ASSURANCES - 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 this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), 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 assistance 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 assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. 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.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. 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 residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) 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 1683, and 1685-1686), 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 handicaps; (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. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), 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. §§3601 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 application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(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.
15. 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 (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

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## Memorandum of Understanding For ARC Projects

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Project Name: \_\_\_\_\_

State: \_\_\_\_\_ Federal Agency: \_\_\_\_\_

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### The Following Conditions Apply to all ARC Projects

- Deadline:** The Commission may revoke or revise its approval of any project if work intended to be assisted is not underway within 18 months after the date of approval of such project.
- Davis Bacon Wages:** Davis Bacon wage rates (as determined by the Department of Labor for your respective area) must be paid for all construction projects in accordance with Section 402 of the Appalachian Regional Development Act of 1965, as amended.
- ARC Underrun Policy:** Each disbursement of funds for a project receiving assistance from more than one Federal source will be deemed to be a proportional disbursement from each source. In the event of an underrun, the ARC will be entitled to recover its proportionate share of the underrun.
- Additional Funds Added to the Project After ARC Approval:** It is understood that if the applicant receives additional funding from any new source towards the eligible cost of this project after the ARC approval, these funding sources should not be used to reduce the amount of local funds pledged. If new funds are made available to this project, the ARC and the Basic Federal Agency, if any, should be notified immediately. ARC reserves the right to reconsider the level of its funding approval in such an eventuality.
- Changes in Scope:** It is understood that a change-in-scope may not be implemented without prior written approval from the ARC and the Basic Federal Agency, if any. A change of scope is any major change to the project design, the type of project to be completed, capacity of the system, size of project, the number and/or type of customers served or equipment items purchased.
- Close Working Relationship With Basic Federal Agency:** It is understood that the applicant must work closely with the Basic Federal Agency identified in the ARC application, if any, and follow bidding and contract award procedures to insure that all pertinent Federal laws are complied with. Coordination with the Federal agency begins with filing an application with the basic Federal agency.
- Restrictions on Assistance:** ARC funds shall not be used for: a. any form of assistance to relocating industries; b. recruitment activities that place a state in competition with other state or states; and c. projects that promote unfair competition between businesses within the same immediate service area.
- Cornerstone or Plaque:** Any facility constructed in whole or in part by funds provided under the ARDA shall include a cornerstone, or plaque appropriately acknowledging the assistance provided through the ARC program, provided that such an item not be required if it would be prohibited as an eligible project cost under the basic federal program through which the ARDA assistance is provided.

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Applicant/Authorized Representative

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Date

# Appalachian Regional Commission

Program Operations Division  
 1666 Connecticut Ave., NW  
 Washington, DC 20009

Phone 202-884-7750  
 Fax 202-884-7682

## ARC FORM 2 - LOCAL ACCESS ROAD PROJECT APPLICATION

ARC Project No.: \_\_\_\_\_ (assigned by ARC Washington Office)

Send three (3) copies of project application to State ARC Office.

1. Proposed Local Access Road: State \_\_\_\_\_ County \_\_\_\_\_

From: \_\_\_\_\_  
 (Location)

To: \_\_\_\_\_  
 (Location)

2. New Construction      Reconstruction      No. of Lanes \_\_\_\_\_      Projected ADT \_\_\_\_\_

Miles \_\_\_\_\_      Total Cost Per Mile \_\_\_\_\_      Federal Cost Per Mile \_\_\_\_\_      Fed % \_\_\_\_\_

	Prelim. Eng.	Right-of-Way	Construction	Total	% Total
Schedule (Fiscal Year)	FY	FY	FY		
Requested Federal Funds					
State and/or Local Funds					
Estimated Total Cost					

Applicant hereby requests Appalachian Act grant funds in the amount identified above and if provided, agrees to apply these funds in accordance with applicable Federal laws, including the Appalachian Act.

\_\_\_\_\_  
**Legal Name of Applicant**

\_\_\_\_\_  
**Signature of Responsible Officer**

\_\_\_\_\_  
**Date**

### STATE APPROVAL

The State hereby requests Appalachian Act funds for the local access road project in the amount described in this application, and agrees to comply with (1) applicable Federal laws, including Section 224(b)\* of the Appalachian Regional Development Act of 1965 and Title VI of the Civil Rights Act of 1955, and (2) Chapter B2 of the Appalachian Regional Commission Code, including Section 201B-6.4. The local access road will be constructed in accordance with; "the design criteria in the State's secondary road plan approved by the Federal Highway Administration;" exceptions to such criteria approved by the Federal Highway Administration's Division Engineer.

The project has been evaluated and approved as meeting the requirements for assistance under such Act and Appalachian Regional Commission Code. The State has acquired or will acquire the necessary right-of-way and will construct and maintain the road as public highway, or it will provide therefor by appropriate arrangements with a local government unit, in accordance with Federal aid highway procedures administered by the Federal Highway Administration. Where required by Executive Order No. 12372 and implementing regulations, the appropriate project review clearinghouses were given an opportunity to review the project and comment:

E.O. No. 12372 Comments Attached

E.O. No. 12372 Comments not Made

E.O. No. 12372 Not Applicable.

\_\_\_\_\_  
**SIGNATURE OF STATE ARC ALTERNATE**

\_\_\_\_\_  
**DATE**

# **ARC FORM 2 - Instructions**

The ARC Form 2 is specifically designed for completion by local access road project applicants requesting ARC Access Road Program funds. Other ARC construction project applicants do not need to complete ARC Form 2.

## **ARC Project Control Number**

Leave blank. This number is assigned by the ARC Washington office upon receipt of the full application.

## **Number 1**

- I. State/County: Identify the State and County(ies) in which the project will take place.
- II. From/To: Clearly identify the location from which the project will begin and the location to which the project will end. The From and To locations identified for the project should include the entire scope of work to be completed through all funds related to the project.

## **Number 2**

- I. New Construction/Reconstruction: Identify if the project is a new road to be constructed or the rehabilitation of an existing roadway (e.g., road widening).
- II. No. of Lanes: Record the number of lanes to be constructed. Projected ADT: Identify the projected average daily traffic (ADT) count upon completion of the project. The ADT may be obtained from your engineer and/or the state Department of Transportation.
- III. Miles: Record the total number of miles to be constructed and/or improved. This can be found on the Engineer's Cost Estimate.
- IV. Total Cost Per Mile: To calculate the total cost per mile, applicants must divide the total project cost by the total miles. Example: A 1.9 mile improvement at a total cost of \$650,000.  $\$650,000 \div 1.9 = \$342,105$  cost per mile.
- V. Federal Cost Per Mile: This item must include ARC plus any other federal sources contributing to the project (e.g., Federal Highway Adm.). Take the total federal share and divide by the total miles. Example: The above referenced 1.9 mile project has \$450,000 federal contributions.  $\$450,000 \div 1.9 = \$236,842$  federal cost per mile.
- VI. Federal Percent: Take the total Federal participating share and divide by the total project cost. Example: The project above has \$450,000 federal contributions and a total project cost of \$650,000.  $\$450,000 \div \$650,000 = 69\%$  federal dollar percentage. Total federal participation in a project cannot exceed 80%.

## **Number 3**

- I. Budget & Anticipated Construction Start Dates: Access road projects must use the state Department of Transportation, or other state designated agency, as the basic agency. Construction activities may be delayed due to the state's plan review and approval timelines. It is recommended to record three separate Fiscal Years in each of the outlined areas (e.g., FY97 Preliminary Engineering, FY98 Right-of-Way, FY99 Construction).
- II. The budget must show the sum of all federal funds participating in the project under the Requested Federal Funds line. At a minimum, the ARC funding request must be recorded on this line. All other sources participating (State and/or Local) must also be summed and recorded on the budget accordingly.
- III. Projected costs for each construction area - preliminary engineering, right-of-way, and construction - must be prorated and recorded based upon the construction cost estimate. The Estimated Total Cost line for each area when totaled must equal the total cost reflected on the Engineer's Cost Estimate.
- IV. If ARC will not be participating in the funding for the preliminary engineering and/or right-of-way portions of the project, do not include these items in the ARC total project costs. Only include construction costs for the project.
- V. Legal Name of Applicant: Self-explanatory.
- VI. Signature of Responsible Officer and Date: The signature of an authorized representative of the applicant organization, and the date signed, should be provided.

## **State Approval and Application for Funds**

- I. Leave blank. This will be completed by the state ARC office.

**CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS**

Applicants should refer to the regulations cited below. Applicants should also review the instructions for certification included in the regulations before completing this form, signature on this form provides for compliance with certification requirements implementing Federal Executive Order 12549 and guidance issued in the *Federal Register*, Volume 70, No. 168, pages 51863 through 51880 for "Governmentwide Debarment and Suspension (Nonprocurement)." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant or cooperative agreement.

**1. DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, for prospective participants in primary covered transactions.

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).**

NAME OF APPLICANT	AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

### **Instructions**

1. By signing and submitting this form, the prospective participant is providing the certification set out on the Certification Regarding Debarment, Suspension and Other Responsibility Matters" in accordance with these instructions.
2. Consequences of False Certification - The certification is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. Errors in Certifying. - The prospective participant shall provide immediate written notice to the person to which this proposal is submitted if, at any time, the prospective participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. Definitions and Further Guidance - The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause have the meanings set out in the Definitions and Coverage section of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations or you may refer to the *Federal Register*, Vol. 70, No. 168, pages 51863 – 51880.
5. Certification Extends to Subcontractors - The prospective participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. Certification Included in Subcontracts - The prospective participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. Reliance on Certification - A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transition, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. New System of Records Not Required - Nothing contained in the foregoing should be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Consequences for Use of Ineligible Subgrantees - Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.