



**Northern Border
Regional Commission**



2018 Application Manual

**ECONOMIC & INFRASTRUCTURE
DEVELOPMENT INVESTMENT PROGRAM**

www.nbrc.gov

APPLICATION DEADLINE MAY 11, 2018

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CONTENTS

INTRODUCTION	1
SECTION I-GENERAL INFORMATION AND ELIGIBILITY	2
1. MAXIMUM GRANT AMOUNT	2
2. TIMEFRAME	2
3. COMMISSION SERVICE AREA	2
4. ELIGIBLE APPLICANTS	2
5. INELIGIBLE APPLICANTS	2
6. PREVIOUS APPLICANTS	3
7. ELIGIBLE PURPOSE	3
8. INELIGIBLE PURPOSES	4
9. ELIGIBLE COSTS	4
10. INELIGIBLE COSTS	5
11. FEDERAL FUNDING CEILING	5
12. ELIGIBILITY CRITERIA	5
13. MULTI-STATE APPLICATIONS	5
14. DESIGNATED DISTRESSED COUNTIES	5
15. DESIGNATED TRANSITIONAL COUNTIES	6
16. ATTAINMENT COUNTIES	6
17. MATCH	6
18. APPLICATION SCORING CRITERIA	7
SECTION II - LETTER OF NOTIFICATION	11
SECTION III - APPLICATION INSTRUCTIONS	12
A. General Information	12
B. Project Information	14
C. Project Financing	21
D. Authorization	23
E. Other Necessary Documentation to be Attached with the Application	24
SECTION IV - SUBMISSION INFORMATION AND INVESTMENT CONDITIONS	25
1. WHAT APPLICATION MATERIALS TO SUBMIT	25
2. TIMELINE OF INVESTMENT PROGRAM	25
3. WHERE TO SUBMIT APPLICATIONS	25
4. AWARD CONDITIONS	25
ADDENDUM I- REVOLVING LOAN FUND PROGRAM	27
ADDENDUM II-NATIONAL ENVIRONMENTAL POLICY ACT	34

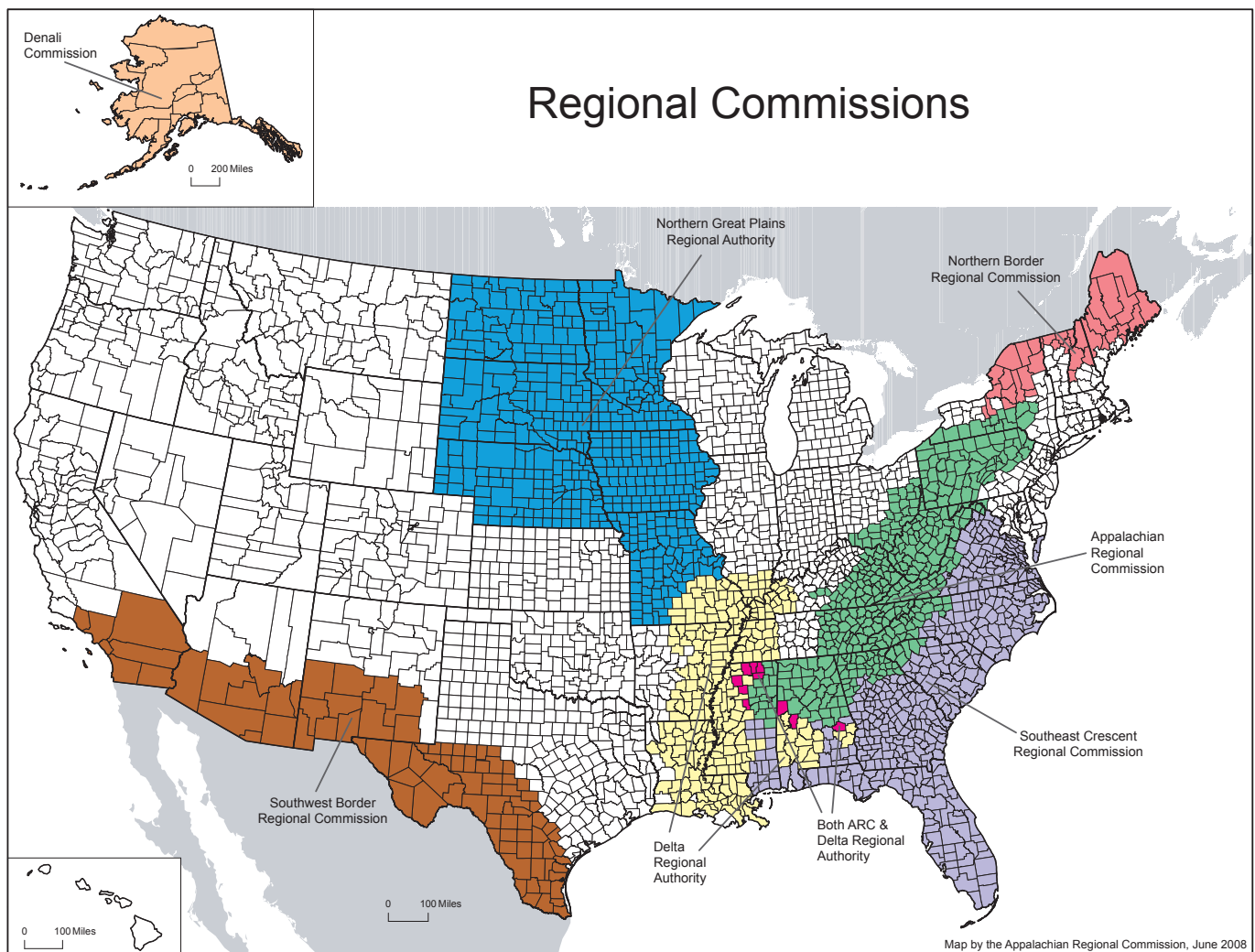
INTRODUCTION

Established by Congress in 2008, the Northern Border Regional Commission (NBRC) is a partnership between the federal government and the States of Maine, New Hampshire, New York and Vermont. The mission of the NBRC is to fund economic development and infrastructure projects throughout designated counties in its four state service area. The governance of the NBRC is based on the Appalachian Regional Commission model created in the 1960s; and is part of a group of newer regional commissions created by Congress within the last decade.

The NBRC partnership provides investments to job-creating projects that help reduce poverty, unemployment, and outmigration.

NBRC investment funds originate from the Federal Government but are approved by the Federal Government's NBRC representative (Federal Co-Chair) and the Governors of the four States. By statute, NBRC investments can be used, up to 80% of any project; making them attractive for leveraging other funds.

The NBRC partnership is aided by recognized Local Development Districts (LDD) that assist with technical assistance, provide information on complimentary funding opportunities for projects, and ensure consistency with administration of projects that are funded.



SECTION I-GENERAL INFORMATION AND ELIGIBILITY

Applicants for Northern Border Regional Commission (NBRC) funding should familiarize themselves with this document and provide conclusive evidence within the application package which clearly describes the eligible nature of the project. This determination must be consistent with the definitions found below.

1. MAXIMUM GRANT AMOUNT

The maximum grant amount for Fiscal Year 2018 is \$500,000 for ‘infrastructure’ projects as defined by [40 U. S. C. §15501 \(b\)](#) and listed in I.7 below. For all other applications the maximum amount is \$250,00. Multi-State awards may receive a maximum per project of \$500,000.

2. TIMEFRAME

All proposed projects must be completed by September 30, 2021. If you anticipate that your project will take more than three years from the time of award you should contact the NBRC staff at 603-369-3001 with questions, and consider postponing your application to a future year.

3. COMMISSION SERVICE AREA

Only projects within the NBRC's service area are eligible for funding under 40 U.S.C. §15733. The NBRC service area is:

Maine: Androscoggin, Aroostook, Franklin, Hancock, Kennebec, Knox, Oxford, Penobscot, Piscataquis, Somerset, Waldo, and Washington counties.

New Hampshire: Carroll, Coos, Grafton, and Sullivan counties

New York: Cayuga, Clinton, Essex, Franklin, Fulton, Hamilton, Herkimer, Jefferson, Lewis, Madison, Oneida, Oswego, Seneca, and St. Lawrence counties

Vermont: Caledonia, Essex, Franklin, Grand Isle, Lamoille, and Orleans counties

4. ELIGIBLE APPLICANTS

The NBRC Economic and Infrastructure funding is available to:

- State governments of Maine, New Hampshire, Vermont, and New York;
- Local governments (village, town, city and county);
- Other political subdivisions of States (regional planning commissions, authorities of the state)
- Indian Tribes; § 200.54 [Indian tribe](#) (or “federally recognized Indian tribe”). Indian tribe means any [Indian tribe](#), band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native [Claims](#) Settlement Act ([43 U.S.C. Chapter 33](#)), which is recognized as eligible for the special programs and services provided by the United [States](#) to Indians because of their status as Indians ([25 U.S.C. 450b\(e\)](#)). See annually published Bureau of Indian Affairs list of Indian Entities Recognized and Eligible to Receive Services.
- Non-profit entities. The term ‘nonprofit entity’ means any organization described in section 501(c) of the Internal Revenue Code of 1986 and exempt from taxation under 501(a) of that Code that has been formed for the purpose of economic development.

5. INELIGIBLE APPLICANTS

Ineligible applicants include for-profit entities, LLCs and other entities that are not a 501(c). 40 U.S.C. §15101(c). Ineligible entities are also those entities normally deemed eligible but, due to prior federal or state funding history have been identified as ineligible for future investments. Additionally, a non-profit identified by a state that does not have a federally recognized 501(c) status is not an eligible applicant.

6. PREVIOUS APPLICANTS

If a grantee has an outstanding investment with NBRC, they cannot receive additional NBRC investments until their current project has both: submitted reimbursement requests totaling 75% or more of the project by July 26, 2018, and; demonstrated that 75% of the match has been completed by July 26, 2018.

7. ELIGIBLE PURPOSE

The following funding categories represent eligible activities for NBRC investment dollars.

^ These are 'infrastructure' projects as defined by NBRC's enabling legislation. NBRC is required to use 40% of all funds awarded within any given year toward infrastructure.

** These eligible purposes have been identified in the recently adopted NBRC Strategic Plan and will receive higher scores for potential funding. See Strategic Plan at: www.nbrc.gov

Infrastructure

Infrastructure is defined for NBRC purposes as publicly owned and publicly accessible fixed/physical 'hard' installations necessary for the movement of utilities, services, goods and people necessary to conduct business. A commodity or service that is provided to the public that is generally non-excludable and nonrivalrous. NBRC investments shall not be used for general maintenance or deferred maintenance. Grant recipients must maintain ownership/control over all investments made with NBRC funds, ownership of physical equipment and/or structures may not transfer to any other entity. Types of infrastructure that NBRC may fund include:

^Transportation:

Transportation infrastructure shall include fixed installations and rights of way necessary for transporting from one point to another and may include [roads](#), [railways](#), [airways](#), [waterways](#), [canals](#) and terminals such as [airports](#), [railway stations](#), [bus stations](#), parking, terminals, refueling depots (including fueling docks and [fuel stations](#)) and [seaports](#), sidewalks and trails when used for transportation purposes.

^Basic Public:

Basic public infrastructure shall mean those services that are generally necessary to conduct business and operate and include waste, water and energy. Specifically; the collection and distribution systems, treatment plants and other infrastructure that collects, treats and delivers drinking water and waste water-related services; electric power generation and transmission; solid waste to include, [recycling](#), [composting](#), [disposal](#), and [waste-to-energy](#) via incineration; systems for heat distribution through sources such as co-generation, biomass, geothermal heating, heat pumps and central solar heating.

^Telecommunications:

The equipment and structures necessary for the transmission of signals over long distances that may include electrical and electromagnetic technologies, such as [telegraph](#), [telephone](#), and [teleprinter](#), [networks](#), [radio](#), [microwave transmission](#), [fiber optics](#), coaxial cable and [communications satellites](#). Investments must meet or exceed the most current U.S. Federal Communication Commission definition of broadband data transmission.

****BUSINESS AND WORKFORCE DEVELOPMENT:** Business Development shall mean those areas of business development which include entrepreneurship, the creation of new businesses or the retention or expansion of existing businesses in the local communities, and are deemed eligible. Projects shall document job-creation or job-retention. Funding of start-up projects, such as business incubators or industrial parks, must have committed business tenants. Expansion of existing business incubators and industrial parks are also allowed.

Business Incubator projects must document that a need exists, per standards of research described by the International Business Innovation Association <https://inbia.org>. A plan should also be developed to coincide with standards and operations as set forth by the International Business Innovation Association.

Business Incubation shall mean a business support process that accelerates the successful development of start-up and fledgling companies by providing entrepreneurs with an array of targeted resources and services.

Workforce Development shall mean job training or employment-related education for a specific employer to fill immediate job openings or retain current jobs which are documented as such by that specific employer. Delivery of such training shall be through the use of existing public educational facilities (EPEFs) located in the region. However, if, the applicant demonstrates (1) sufficient information demonstrating an EPEFs inability (as example, insufficient capacity, curriculum, and/or accessibility) to satisfy the defined need, and the applicant (2) demonstrates a compelling need to use a non-EPEF for such training, then a project may be eligible.

Revolving loan funds may be used for the purpose of making loans to create and/or retain jobs. (Any applicant interested in applying for revolving loan funds should read Addendum I of this Program Manual to understand the uses and limitations of any revolving loan fund set up through NBRC.)

Ongoing operating costs (including, but not limited to, salaries, vehicles, equipment, and maintenance) will NOT be deemed eligible.

e) ****RENEWABLE AND ALTERNATIVE ENERGY:** Renewable energy is generally defined as any naturally occurring, theoretically inexhaustible source of energy, such as biomass, solar, wind, tidal, wave, and hydroelectric power that is not derived from fossil or nuclear fuel. Publicly owned and non-profit entities are eligible. Facilities that are owned by a for profit entity will NOT be eligible.

f) **BASIC HEALTH CARE:** The cost of basic health care facilities, such as clinics, will be eligible. Operating costs of facilities will NOT be deemed eligible.

g) **RESOURCE CONSERVATION, TOURISM, RECREATION:** While easements and land purchases are eligible under the federal criteria, an economic development case needs to be made to substantiate the use of funds. Construction projects that promote resource conservation, tourism, recreation, and preservation of open space, such as access roads, bridges, signage, etc., are eligible projects. All projects must also be consistent with the economic development goals of the region.

If there is any question about your project being an eligible use, it is strongly recommended to contact the NBRC staff or the State Program Manager (contact information found at III. B. 25.)

8. INELIGIBLE PURPOSES

- No pass-through funding will be awarded. Eligible entities may not be conduits for ineligible entities such as private-sector businesses or other entities that are not listed as Co-Applicants. Property purchased with NBRC funding cannot, in turn, be sold to the private entity beneficiary.
- No financial assistance will be authorized to assist any relocation from one area of the region to another.
- NBRC investment funds cannot be used to “supplant” existing federal programs. Funds may be used to match other federally funded projects only when the total funds from both NBRC and the federal funds does not exceed 80% of the total project budget.
- Projects that promote unfair competition between businesses with the same immediate service area.

9. ELIGIBLE COSTS

Investment funds may be used for the following:

- Reasonable fees to contractors but not any fee or profit to the recipient or sub-recipient.
- Construction and pre-construction costs such as engineering.
- Bid, performance or payment bonds are eligible costs.
- Indirect costs for work performed by the recipient staff. Indirect cost must be documented by a Federal Cognizant Agent or an entity acting on their behalf. If you do not have a federally approved

indirect cost rate (such as many non-profits) you may use 10% as your indirect cost rate for the purposes of this application.

- Applicable and allocable costs as outlined in the Federal Cost Principles. Uniform Guidance (2CFR 200).

10. INELIGIBLE COSTS

Investment funds may NOT be used for:

- Food and beverages for meetings
- Alcohol
- Entertainment
- Appraisals of property to be purchased or used as match, because it is assumed that in order to determine a budget for the application the value must be known
- Allowance or payment of debts
- Any costs incurred prior to receiving a Notice to Proceed. Consistent with this, no match funding can be documented as part of the project prior to receiving a Notice to Proceed.

11. FEDERAL FUNDING CEILING

If a project uses funds from multiple federal sources (including the NBRC), no more than 80% of a total project cost can be comprised from federal funds. (e.g: if an applicant is receiving \$100,000 from a federal source such as Economic Development Administration and the total project cost is \$200,000. The total amount the project could be awarded by NBRC would be \$60,000.)

12. ELIGIBILITY CRITERIA

By statute (40 U.S.C. §15702) the NBRC is required to annually assess the level of economic and demographic distress among the 36 counties in its service area. Assessing distress is important as the resulting designations reflects whether or not the NBRC can provide grants within a county. It also determines the percent of match that is required for NBRC funded projects.

Counties are designated as either:

- Distressed-eligible for 80% funding and require a 20% match
- Transitional - eligible for 50% funding and require a 50% match
- Attainment - not eligible for funding, unless these certain circumstances. In general, NBRC funds may not be provided to projects located within a designated Attainment County. However, if a municipality is distressed or the project has a greater effect on distressed and transitional counties surrounding it, there is a possibility that it could be an eligible project. Reference Attainment Counties #16 below.

13. MULTI-STATE APPLICATIONS

Multi-state applications are acceptable. To determine match requirements, the average of the counties that make up the project will be used. The maximum amount of any multi-state project will be \$500,000. Applicants are required to list in Question #5 of the Application, each state and what is the specific financial (\$) request of for that state. Each state will review applications independently. Additionally, in Question #10 (b) list all the states that the application covers, and in Question #11 list all counties that the project will cover. If it is all counties within the state you may state 'all'.

14. DESIGNATED DISTRESSED COUNTIES

In federal fiscal year 2018, twenty-nine of the thirty-six NBRC counties are considered Distressed.

Distressed counties are the most severely and persistently economically challenged and have high rates of poverty, unemployment, or outmigration. Distressed counties have at least three of the following criteria:

- a. Outmigration of Population
- b. Per Capita Income lower than the national average

- c. Unemployment higher than the national average
- d. 2000-2010 Population increase less than the national average
- e. Poverty Rate higher than the national average
- f. Percent of secondary seasonal homes

Accordingly, the following counties are designated as Distressed for the purposes of prioritization and match.

Maine: Androscoggin, Aroostook, Franklin, Kennebec, Oxford, Penobscot, Piscataquis, Somerset, Waldo, and Washington Counties

New Hampshire: Coos and Sullivan counties

New York: All Counties. Cayuga, Clinton, Essex, Franklin, Fulton, Hamilton, Herkimer, Jefferson, Lewis, Madison, Oneida, Oswego, St. Lawrence and Seneca Counties

Vermont: Caledonia, Essex, and Orleans Counties

The percent of qualified project costs matched by NBRC funds in distressed counties is 80%.

15. DESIGNATED TRANSITIONAL COUNTIES

In federal fiscal year 2018, seven of the thirty-six NBRC counties are considered Transitional. Transitional counties are economically challenged or have recently suffered high rates of poverty, unemployment, or outmigration. Transitional counties have at least one of the following criteria:

- a. Outmigration of Population
- b. Per Capita Income lower than the national average
- c. Unemployment higher than the national average
- d. 2000-2010 Population increase less than the national average
- e. Poverty Rate higher than the national average
- f. Percent of secondary seasonal homes

Accordingly, the following counties are designated as Transitional for the purposes of prioritization and match.

Vermont: Franklin, Grand Isle and Lamoille Counties

New Hampshire: Carroll and Grafton Counties

Maine: Hancock and Knox Counties

The percent of qualified project costs matched by NBRC funds in transitional counties is 50%.

16. ATTAINMENT COUNTIES

In federal fiscal year 2018 there are NO ATTAINMENT COUNTIES IDENTIFIED.

17. MATCH

Refer to #12 thru #16 (above) in this Application Manual to determine the amount of required matching funds for your project. With the following qualifications and exceptions, matching or cost sharing requirements may be satisfied by any of the following:

- Allowable costs incurred by the recipient, sub-recipient or a cost-type contractor under the investment agreement. This includes 'eligible' costs borne by non-Federal grants or by other cash donations from non-Federal third parties.
- The value of third party "in-kind" contributions applicable to the period of the project.
- Cost sharing or matching requirements may be met by other Federal grants up to 80% of the total project cost.
- Neither costs nor the value of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, any Federal procurement contract, or any other award of Federal funds.

- Cost financed by 'program income' shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the investment agreement.
- Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of the recipients and sub recipients. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability or regular personnel costs.
- Volunteer rate may be used as match and should be consistent with the national average http://www.independentsector.org/volunteer_time which is currently (at the time of this publication) \$24.14 per hour. Volunteers may not be counted for the same activity in a different project (counted twice) or be federal employees. Additionally, their time must be recorded for reimbursements and may not include any Indirect Cost Rate along with the \$24.14.
- Pro-bono (e.g., attorney fees) in-kind contributions may be used, but number of hours donated along with hourly rate must be documented, and certified that other entities are not being charged for the donated time. Any consultant that volunteers time is expressly prohibited from participating in other paid contracts within the project.
- Municipal Force Accounts may be used. (The applicant must provide an accounting of time and costs and provide appropriate documentation of indirect costs, if being used.) Applicants must document that they have the staff and experience. Force Account work is limited to work that the recipient can demonstrate is within the technical skill and managerial ability of the recipient and its forces. Both salaries of staff and cost of mobilization and fees for vehicles may be counted as match when those cost are appropriately documented.

18.APPLICATION SCORING CRITERIA

Each State scores the applications received within their state independently. Generally, each state creates a team of reviewers and has access to a group of consultants who have specialized knowledge on scientific or technical expert opinion that provide guidance when needed. Final decisions about awards are approved jointly between the Federal Co-Chair and the Governor's Alternates (the five members that make up board of the Northern Border Regional Commission). The scoring system for each state is provided below. If the application is for a multi-state project, each state will score the application independently. While States will consult with one another in order to strive for consistency, a multi-state application may be awarded in one state and not in another.

Northern Border Regional Commission - Overall Criteria (50 points total)

Potential # of points	5	3	1	Score between 5 and 0
How great is the project's impact on meeting the priorities and/or strategies of a regional or state development plan? Questions # 24 and 25.	Clearly explain connection, listed within a CEDS or other regional document and how it aligns with regional strategies	Secondary or tertiary connection is articulated, can draw connection to strategies outlined	Distant connection or vague relations to strategies	
Level of demonstrated positive impact the project may have on the following: per capita income, poverty, unemployment and outmigration or the region. Question # 21	Uses studies or other research that provides evidence of the projects impacts on 2 or more of these metrics	Draws reasonable connection of the likelihood of the project's impact on at least one or more of these metrics.	Draws vague connections between any of the metrics	Score between 5 and 0
Extent to which match funding needed to complete the project is realistic and available within a year of being awarded. Questions # 23 and 25	Match funding is committed to the project at time of application	Match funding has been clearly outlined and has been demonstrated that it will be available within a year following award	Match funding is poorly outlined or confusing, or has not been convincingly articulated that it will be available within a year following award	Score between 5 and 0
Is the project an 'infrastructure' project as outlined in the Application Materials. Questions #15 and 20	Yes		No	Score either 5 or 0
Potential for future private investment. Private investment defined as for profit business investing as a result of the project. Questions # 26 and 22.	The project demonstrates that private investment will take place as a result of the project.	The project shows potential for future private investment	No private investment will result from the project	Score between 5 and 0
The project will have continuing impacts such as employment opportunities, increased income or wages.	The project demonstrates that employment and/or income will increase	The project draws reasonable connections to opportunities for employment and/or income increases	The project doesn't demonstrate opportunities for increases	Score between 5 and 0
Potential # of points	10	5	0	
Extent to which the project impacts and/or meets the objectives outlined in the NBRC Strategic Plan. Question # 26	<u>Revitalize</u> and modernize essential infrastructure. <u>Increase</u> access, affordability, and use of high-speed telecommunications. <u>Stabilize</u> and reduce electric and thermal energy costs.	<u>Retain</u> , expand and diversify business enterprise. <u>Position</u> the region as an attractive and supportive place for creative and entrepreneurial people. <u>Support</u> and expand a highly productive workforce. <u>Foster</u> entrepreneurial leadership and capacity. <u>Inform</u> and align local, state, and regional economic development decision-making with regional data and perspectives.	Other	Score between 10 and 0
Extent to which the project will aid in meeting performance measures outlined in the NBRC Strategic Plan. Questions #21, 22, 23.	Able to articulate and draw connection between the project and one or more of the performance measures, based on feasibility studies specific to the project or documented professional opinion	General connection between the project and the performance measures outlined in the Strategic Plan.	No clear connection between performance measures and the project.	Score between 10 and 0

Northern Border Regional Commission - State Specific (50 points total)				
Maine (all range between 10-0 points)				
Maine's priority is to fund Economic Development or Public Infrastructure projects.				
Maine's priority is to fund Economic Development or Public Infrastructure	Is the project public infrastructure or economic development?			
Create, retain or attract jobs	Project clearly demonstrates commitment to job creation with evidence that jobs will be created or retained as a direct result of the investment.			
Public Infrastructure/Infrastructure in support of Economic Development	Project clearly identifies a need and demonstrates how the NBRC investment will impact the situation in the region.			
Education and Workforce training	Project reliably forecasts measurable results, applicant and partners demonstrate they have experience and capability to complete the project and clearly identify impact for community, region and state			
Project readiness/Budget/Commitment of matching funds/Sustainable project (matching funds will be committed within 12 months of award and/or assured of completion within 12-18 month timeframe)	Project can begin immediately, including matching funds committed within 12 months of award and/or assured completion within 12-18 month timeframe. Applicant clearly identifies evidence based on assumptions and forecasts the project is sustainable.			
New Hampshire				
	10 -7 points (yes/ high)	6-4 points (somewhat/ moderate)	3-0 points (no/ low)	Scores range from 10-0
Invests in infrastructure that provides long-term community and economic impacts				
Builds regional capacity to carry out community economic development strategies				
	5-4 points (yes/ high)	3-2 points (somewhat/ moderate)	1-0 points (no/ low)	Scores range from 5-0
Strengthens or expands New Hampshire's skilled workforce				
Supports and encourages entrepreneurship and innovation				
Leverages existing local and regional resources to promote economic growth				
Demonstrates organizational capacity to implement and sustain project is evident (managerial, financial etc.)				
Demonstrates an effective understanding and integration of local economic development partner initiatives and plans				
NBRC funding is a necessary part of the project's funding portfolio				
New York				
Regional significance and Long-Term Impact 10-0 points				
Factors considered in determining regional significance and long-term impact: Job creation and retention, Investment in downtowns, geographic distribution of funding projects, delivery of a critical service, uniqueness and innovation				
Specific Project Development Criteria (40 points; each worth up to 5 points) High: 5-4 points; Medium: 3-2 points; Low 1-0 points				
Project Need				
Project meets a critical opportunity for communities impacted				
Project Impact				
Project outputs and outcomes are clearly defined and reliable				
Cost benefit of the project measured against NBRC investment				
Implementation Capacity and Commitment				
Sponsor's commitment to the project, credentials and track record				
Project readiness, including requisite approvals				
Budget				
Detail and accuracy of the budget				
Work plan and Timeline				
Work plan is clear and feasible for timely project completion				
Vermont				

Section A: Degree to which the project aligns with and advances the 8 "Steps to Success" identified in Vermont's Comprehensive Economic Development Strategy (CEDS) (Up to 5 points each)		Link to Vermont CEDS: http://accd.vermont.gov/sites/accdnew/files/documents/DED/CEDS/CEDSExecutiveSummary.pdf		
Makes financing available	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Educates a great workforce	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Builds for the future (infrastructure)	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Helps businesses flourish	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Enhances the Vermont brand	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Preserves Vermont's working landscape	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Cultivates innovation	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Plans for resilience	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Section B: Broad State Priorities (Up to 5 points each)				
Is the project located within or does it directly benefit a state designated downtown or village center?	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Degree to which the project aligns with and advances the Governor's three guiding strategic priorities: strengthen Vermont's Economy; make Vermont more affordable; and protect the most vulnerable Vermonters	Yes/High: 5-4 points	Somewhat/Moderate: 3-2 points	No/Low: 1-0 points	
Section C: Financial Need (0 - 1 scale, where overall State score is multiplied by financial need score)				
Project would not happen without NBRC funding: 1	Project would happen over a significantly longer timeframe or would have to be significantly scaled back without NBRC funding .08-.09	Project would happen over a moderately longer timeframe or would have to be moderately scaled back without NBRC funding OR the project would still proceed as planned but the lack of funding would unsustainably stress the applicant's budget: .6-.7	The project timeline or implementation would experience slightly adverse impacts without an NBRC grant, but for the most part would proceed as planned; .5	This project will happen regardless of NBRC funding, and an NBRC grant will not change the implementation of this project: 0

SECTION II - LETTER OF NOTIFICATION

It is highly advised that all applicants submit a Letter of Notification to Apply by March 30, 2018, so that State Program Managers and Local Development Districts are aware of your project and can assist you better through the process.

*** A Letter of Notification is mandatory if your project is in the state of Maine.

Submit the following as one pdf to: admin@nbrc.gov

- From the 2018 Economic and Infrastructure Development Investment Program Application
 - A. General Information - all
 - B. Project Information - Sections 9-13
 - C. Project Financing - Section 33

NOTE: Information received as part of the Letter of Notification will not be used for your application. It must be resubmitted as part of the full application. All application materials will be required to be submitted as one package on the due date regardless if information that has been previously submitted as part of a Letter of Notification.

SECTION III - APPLICATION INSTRUCTIONS

If you need additional information or have questions please contact Christine Frost at admin@nbrc.gov, or (603) 369-3001.

Application deadline is 5pm on Friday, May 11, 2018

A. General Information

1. **NAME OF ENTITY APPLYING:** This section simply asks for the entities name, Data Universal Number System Number (DUNS) (if you do not have a DUNS # you may apply for one at <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>)
2. **CO-APPLICANT IF APPLICABLE:** Collaboration is highly encouraged. Please note that any co-applicant is equally responsible for following federal regulations and will be considered an 'applicant,' meaning that the entity must meet all the eligibility requirements and provide all contact information. An applicant may apply for more than one project within each state, however State prioritization may only award one application within that state. If a co-applicant is not listed in the application, funds may not be passed on to the entity without proper notice, bidding and procurement procedures that invite and honor fair and open competition for public dollars. Please upload a pdf with the following information for any co-applicant; Name, address, email and phone number as well as the type of organization (if non profit include IRS documentation), EIN (Employment Identification Number) and DUNS #s.
3. **AUTHORIZED OFFICIAL:** The person with authority to apply for and accept funding.
4. **PROJECT PRIMARY CONTACT:** Please provide the contact information of the person that will be responsible for the project after any award may be issued. This is not the contact information for a grant writer or consultant that may be assisting with this application but not involved in the project once funded.
5. **AMOUNT BEING REQUESTED:** The maximum NBRC grant award is \$500,000 for infrastructure projects and \$250,000 for all other projects. Your request should not exceed this amount. If this is a multi-state application, list what the amount is for each State that is being proposed as the project.
6. **PREVIOUS RECIPIENT:** Has the entity listed above received funds from NBRC in the past? This is important because 75% of the project must be completed prior to another award. Y/N
7. **WHAT LOCAL DEVELOPMENT DISTRICT IS THE ENTITY LOCATED IN:** Federal legislation states that the Northern Border Regional Commission, "Shall enhance the capacity of, and provide support for, local development districts (LDD) in its region." It outlines obligations that LDDs have once they are designated. 40 U. S. C. , §15505 (c). See <http://www.nbrc.gov/content/local-development-districts>. The NBRC created a map that will provide this information in a more convenient manner. See MAP at www.nbrc.gov/content/resources.

8. WAS THE APPLICANT REQUIRED TO SUBMIT A SINGLE AUDIT IN THE PAST 12 MONTHS? 2 CRF 200.501(a). Audits, commonly referred to as "Single Audits," require comprehensive testing of compliance and internal controls over compliance of federal programs. States, local governments, and not-for-profit entities are required to undergo a single audit only if they spend \$750,000 or more in federal awards in a fiscal year. Keep in mind, the threshold relates to expenses, not revenues. The only person that can answer this question for you is your auditing firm or internal CPA, NBRC cannot advise if you're required to complete this. Y/N

B. Project Information

9. **TIMELINE:** All project start dates will be October 1, 2018, unless authorization in writing is received to start earlier. Contact Christine Frost at (603) 369-3001 if your project will necessitate this. State the end date that you can expect your project to be completed by. The final date that all projects are required to be completed is September 31, 2021.
10. **STATE and CONGRESSIONAL DISTRICT:** A List the state(s) that the project is located in; B If unknown, a good resource for Congressional Districts is: https://en.wikipedia.org/wiki/List_of_United_States_congressional_districts
Maine ME-02: all Counties except Knox and parts of Kennebec
Maine ME-01: Knox County and parts of Kennebec
New Hampshire NH-02: all Coos, Grafton and Sullivan Counties with the exception of the Town of Campton
New Hampshire NH-01: all of Carroll County plus the Town of Campton
New York NY-21: Clinton, Franklin, St. Lawrence, Jefferson, Hamilton, Fulton, and parts of Herkimer counties
New York NY-22: Oneida, Madison and parts of Herkimer and Oswego
New York NY-24: Cayuga and parts of Oswego
New York NY-23: Seneca
Vermont VT-00: all counties
11. **WHAT COUNTY OR COUNTIES WILL THE PROJECT TAKE PLACE IN?** It is important to include all counties that the project will take place in. This is not the location of your office, it is the location of the project.
12. **ISOLATED AREAS OF DISTRESS:** There are no isolated areas of distress in 2018.
13. **PROJECT DESCRIPTION:** In 50 words or less, describe the project and what it will accomplish. In a concise manner explain both the outputs that will be completed and the intended results (outcome) that are anticipated by the investment. (e.g The Project will replace ~1.3 miles of 36" pipe with ~1.3 miles of 48" pipe along Broad Street (output) improving transmission to the Wastewater Treatment Plant in Cheshire City increasing capacity in order to allow future development and create jobs along Broad Street benefitting all of Beanbag County and extended area.(outcome))
14. **WHAT IS THE TYPE OF ACTIVITY THAT WILL BE IMPLEMENTED?** Y/N Note: It is important that you understand your responsibility for federal procurement procedures if you will be implementing a construction project or hiring consultants.
15. **WILL THE ACTIVITY RESULT IN INFRASTRUCTURE?** Y/N
16. **WILL THE PROJECT CREATE OR RETAIN JOBS?** Y/N
17. **WILL THE PROJECT IMPROVE WATER OR SEWER SERVICE?** Y/N

18.WILL THE PROJECT TRAIN INDIVIDUALS AS PART OF A WORKFORCE DEVELOPMENT PROGRAM? Y/N

19.PROJECT LOCATION: Upload a **pdf** of a map indicating the physical location of the project, and provide a narrative of the location of the project.

20.PROJECT FOCUS: Section I.7 of this Application Manual lists the Eligible Purposes of Northern Border Investments. Please identify one or more of the Eligible Purposes outlined and provide a narrative of how your project is consistent with the intended purposes of NBRC funding.

21.ECONOMIC IMPACT OF THE PROJECT: Provide justification that the outcomes anticipated by the NBRC investment will result in positive economic growth for the region, and cite the basis for the justification. Explain how the project may assist in any of the following:

- create and/or retain jobs
- raise per capita income
- lower poverty in the region
- lower regional unemployment
- lower regional outmigration rates

It is important for the reviewers to understand how you arrived at your understanding of economic impact. What economic studies or experts can you reference to justify economic impact.

22.OUTCOMES OF THE PROJECT: Outcome measurements (often referred to as Performance Measures) are documentable ways to assess the extent to which a program/project has achieved its intended outcomes. List between two and four Outcome Measures that can demonstrate the impact of your investment over time. Below are examples of potential outcomes. These are meant to provide ideas. They are not the only outcomes that may be appropriate for your application. What is important is that the outcomes you choose are not outputs (items such as linear feet of pipe installed), they are results (the changes). Note: Make sure these are reasonable and obtainable, as the success of your project will be gauged in the future on the measurements that you choose. Your outcome should be bulleted and not more than 5-10 words, i.e “The project will result in new businesses moving into the project area.”

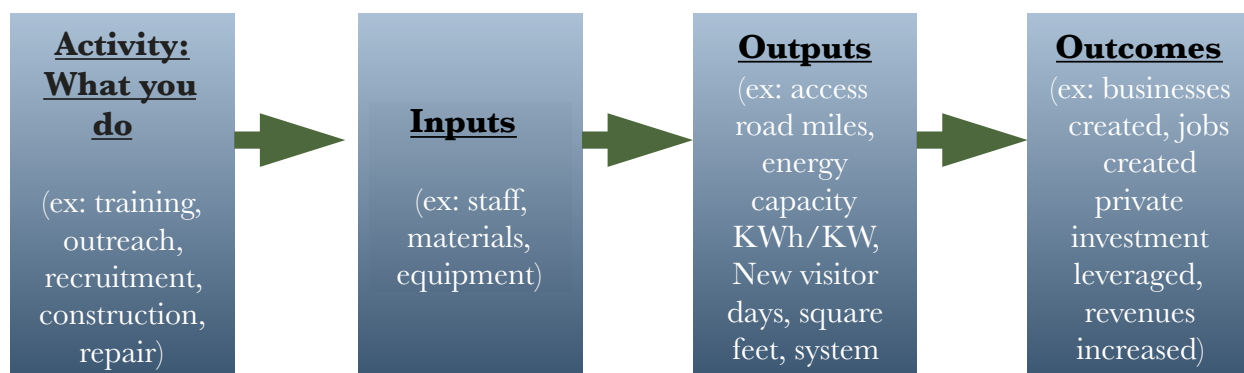
What are Outcomes and Outputs? How are they connected?

Outputs: Outputs are the activities or deliverables that will be accomplished as a result of an investment. Outputs are generally described as deliverables or milestones in a work plan or timeline, include things like the number of workers trained, square feet developed, or new day visitors to a facility. Outputs are generally accomplished during the life of the investment.

Outcomes: Outcomes are the measurable impacts or results of the work of the investment. Outcomes sometimes occur after the completion of the investment.

Every project must have at least 2 Outcome Performance Measures.

It is expected that estimated measures are included in project applications and will be reported within the project closeout reports. The following are examples that may be used for projects. You may have measures that better fit your project.



PROJECT TYPE	COMMON OUTPUTS	COMMON OUTCOMES
Education or workforce development project	Students served, workers/trainees served	Students improved, workers/trainees improved, programs implemented
Tourism facility, revitalization, or trail construction project	Communities served, linear feet of trail, average new visitor days	Businesses improved, communities improved, non-export (tourism) revenues
Water, sewer, or infrastructure construction project	Businesses served, MGD capacity, linear feet	Businesses improved, jobs created, jobs retained, private investment leveraged

Examples of Outcomes

Businesses Created: New businesses created as a result of an NBRC project. This is generally a secondary measure in business development projects such as entrepreneurship training, value-added agriculture, access to capital, or business accelerators/incubators. The grantee should estimate how many new businesses will be created within three years of the project end date.

Businesses Improved: The number of businesses with a measurable improvement as a result of an NBRC project. For each project this number is always the same as, or a subset of, the “businesses served” output measure.

Communities Improved: The number of communities with a measurable improvement as a result of an NBRC project, including projects that improve planning, civic participation, infrastructure, and educational opportunities. This measure should also be used for consolidated technical assistance grants. The “communities improved” number will generally be the same as, or a subset of, the “communities served” output measure.

Costs Reduced: Costs reduced as a result of project activities, within one year of project implementation. For example, small business technical assistance may help a business streamline and cut costs, or an energy-efficiency program may help to reduce energy costs, through a renegotiated flat fee for energy use or through a reduction in kilowatt hours used. See the output measure “energy capacity.”

Households Improved: The number of households with measurable improvement as a result of an NBRC project. For each project this number is generally the same as, or a subset of, the “households served” output measure.

Jobs Created: The projected number of jobs (direct hires, excluding construction jobs) that will result from an NBRC project, measured during the project period and up to three years after the project end date. Part-time and seasonal jobs should be converted to full-time equivalents and rounded up to whole numbers. Note: for infrastructure projects, employers should provide letters stating their intention to create a specific number of new jobs; for non-infrastructure jobs, applicants should estimate the number of jobs that will be created by the organizations expected to benefit from the project.

Jobs Retained: The number of jobs that would be lost or relocated without the NBRC project, measured during the project period and up to three years after the project end date. Note: for infrastructure projects, employers must provide letters explicitly stating the number of jobs at risk, due to loss of competitiveness or relocation, without the project. For non-infrastructure projects, applicants should estimate the number of existing jobs that would be at risk, due to loss of competitiveness or relocation, without the NBRC-funded project.

Leveraged Private Investment (LPI): The dollar amount of private-sector financial commitments, outside of project costs, that result from a project, measured during the project period and up to three years after the project end date. Note: for infrastructure projects, businesses should provide letters stating their intention to make a specific level of investment if the project is funded; for non-infrastructure jobs, applicants should

estimate the dollar value of investments that will be made by the company or companies that will benefit from the project.

Organizations Improved: The number of organizations with a measurable improvement as a result of an NBRC project. This number is generally the same as, or a subset of, the “organizations served” output measure. **Participants Improved:** The number of participants with a measurable improvement as a result of the project (use when patients, students, or worker/trainee measures do not apply). A plan and a method for measuring the degree of improvement must be provided. This number is generally the same as, or a subset of, the “participants served” output measure.

Programs Implemented: The number of new programs, or the number of ongoing activities related to a defined goal, that are implemented as a result of an NBRC project. If possible, use with other measures that indicate the results of the project, such as students, workers, participants, etc.

Revenues Increased: Export Sales: The increase in revenue in export sales that a business or businesses realize as a result of an NBRC project, within three years of the project end date.

Revenues Increased: Non-Export Sales: The increase in revenue in domestic (non-export) sales that a business or businesses realize as a result of an NBRC project, within three years of the project end date.

Students Improved: The number of students who obtain a job in the field for which they were specifically trained; the number that receive a diploma, certificate or other career credential; or the number of students who successfully complete a course or unit of study and/or graduate to the next grade or level necessary to continue their education. When outcomes occur after the project period, the number of students improved may be counted up to three years beyond the project end date. For programs where final outcomes are achieved after three or more years, the number of students improved may be counted by an alternative benchmark, such as the number of students completing a skill, grade, or level, or continued enrollment for the project period. This number is generally the same as, or a subset of, the “students served” output measure.

Telecom Sites: The number of new telecom services installed as a result of an NBRC project. This diverse measure includes, but is not limited to, new telemedicine sites, new Wi-fi hotspots, a new wireless router or computer lab, new fiber run to an industrial site, a new antenna used to provide broadband service, etc.

Workers/Trainees Improved: The number of workers/trainees with improved skills that enable them to obtain employment or to enhance their current employment. For example, the number of workers or trainees obtaining a new job; getting higher pay or a better position; or receiving a certification, measured during the project period when possible. When outcomes occur after the project period, the number of workers or trainees improved may be counted up to three years beyond the project end date. For programs where outcomes are achieved after three or more years, the number of students improved may be counted by an alternative benchmark, such as completion of a skill, level/course, or continued enrollment for the project period. This number is generally the same as, or a subset of, the “workers/trainees served” output measure.

Examples of some common Outputs

Access Road Miles: The length of the access roads constructed as part of the project, in miles or decimals of miles (not linear feet).

Acreage: The number of acres impacted by an NBRC site-development or reclamation project, such as the number of acres graded and prepared for development at an emerging industrial park, the number of acres open to future development, the number of acres permanently preserved for farmland, or other preservation efforts that improve the local economy, or the number of acres remediated in a reclamation project.

Businesses Served: The number of businesses served by an NBRC project, including entrepreneurship projects, business technical assistance, and infrastructure projects.

Communities Served: The number of communities served by an NBRC project, including projects that improve planning, civic participation, infrastructure, and educational opportunities. For consolidated technical assistance grants, the number of communities served is the number of projects submitted by state NBRC program offices.

Energy Capacity (KWh/KW): The number of kilowatt hours saved by energy efficiency projects, or kilowatts produced by renewable energy projects within one year of project implementation.

Housing Units Constructed/Rehabbed: The number of housing units constructed or rehabilitated as a part of an NBRC housing or community development project.

Linear Feet: The number of linear feet of pipe, wire, cable, trails, etc., to be constructed or installed.

New Visitors: Days: The number of new daytime visitors to a tourism destination times the number of days they visit, within one year of project implementation.

New Visitors: Overnights: The number of new overnight visitors to a tourism destination times the number of their overnight stays, within one year of project implementation.

Organizations Served: The number of organizations served by an NBRC project, including hospitals, schools, churches, non-profits, non-governmental organizations.

Patients Served: The number of unique patients receiving clinical services one or more times as a result of an NBRC health project. For equipment projects, report the number of patients served during the project period and one year after the equipment is deployed. For health projects that do not provide clinical services (such as health promotion activities), use the measure “participants served.”

Participants Served: The number of individual participants that can be served or are targeted by an NBRC project (use when patients, students, or worker/trainee measures do not apply). This can include the number of attendees at a meeting, workshop or conference. For example, the number of individuals participating in a planning process; or the number of individuals attending health promotion activities.

Plans/Reports: The number of plans or reports developed as a result of an NBRC project. This could include strategic plans, master plans, concept plans, or plans for infrastructure improvements or new programs, as well as research reports, feasibility studies, etc. This measure is often paired with the outcome “Programs Implemented,” since a program or specific activity is often implemented as a result of a planning process.

Square Feet: The number of square feet constructed or improved by an NBRC project, such as the square footage of a renovated community center, a newly constructed parking lot, a reconfigured interior space, etc.

Students Served: The number of students that an NBRC education project will be able to serve, measured during the project period, when possible (e.g., the number of students served by a science and technology program in a given semester or year). For projects that are not fully operational during the project period, the measurement time period may be extended up to three years after the project end date. Projects that expand existing programs count only the additional number of students served.

System Capacity (MGD/MG): The capacity of a water or sewer system, in millions of gallons per day; or the capacity of a water tank, in millions of gallons. This includes the capacity of a new water or sewage treatment plant or water tank, or the increase in capacity of a plant due to renovation, new equipment, or other improvements. This measure may be expressed in decimals.

Workers/Trainees Served: The number of worker/trainees that an NBRC training project will be able to serve, measured during the project period when possible. For example, the number of worker/trainees the project will be able to enroll in a new workforce education program. For projects that are not fully operational during the project period, the measurement time period may be extended up to three years after the project end date. Projects that expand existing programs count only the additional number of workers/trainees that the project will be able to serve.

23.WORK PLAN: Provide a Work Plan that lists tasks relating to any outputs that will be completed in order to achieve the Outcome Measures outlined in #22. Your work plan is what should be reported on when you submit a quarterly report. So, when you are writing this keep in mind how you’re going to report on what you’re writing. If you can’t, don’t include it. Be concise! **Do not** make this a long narrative. This should be a well thought out plan for implementing your project. Even when a project is technical assistance in nature there still should be deliverables that clearly demonstrate work completed as outlined. This work plan will be part of the Grant Agreement if awarded. So, it is important that tasks are thought through and vetted with partners and staff that will be involved in the project. The example below is a broad outline, but provides some idea for an outline to use. Some narrative of the tasks could be helpful, project timelines are required.

TASKS	PROJECT TIMELINE	COMMON OUTPUTS	COMMON OUTCOMES
1. RFP for Engineer 2. Development Contract for Engineer 3. Approve sewer installation plans 4. Bid process for construction 5. Hire construction firm 6. Mobilize for construction 7. Complete Construction	Provide associated timeline for each task	Businesses served, MGD capacity, linear feet	Businesses improved, jobs created, jobs retained, private investment leveraged

24.REGIONAL PLAN: In many regions there may be a number of documents from which to draw. What is important is that the project is consistent with regional strategies. A regional plan could be any number of documents; a Regional Plan, a Comprehensive Economic Development Strategy (CEDS), an Economic Planning document or any number of titles. What is important is that it has been developed through a broad public process, and it is supported by leaders in the region and municipal leaders are engaged in the process. NBRC does not determine which regional plan should be consulted. Rather, it is important that your project is part of a coordinated effort that helps efficient and impactful delivery of very limited public dollars. Therefore, your project should be consistent with a plan that is regional in nature and has been widely adopted by municipal governments and general public within your area. Consult your Local Development District, found at www.nbrc.gov.

25.STATE PLANNING: How does the project fit into a statewide economic development plan? There may not be a state planning document endorsed by your state for economic development. It is important that the project is consistent with state strategies. You may be able to reference a number of documents, but the most appropriate document should be one that is supported by leaders within the state and that the plan was created through a broad inclusive process. Consult the following Program Managers within your state if you have questions about how to reference a specific document.

Maine

Andrea K Smith

DECD – Office of Community Development, 59 State House Station, Augusta ME

04333-0059

Phone: (207) 624-9813

andrea.Smith@maine.gov

New Hampshire

Mollie Kaylor

New Hampshire Department of Business and Economic Affairs

(603) 271- 6305

mollie.Kaylor@livefree.nh.gov

New York

Kyle Wilber

New York Dept. of State, Division of Local Government Services

(518) 473-3355

kyle.wilber@dos.ny.gov

Vermont

Katie Corrigan

Vermont Agency of Commerce & Community Development

802-272-1420

katie.Corrigan@vermont.gov

26.STRATEGIC PLAN: The NBRC Strategic Plan can be found at www.nbrc.gov. Explain how this project will help advance the goals of the Strategic Plan and/or explain how the project could contribute to meeting the performance measures outlined.

The following six(6) questions are for entities requesting to use funds for a **Revolving Loan Fund**. Please put N/A if not applicable to your project.

27. **BRIEF ORGANIZATIONAL HISTORY:** Please provide a history of the organization's lending experience that demonstrates potential successful use of NBRC funds. Please include year in existence current loan portfolio.

28. **ADMINISTRATION:** Provide a brief explanation of how administration of the RLF will be funded.

29. **ORGANIZATIONAL PROCEDURES:** Provide a copy of the organization's procedure manual and/or explain how an established loan review committee will participate in decision-making pertaining to the NBRC RLF.

30. **STAFF RESUMES:** Provide staff resumes who will be responsible for the NBRC funds and a list of loans review committee members.

31. **USE OF FUNDS:** Describe the use of funds to include addressing known funding gaps, address target populations, potential and/or known recipients, and how funds will fill an identified demand.

32. **REVOLVING LOAN FUND POLICY DOCUMENT:** Include the organization's RLF policy document. If the document does not address the following provide this additional information.

- Service area for NBRC RLF
- Eligible loan purposes
- Fees, rates, terms, collateral requirements, limits, priorities
- Application process
- Method of disposition of funds to the borrower
- Monitoring of the borrower and reporting requirements and actions taken for delinquencies

C. Project Financing

33.PROJECT FINANCIAL OVERVIEW

TOTAL PROJECT COSTS (this is the total project costs including what you are requesting from Northern Border Regional Commission) example

NBRC REQUESTED AMOUNT: This number should match the number in A. 5.

MATCH (this is equal the TOTAL PROJECT COST minus NBRC REQUEST). It is also what should be identified in #35 below.

34.BUDGET: In question B. 15 if you checked that this is a construction project complete the Standard Form 424C. In question B. 15 if you checked that this is a non-construction project complete the Standard Form 424A. **Additionally, you must upload a document (please label it BUDGET NARRATIVE) that briefly outlines how you arrived at your budget, did you receive official engineers report etc.**

- **ADMINISTRATION:** For all projects, except State agencies; budget no more than 5% for the first \$100,000, and 1% for funds in excess of \$100,000 of the total amount of the NBRC requested amount. You will be required to use a Local Development District to administer your investment. Include this in your budget even if you don't currently have a relationship with a LDD. If the project is non-construction and you filled out an SF424A, include this amount in line 6.f. If the project is construction and you filled out an SF424C, include this amount in line 1.
- **(THIS DOES NOT APPLY TO PROJECTS IN THE STATE OF VERMONT - Projects located wholly in Vermont will be provided grant administration services through a pilot project of NBRC. Grant recipients will be notified about this upon award)**

35.IDENTIFY MATCH: For detail of match (cost sharing) requirements and what qualifies as match see Section I. 12 thru 17 of this Application Manual. List all funding sources, their status (has the funding been approved and/or committed, pending — and what is the notification date?), and what is the type of match (cash, loan, grant, in-kind, etc.). Include as attachments to this application any letters of commitment, approval , etc.

If awarded, recipients will have until September 30, 2019, to demonstrate that match is committed and receive a Notice to Proceed. A Notice to Proceed will not be issued until all other funds needed to complete the project are committed. **No funds will be reimbursed for any work completed prior to receiving a Notice to Proceed.**

36.WILL THERE BE ANY CAPITAL INVESTMENTS MADE BY PRIVATE COMPANIES? If yes, attach participation agreements or letters of commitment.

37.SUSTAINABILITY: How will the investment be sustained over time? (e.g., A water infrastructure project has been completed with NBRC funding in the Town of Somewhere. The Town of Somewhere has included future maintenance and service of the facility in their budget, and has an established Capital Improvement Program to ensure that maintenance and issues will be covered.) A project is not deemed sustainable if it depends on future grants to meet its intended purpose.

38.PROPERTY: Will property or equipment be purchased with NBRC or matching funds? (If so an appraisal will be required prior to any land transaction taking place, signed off on by an MAI (Member Appraisal Institute) Appraiser or a Certified General Appraiser.) Property must not be in possession of

the applicant prior to a Notice to Proceed. It cannot be counted as match for a project unless title transfers after a Notice to Proceed has been issued.

39. OWNERSHIP: Who is the owner of the property at the time of application? Who will own any property or improvements resulting from the investment? When public dollars are used to purchase any title to property or equipment, it must remain in control of the applicant; control of the property or equipment may not be transferred to another entity. Control can take the form of fee title, easement, or lease. Please provide the procedure, or instruments that will be put in place to maintain control by the award recipient.

40. FINANCIAL NEED: Describe efforts to fund this project with other sources. List other sources that have been applied for and what the status is of those funds. What local efforts have been made to fund the project? Please outline why NBRC funds are needed and how the project may or may not move forward without NBRC funds. (e.g. the project will take longer because additional fund raising will need to happen, the project would need to be staged, the project would not move forward, etc.)

D. Authorization

The NBRC requires a resolution by the applicant's legal authority providing authorization to the executive to make and sign this application to Northern Border Regional Commission. The resolution should also indicate the executive's permission to sign any and all NBRC investment documents that bind the applicant. Examples of legal authorities include: select boards and councils for municipalities; commissions for counties; state authorized officials or boards for states; boards of directors or trustees for non profits.

By signing this application, authorizing official acknowledges and affirms the following statements:

- The applicant is not legally organized as a for-profit entity, LLC, Sole Proprietorship, Individual or any other entity excluded from receiving federal grants or awards;
- The applicant has no outstanding federal debts, liens or encumbrances;
- The applicant is in good standing with its single audit requirements, if applicable;
- Any conflicts of interest have been disclosed in writing prior to the submission of this application;
- No application preparation or consultant fees shall be paid from NBRC awarded funds;
- Submission of this application does not constitute a contract or guaranteed funding from NBRC;
- **Excluding Vermont** - Local Development Districts (LDDs), serving as project administrators shall be entitled to fees amounting to 5% of the first \$100,000 and 1% thereafter, of the total NBRC awarded amount, unless the applicant is a state entity;
- No expenses are eligible for reimbursement prior to the execution of the Notice to Proceed;
- That a Notice to Proceed will not be issued until match funding has been secured and documented;
- The project must be located within the NBRC service area and be a direct benefit to the area;
- All applicable state laws pertaining to contracting, procurement, and bidding process include 2 C.F.R 200 shall be adhered to;
- The project does not relocate businesses from one region to another;
- You have the legal authority to sign any and all NBRC Investment documents, to submit this application for funding and accept funds for the purposes outlined in this application;
- To the applicant's knowledge, the statements and information contained in this application are true and correct.

E. Other Necessary Documentation to be Attached with the Application

- STANDARD FORM 424 APPLICATION FOR FEDERAL ASSISTANCE
- BUDGET - FOR NON CONSTRUCTION PROJECT (SF 424A & SF 424B) FOR CONSTRUCTION PROJECTS (SF 424C & SF 424D) AND A BUDGET NARRATIVE DESCRIBING HOW YOU ARRIVED AT YOUR NUMBERS
- DISCLOSURE OF LOBBYING ACTIVITIES
- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS
- NEPA DOCUMENTATION AS OUTLINED IN ADDENDUM II
- CERTIFICATE OF GOOD STANDING (NON-PROFIT ORGANIZATIONS)
- IRS DETERMINATION LETTER (NON-PROFIT ORGANIZATIONS)
- IF CO-APPLICANT; CONTACT INFORMATION, DUNS, EIN AND ANY INFORMATION NECESSARY FOR NON-PROFITS

SECTION IV - SUBMISSION INFORMATION AND INVESTMENT CONDITIONS

1. WHAT APPLICATION MATERIALS TO SUBMIT

Completed Applications will consist of the following

Submission of the online application with all fields filled out and all applicable attachments.

Incomplete applications will not be accepted for review

2. TIMELINE OF INVESTMENT PROGRAM

Application deadline is 5pm on May 11, 2018

02/15/18 EID Investment Program Announcement, and application available on www.nbrc.gov
03/30/18 Letters of Notification
05/11/18 ALL applications due
07/12/18 States complete scoring of applications.
07/26/18 Last day for Previously Awarded Recipients to complete 75% of previous projects.
07/27/18 States' Alternates and Federal Co-Chair meet to approve applications.
08/03/18 Notification of Awards by Congressional Delegation and/or Governor's Office.
08/31/18 Awardees must return signed award and materials to NBRC.
09/01/18-10/30/18 Mandatory Grant Recipient Workshops/Webinar
09/30/19 Last day to provide evidence of committed match.
09/30/21 All FY18 Grant projects should be completed.

3. WHERE TO SUBMIT APPLICATIONS

All applications are to be submitted by 5:00 pm Friday May 11, 2018, using the online Application Database only. No paper submissions will be accepted.

4. AWARD CONDITIONS

The NBRC reserves the right to withdraw awards for projects that do not demonstrate evidence of committed and eligible matching funds by September 30, 2019.

The investment period (time that the project shall be completed) shall be October 1, 2018, to September 30, 2021, unless a waiver has been granted to begin the project prior to October 1, 2018. In the event the project may take longer to complete, the recipient shall submit in writing the reason and request an extension from the NBRC

NBRC may require the recipient to file a Notice of Federal Interest with the registry of deeds when real property is purchased.

Not applicable for Vermont applications: In order to compensate the Local Development Districts (LDD) for the administrative work they perform, project administrative fees will be paid from the awarded funds. The formula for determining project administration fees is 5 percent of the first \$100,000

and 1 percent of all dollars in excess of \$100,000. By example, a \$200,000 award would include \$6,000 in LDD project administration fees, thereby making \$194,000 available for the purpose of the award.

NBRC shall be held harmless. Recipients shall carry out programs as independent contractors and not as agents of the NBRC. Recipients assume sole and complete responsibility for the conduct of the program in such a manner as to assure the safety and welfare of all persons participating in or in any way involved in, or affected by, any activity conducted. The NBRC, by its provision of funds for this project, undertakes no responsibility in this regard. Recipients shall indemnify and save harmless the NBRC, its agents, officers and employees, from and against any and all claims, demands, suits, judgements, settlements, etc., for sums of money or on account of personal injuries, property damage, or loss of life or property covered by an Agreement.

ADDENDUM I- REVOLVING LOAN FUND PROGRAM

1. Definitions

- 1.1. "RLF" is an acronym for Revolving Loan Fund
- 1.2. "NBRC Service Area" includes the following counties:
 - 1.2.1. In New York: Cayuga, Clinton, Essex, Franklin, Fulton, Hamilton, Herkimer, Jefferson, Lewis, Madison, Oneida, Oswego, Seneca, and St. Lawrence counties
 - 1.2.2. In Vermont: Caledonia, Essex, Franklin, Grand Isle, Lamoille, and Orleans County
 - 1.2.3. In New Hampshire: Carroll, Coos, Grafton, and Sullivan counties
 - 1.2.4. In Maine: Androscoggin, Aroostook, Franklin, Hancock, Kennebec, Knox, Oxford, Penobscot, Piscataquis, Somerset, Waldo, and Washington counties.
- 1.3. Indian tribe—The term "Indian tribe" has the meaning given the term in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 45 (b)).
- 1.4. Nonprofit organization—The term "nonprofit organization" means any organization described in section 501(c) of the Internal Revenue Code of 1986 and exempt from taxation under 501(a) of that Code that has been formed for the purpose of economic development.

2. Overview

A revolving loan fund is a pool of money used by an eligible applicant for the purpose of making loans to create and/or save jobs. As loans are repaid by the borrowers, the money is returned to the RLF to make other loans. In that manner, the RLF fund becomes an ongoing or "revolving" financial tool. The major difference between the Northern Border Regional Commission's RLF program and conventional lending is the lending goal. For conventional lending institutions, the goal is profit. For an NBRC RLF, the goal is saving and creating private-sector jobs. Revolving loan funds are not substitutes for conventional lending sources. Given the small size of the RLF program and the limited resources of each project, revolving loan funds are not intended to match or replace the capacity of banks or other lending organizations. RLFs are designed to fill gaps in existing local financial markets and to provide or attract capital which otherwise would not be available for economic development. As part of the grant agreement, NBRC requires that RLF projects be administered in accordance with a revolving loan fund plan developed by the grant applicant and approved by the NBRC. An applicant's RLF plan defines specific objectives and operating procedures, including standards and selection criteria for loans in the portfolio. NBRC does not normally review or approve individual loans made by the RLF. Instead, NBRC monitors RLF project activities for conformance with the NBRC's statute (40 USC, Subtitle V), these guidelines, the RLF plan, and other conditions of the grant agreement.

3. Objectives and Strategies

One of the major problems in local business development, and a significant contributing factor to local economic distress, is credit availability. Even when credit may be available, the cost and terms of the credit may prevent firms from expanding, continuing operations, or starting up. The result may be a community's loss of jobs, tax revenues, and private investment. The primary objective of the NBRC RLF program is saving and creating private-sector jobs. Projects are expected to support specific types of economic activities planned or underway in the area. These may include, depending on local needs and conditions, one or more of the following:

- 3.1. Small business development, including the start-up or expansion of locally owned businesses as measured by job creation;
- 3.2. Existing business and saving jobs;
- 3.3. Redevelopment of blighted land and vacant facilities for productive use;
- 3.4. Modernization and rehabilitation of existing industrial or manufacturing facilities; and/or
- 3.5. Support for the use of new technologies, growth industries, high-tech firms.
- 3.6. The effectiveness of a revolving loan fund project as a development tool will depend on its lending policies and financing techniques. These may include, but are not limited to:
- 3.7. Modifications in repayment terms, such as deferral of initial principal or interest payments;

- 3.8. Taking greater risks than banks are traditionally prepared to take, when substantial economic development benefits will result if the borrower does succeed;
 - 3.9. Providing below market interest rates;
 - 3.10. Short turn-around time in processing applications; and/or
 - 3.11. Reducing the risk of commercial lenders by providing subordinate financing.
4. RLF Grantees
- 4.1. Eligible Applicants
 - 4.1.1. Eligible applicants for NBRC RLF grant assistance include:
 - 4.1.1.1. States or any branch or agency of such State government having authority to act on behalf of that State government,
 - 4.1.1.2. Local Development Districts,
 - 4.1.1.3. Federally recognized Indian Tribes, and
 - 4.1.1.4. Regional non-profit organizations. Non-government applicants must be sponsored by either 1) the local development district that has its own RLF, 2) the state government having jurisdiction over the project area, or 3) any branch or agency of such State government having authority to act on behalf of that State government. The sponsor must be willing to assume responsibility for operating the RLF when and if the non-government applicant is no longer able or willing to administer the project.
 - 4.1.2. Applicants must have robust staff capacity in any of the following areas of expertise: finance, law, credit analysis, loan packaging, loan processing and servicing. Applicants must have sufficient resources to cover the administrative costs of RLF operations.
 - 4.1.3. Applicants must have a strong and established loan review committees.
 - 4.1.4. As lending organizations, RLF grantees must recognize their obligations to federal and state law including but not limited to the Equal Credit Opportunity Act (ECOA), 15 U.S.C. 1691-1691f, as implemented by Federal Reserve Board Regulation B and the Internal Revenue Code requirements for lender cancellation of debt (Form 1099C, Cancellation of Debt).
 - 4.2. Application Requirements:
 - 4.2.1. A general application form provided by the NBRC.
 - 4.2.2. A written work plan that demonstrates the need and capacity for a NBRC RLF grant. A work plan should include:
 - 4.2.2.1. A complete listing of all staff and loan review committee members responsible for administering the RLF along with a statement of their qualifications and experience.
 - 4.2.2.2. Demonstrate a need for loan funds. As a minimum, applicants should identify a sufficient number of proposed and known ultimate recipients it has on hand to justify NBRC funding of its RLF grant request, or include well developed targeting criteria for borrowers consistent with the applicant's mission.
 - 4.2.2.3. Include a list of proposed fees and other charges it will assess borrowers.
 - 4.2.2.4. Include the applicant's plan for loaning the grant funds. The plan, which may be in the form of an existing RLF policy, must be of sufficient detail to provide the NBRC with a complete understanding of what the applicant will accomplish by lending the funds and the complete mechanics of how the funds will get from the applicant to the borrower. The service area, eligibility criteria, loan purposes, fees, rates, terms, collateral requirements, limits, priorities, application process, method of disposition of the funds to the borrower, monitoring of the borrower's accomplishments, reporting requirements by the borrowers, and the actions that an applicant plans to take to deal with a delinquency are some of the items that should be addressed by the applicant's RLF plan;
 - 4.2.2.5. Provide a set of goals, strategies, and anticipated outcomes for the applicant's program.

- 4.2.3. NBRC RLF grantees must adhere to NBRC RLF Loan Program policies recorded in this publication. Grantees must affirm that they understand and do agree to operate RLFs in accordance with the NBRC RLF policies contained in these guidelines. NBRC relies on the affirmation of each grantee's chief executive officer, on this plan, as a basis for releasing loan funds to the grantee.
- 4.2.4. Grantees may request changes to their RLF operating plan that improve RLF administration and/or enhance the ability of the grantee to meet the original objectives of the RLF project. All revisions to a grantee's RLF operating plan must be approved by NBRC, in advance.
- 4.3. NBRC RLF grantees must adhere to NBRC RLF Loan Program policies recorded in this publication. Grantees must affirm that they understand and do agree to operate RLFs in accordance with the NBRC RLF policies contained in these guidelines. NBRC relies on the affirmation of each grantee's chief executive officer, on this plan, as a basis for releasing loan funds to the grantee.

5. Borrowers and Loans

5.1. Eligible Borrowers

- 5.1.1. Private, for-profit firms that do business within the NBRC Service Area are the primary eligible target market for RLF loans. Firms must include majority US citizens or legal resident ownership. The borrower may be located outside the Service Area, but the activity financed and its benefits must be within the NBRC's Service Area.
- 5.1.2. The borrowing firm or any of its owners cannot have a delinquent debt to the federal government.
- 5.1.3. Private, for-profit developers, whose development projects create jobs within the Region. The eligibility conditions for lending to private, for-profit firms apply equally to developers. Developers must hold binding commitments for development occupancy from private business tenants.
- 5.1.4. A borrower is eligible for RLF financing only when credit is not otherwise available on terms and conditions that would permit accomplishment of the borrower's project. RLF participation in a project must not displace local commercial lenders. The grantee is responsible for determining that a borrower meets this requirement and for maintaining documentation in the loan file describing, in each case, the basis for the determination. A borrower eligibility determination must be supported by either:
 - 5.1.4.1. A loan commitment letter from the commercial lender participating in the project.
 - 5.1.4.2. A commercial lender letter declining participation.
 - 5.1.4.3. A memorandum documenting discussions with commercial lenders about the limits of their participation in a borrower's project.

5.2. Eligible Loans

RLF grants may be used for debt financing through direct loans for:

- 5.2.1. Machinery, equipment and other fixed asset acquisition including transportation/delivery and installation costs;
- 5.2.2. New construction, alteration, modification, repair and renovation of existing facilities, demolition and site preparation;
- 5.2.3. Land acquisition that is an integral part of a project where the dominant funding requirement is for building acquisition or construction;
- 5.2.4. Working capital, which can include but is not limited to loans for the interest obligation of interim construction loans, not to exceed a term of three years, and for reasonable fees of loan packaging, environmental data collection, consultants and fees of licensed professionals (engineers, architects, lawyers, accountants and appraisers); and
- 5.2.5. Refinancing existing debt only when the Grantee can document that the project is viable and necessary and that jobs will be lost or not created.

5.3. Loan Projects Not Eligible for NBRC Funds

- 5.3.1. Grantees may not make loans to themselves or to a subsidiary. (Subsidiaries are organizations under common control through common officers, directors, members, or employees.)
 - 5.3.2. Loans only for land acquisition are not permitted.
 - 5.3.3. Loans which assist the relocation of businesses are prohibited under 40 USC §15501(f).
 - 5.3.4. Loans to any nonprofit.
 - 5.3.5. Loans to acquire an equity position for the RLF in private businesses.
 - 5.3.6. Loans to subsidize interest payments on existing loans with the exception of interim construction financing.
 - 5.3.7. Loans that provide the mandatory equity contribution required of borrowers for other federal loan programs.
 - 5.3.8. Loans that refinance existing debt solely for the purpose of reducing the risk to existing lenders.
 - 5.3.9. Loans that establish revolving lines of credit for borrowers.
 - 5.4. Loans that create a potential conflict-of-interest or the appearance of one for any officer or employee of a grantee, any current member of a grantee's loan review committee, administrative board or staff that reviews, approves or otherwise participates in decisions on RLF loans, and people related to them by blood, marriage, or law are prohibited. Former members of the board, former members of the staff and former members of the loan review committee are barred from receiving NBRC RLF loan assistance for one year from the date of termination of their service. Loan activities that directly benefit these individuals or people related to them by blood, marriage, or law is prohibited for a period of one year from the date of termination of service of such related person.
 - 5.5. All borrower loan activities and economic benefits resulting from loan activities must be located within the NBRC Service Area. NBRC RLF loan assistance must be withdrawn if for any reason the activity financed or the economic benefit is moved from the NBRC Service Area.
 - 5.6. A Grantee's operating plan must articulate that the maximum percentage of costs of any loan project that may be financed from Federal sources, including NBRC originated RLF funds, is 80%.
6. NBRC RLF Lending Policies
- 6.1. General
 - 6.1.1. The responsibility for approving loans and setting terms and conditions consistent with these guidelines resides fully with the Grantee.
 - 6.1.2. Grantees may make loans and guarantees to eligible borrowers at interest rates and under conditions determined by the grantee to be most appropriate in achieving the goals of the RLF.
 - 6.1.3. Financing should be designed to assist firms with special credit problems, and therefore may involve greater risks and more lenient terms than commercial lenders may provide. To encourage the participation of commercial lenders in a loan project, the RLF loan may be for a longer period than that of other project lenders or may involve a period of interest-only payments by the borrower.
 - 6.1.4. A formal written loan application is required for each potential borrower. As a minimum the application should include: General information identifying the borrower, management and business history, the project description, a schedule of proposed financing, number of employees, and proposed job impact of the project.
 - 6.1.5. Grantees must offer loan assistance by formal commitment letter which shall include a clear identification of the collateral and other loan terms offered, the conditions of the loan and other loan documentation required. A borrower must sign an acceptance of the loan commitment offered.
 - 6.1.6. A loan agreement between the grantee and borrower is required.
 - 6.2. Collateral

When determining collateral requirements, the grantee must consider the merits and potential economic benefits of each request. When appropriate and practical, RLF financing may be secured by liens or assignments of rights in assets as follows:

- 6.2.1. When the purpose of a loan is for working capital a Grantee will normally obtain collateral such as liens on inventories, accounts receivable, fixed assets and/or other available assets of the borrower. Such liens shall be properly recorded as prescribed by applicable state and local Uniform Commercial Code laws. The lien position of the RLF may be subordinate and made inferior to lien(s) securing other loans made in this project.
- 6.2.2. In addition to these types of security, grantees may also require security in the form of the assignment of patents and licenses, the acquisition of hazard, liability and other forms of insurance including flood insurance as appropriate, performance bonds and such other additional security as a grantee determines is necessary to mitigate the RLF's exposure. The RLF must be shown as a lender loss payee by endorsement on insurance.
- 6.2.3. RLF loans to closely held corporations, partnerships, or proprietorships dependent for their continuing success on certain individuals ordinarily will be required to provide, and assign to the RLF, life insurance on these key persons.
- 6.2.4. Personal guarantees from a borrower's principal owners (partnerships and proprietorships) and their spouses, to the extent permitted by law (see the Equal Credit Opportunity Act), making them jointly and severally liable for the loan, should be required. In case of a corporate borrower, in addition to the pledging of corporate assets, members of the Board of Directors holding 20 percent or more of the corporation's outstanding common stock or 20 percent or more of the corporation's voting stock and their spouses (if jointly held), should guarantee loans.
- 6.2.5. Should a grantee determine that it is necessary or desirable to take actions to protect or further the interests of the RLF, the grantee should act to sell, collect, liquidate or otherwise recover on loans or guarantees extended by the RLF in accordance with the legal rights of the grantee, other lenders and the RLF borrower?
- 6.2.6. A Grantee may modify the terms under which RLF financing has been extended to enhance the ability of the RLF to achieve program objectives.

7. RLF Administration

7.1. Grant Funds

- 7.1.1. RLF grant principal may be used only to fund loans. It is the grantee's responsibility to provide for the administrative costs of staffing and operating the RLF. These costs may not be charged against grant principal unless specifically authorized in the grant.
- 7.1.2. All repayments of RLF grant principal must be returned to the RLF for subsequent lending. Proceeds from the sale, collection or liquidation of loan collateral must also be returned to the RLF for lending. The reasonable costs of collection or action to recover a loan are treated as administrative expenses. Any proceeds from the sales of collateral assets above the original unpaid amount of the loan are treated as program income.
- 7.1.3. Selling NBRC RLF loans on a secondary market is not permitted.

7.2. Program Income

- 7.2.1. Program income is the income received by the grantee earned as a result of lending authorized by the grant agreement. Program income typically includes but is not limited to the following, however described by the grantee.
 - 7.2.1.1. Loan interest.
 - 7.2.1.2. Fees for processing loan applications.
 - 7.2.1.3. Loan closing fees.
 - 7.2.1.4. Periodic fees for servicing loans.
 - 7.2.1.5. Penalties and interest caused by the borrower's late payment.
 - 7.2.1.6. Proceeds from the sale of collateral in excess of the unpaid balance of the original loan.
 - 7.2.1.7. Interest earned on loan repayment balances while awaiting re-lending.

- 7.2.2. Program income will be added to the loan fund to expand RLF lending or used to cover reasonable and necessary administrative costs of the RLF.
- 7.2.3. Grantees must keep complete records (e.g., time cards, logs, invoices, vouchers) to document those administrative costs. Administrative costs include direct costs that are specifically identifiable to an RLF cost and indirect costs which are incurred for common objectives.

7.3. Funds Management

- 7.3.1. Grantees may request advance payments only at the time and in the amount immediately needed to close loans.
- 7.3.2. All grant payments (drawdown) made by NBRC to grantees are advance payments and are made on the basis of a Grantee invoice as well as supporting documents such as either a letter of commitment to the borrower or a proposal to extend credit approved by the grantee's loan review committee. All payments are made by automated clearing house (ACH) procedures. Grantees are provided with an ACH enrollment form with their initial grant contract.
- 7.3.3. Grant advances should not be requested earlier than 30 days prior to the anticipated loan closing date. Should the forecast loan closing date be delayed by more than 60 days beyond the forecasted date, Grantee should be prepared to return the advance to the NBRC?
- 7.3.4. Grantees must place funds advanced from NBRC or returned to the RLF from lending activities in accounts pending the closing of new loans. Interest earning accounts may be federally insured deposits or short term certificates of deposit that are covered by deposit insurance.

7.4. Excess Un-loaned Funds

If RLF grantees are not using NBRC grant funds for lending activities, grants may be revoked and grant funds recovered, as follows:

- 7.4.1. If an RLF grantee does not require an initial advance payment from an RLF grant (either capitalization or recapitalization) within 12 months following the date of a Notice to Proceed document, NBRC may revoke its approval of such RLF grant.
- 7.4.2. If an RLF grantee does not require the full amount of a previously approved RLF grant (either capitalization or recapitalization) within 36 months of grant notice to proceed the unused grant balance may be de-obligated by NBRC.
- 7.4.3. Nothing in this section shall, in itself, cause a grantee to be automatically ineligible for additional RLF grant recapitalizations.

8. Reporting

- 8.1. Quarterly Progress Reports: Using the Performance Progress Report (SF-PPR), each Recipient is required to provide quarterly progress reports beginning October 1, 2018. Quarterly reports will be required until all NBRC funds are disbursed by the grantee for loans. Reports are due as follows:

Reporting Period: October 1 - December 31 - Report Due by January 31

Reporting Period: January 1 - March 30 - Report Due by April 30

Reporting Period: April 1 - June 30 - Report Due by July 31

Reporting Period: July 1 - September 30 - Report Due by October 30

- 8.2. Annual Financial, Loan Portfolio, and Audit Reports: Following full disbursement of funds to the grantee, reports for RLF activities for any Federal fiscal year (October 1 through September 30) will be due on October 30. Reports will extend beyond project closeout until all resulting principal from loans has been paid in full back to the grantee or seven years after a Notice to Proceed has been issued, whichever is sooner.

9. Project Monitoring

- 9.1. NBRC monitors RLF grant performance through required reports submitted by the grantee, audit findings, grantee site visits and other necessary contact with the grantee.
- 9.2. Grantees are responsible for operating NBRC funded RLF's in accordance with the terms of the NBRC's statutory provisions (40 USC, Subtitle V), NBRC RLF Guidelines, the grant agreement and the grantee's RLF operating plan. RLF grants are held by the grantee as trustee for the benefit of borrowers and potential borrowers. Grantees may be required to repay NBRC the amount of NBRC RLF funds used in violation of the code, these guidelines, the grant agreement or the grantee's operating plan.
- 9.3. A grantee's failure to comply with these guidelines or the terms of the grant, including reporting requirements, may be cause for terminating the grant. When grants are terminated for cause, NBRC has the right to recover grant funds and/or the assets of the RLF project, in accordance with the legal rights of the grantee and the Commission.

ADDENDUM II-NATIONAL ENVIRONMENTAL POLICY ACT

42 U.S.C. Sec 1500.1(e) States that all Federal agencies shall to the fullest extent possible shall use the National Environmental Policy Act (NEPA) process to identify and assess the reasonable alternatives to proposed actions that will avoid or minimize adverse effects of these actions upon the quality of the human environment. Applicants must attached one of the following documents to their application.

NEPA EXEMPT Addendum II (a)

or

NEPA CATEGORICAL EXLUCSION Addendum (b)

NEPA EXEMPT Addendum II (a)

The following activities are EXEMPT from 24 CFR 58.34, the legislation governing NEPA review. Check any and all that are applicable to your project.

- ☐ Environmental and other studies, resource identification and development of plans and strategies;
- ☐ Information and financial services;
- ☐ Administrative and management activities;
- ☐ Public services that will not have a physical impact or result in any physical changes, including but not limited to services concerned with employment, crime prevention, child care, health, drug abuse, education, counseling, energy conservation and welfare or recreational needs;
- ☐ Inspections and testing of properties for hazards or defects;
- ☐ Purchase of insurance;
- ☐ Purchase of tools;
- ☐ Engineering or design costs;
- ☐ Technical assistance and training;
- ☐ Assistance for temporary or permanent improvements that do not alter environmental conditions and are limited to protection, repair, or restoration activities necessary only to control or arrest the effects from disasters or imminent threats to public safety including those resulting from physical deterioration;

Does your project consists solely of the elements checked above? Yes ☐ No ☐

If you check no, you will be required to fill out the Categorical Exclusion worksheet instead of this EXEMPT worksheet.

I do certify that the above information is true to the best of my knowledge as of the date of application.

Name_____

Title _____

Organization _____

Applicant Signature_____ Date_____

NEPA CATEX Addendum II (b) (three pages)

Interim Determination of Categorical Exclusion for Northern Border Regional Commission

Project Names(s):	
Other potential Federal funding for this project (NBRC will coordinate with other federal organizations whenever necessary to assure compliance with NEPA regulations):	
<hr/>	
<hr/>	
<hr/>	
Check off any and all that apply	The project falls into the category below.
	1. Acquisition, repair, improvement, reconstruction, or rehabilitation of public facilities and improvements (other than buildings) when the facilities and improvements are already in place and will be retained in the same use without change in size or capacity for more than 20 percent. Examples: <ul style="list-style-type: none"> ▪ Replacement of water or sewer lines ▪ Reconstruction of curbs and sidewalks ▪ Repaving of streets
	2. Special projects directed toward the removal of material and architectural barriers that restrict the mobility of and accessibility to the elderly and handicapped persons.
	3. Rehabilitation of buildings and improvements under the following conditions: <ul style="list-style-type: none"> i. In the case of a building for residential use (with one to four units), the density is not increased beyond four units and the land use is not changed. ii. In the case of multifamily residential buildings: <ul style="list-style-type: none"> A. Unit density is not changed more than 20% B. The project does not involve changes in land use from residential to non-residential; and C. The estimated cost of rehabilitation is less than 75% of the total estimated cost of replacement after rehabilitation. iii. In the case of non-residential structures, including commercial, industrial, and public buildings: <ul style="list-style-type: none"> A. The facilities and improvements are in place and will not be changed in size or capacity by more than 20 percent; and B. The activity does not involve a change in land use, such as from non-residential to residential, commercial to industrial, or from one industrial use to another.
	4. Studies and Research <ul style="list-style-type: none"> i. Engineering studies and investigations that do not permanently change the environment. ii. Research and analysis. iii. Administrative related activities.
	5. Acquisition (including leasing) or disposition of an existing structure or acquisition (including leasing) of vacant land provided that the structure or land acquired or disposed of will be retained for the same use;

The entirety of the project is made up of one or more of the above categories: Y____ or N____

The determination of the category listed above is supported by the following information (explain how you determined that the project satisfied the condition of the category you checked above and document as appropriate)

Compliance Checklist for the “Other Requirements” in 24 CFR 58.6 ENVIRONMENTAL CHECKLIST FOR CATEGORICAL EXCLUSIONS

1. Description of project:

2. Project Resources

For the below listed land uses or environmental resources, the undersigned has checked Column A to indicate those that are present within the site(s) of the proposed action. Column B has been checked for those that are within the action's area of environmental impact, such as the areas adjacent to the proposed site(s). Column C has been checked for those land uses and environmental resources that will be affected by the proposed action, as defined in Section 1940.317. (Check appropriate box or circle, as provided. If a check appears in any circle in column A, B, or C, the environmental assessment for a Class I action must be completed).	Located on proposed site	Located within Actions' Area of Environmental Impact	Affected by Proposed Action
a. Wetlands	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
b. Floodplains with existing structure(s)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
c. Floodplains without existing structure(s)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
d. Wilderness (designated or proposed under the Wilderness Act)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
e. Wild or Scenic River (proposed or designated under the Wild and Scenic Rivers Act)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
f. Historical, Archeological Sites (listed on the National Register of Historic Places or which may be eligible for listing)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
g. Critical Habitat or Endangered/Threatened Species (listed or proposed)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
h. Coastal Barrier included in Coastal Barrier Resources System	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
i. Natural Landmark (listed on National Registry of Natural Landmarks)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
j. Important Farmlands	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

For the below listed land uses or environmental resources, the undersigned has checked Column A to indicate those that are present within the site(s) of the proposed action. Column B has been checked for those that are within the action's area of environmental impact, such as the areas adjacent to the proposed site(s). Column C has been checked for those land uses and environmental resources that will be affected by the proposed action, as defined in Section 1940.317. (Check appropriate box or circle, as provided. If a check appears in any circle in column A, B, or C, the environmental assessment for a Class I action must be completed).	Located on proposed site	Located within Actions' Area of Environmental Impact	Affected by Proposed Action
k. Prime Forest Lands	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
l. Prime Rangeland	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
m. Approved Coastal Zone Management Area	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
n. Sole Source Aquifer Recharge Area (designated by Environmental Protection Agency)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
o. State Water Quality Standard			Yes <input type="checkbox"/> No <input type="checkbox"/>

FINDING

This proposal meets, Section 1940.317. As indicated in item 2 above, the proposal does not affect any important land uses or environmental resources that would subject it to disqualification as a categorical exclusion. Additionally, the proposal is neither a phase nor segment of a project which when viewed in its entirety would not meet the requirements of a categorical exclusion per Section 1940.317 (d).

Name _____
 Title _____
 Organization _____

Applicant Signature _____ Date _____

* In terms of its size and components, the criteria for a categorical exclusion as defined in Sections 1940.310.

FINDING

The proposed project does not fall within the EXEMPT (Addendum II. a) or Categorical Exclusion as outlined above. Further environmental review may be required if funded through NBRC. The applicant acknowledges that additional information will be required in order to meet NEPA requirements and has the capacity to follow through with additional environmental review.

Name _____
 Title _____
 Organization _____

Applicant Signature _____ Date _____