

NBRC – Catalyst Program
2023 Application Submission Checklist
Submission Deadline: 5:00 pm on Friday, June 2, 2023
[NBRC Application Portal](#)

Congratulations on your invitation to apply for a 2023 Catalyst Grant – and thank you for the work you are doing to strengthen your community! This checklist can be used to assist you in the preparation of your application. More detailed information on each of the required components of your application can be found in the [2023 Catalyst Application Manual](#). Page numbers are included below to assist you with finding this detailed information.

Reminder: Information you submitted as part of your Letter of Interest will not be carried forward to your application, however, you may find that there are some components of your LOI, such as your project narrative and budget information, that can be revised and updated for use in your application submission. Following this checklist will assist in making sure your application is complete and received in the required format.

Applications must be submitted through the [Application Portal](#) which will become live on **May 15th**.

The Components of your application.

- 1. Questions you will answer in the Application Portal (covered in General Information & Project Financing below)**
- 2. Documents you will upload to the Application Portal (covered in Required Support Documents below)**

Preparing your application.

Please start by obtaining the following items. You will include these with your application submission:

- Applicant (and Co-Applicant) entity's EIN number** (pg. 27)
- Applicant (and Co-Applicant) entity's Unique Entity ID (UEI) number** (pg. 28)
- Authorized Official Resolution** (pg. 37)

I. General Information

- 1. NAME OF ENTITY APPLYING.** This is the name of the organization that is applying, not the name of a person, engineering firm, consulting firm, etc. (pg. 28)
- 2. PRIMARY CONTACT.** Please provide the contact information of the person that will be responsible for the project after any award may be issued. **The Primary Contact must set up an account within the application portal and upload all required application support documents. NOTE:** If you have an existing account and are changing roles from/to AO or PC, you will need to request that change through NBRC admin@nbrc.gov (pg. 28)
- 3. NAME OF CO-APPLICANT (IF APPLICABLE).** Please provide co-applicant's name and type of entity, address, contact information (phone and e-mail of the co-applicant contact individual), non-profit verification, EIN# and UEI#. (pg. 28)
- 4. AUTHORIZED OFFICIAL.** The person with authority to apply for and accept funding. The Authorized Official cannot be the same person and e-mail as the Primary Contact. **Your application will not be considered complete until it has been signed by the authorized official and uploaded to the NBRC application portal. NOTE:** If you have an existing account and are changing roles from/to AO or PC, you will need to request that change through NBRC admin@nbrc.gov (pg. 28-29)

- 5. STATE AND CONGRESSIONAL DISTRICT.** Use the location where your project activities will occur – not the location of your organization. (pg. 29)
- 6. AMOUNT BEING REQUESTED. Refer to your invitation to apply to confirm which category below applies to your project and the eligible maximum request (pg. 29):**
 - Non-infrastructure project - maximum grant award of \$500,000
 - Infrastructure project – maximum grant award of \$1,000,000
 - Infrastructure projects that address multiple priorities and/or multiple jurisdictions – maximum grant award of \$3,000,000
- 7. PREVIOUSLY RECEIVED FUNDS.** Please indicate whether your organization has received funding from NBRC in the past.
- 8. LOCAL DEVELOPMENT DISTRICT.** You are required to utilize a [Local Development District](#) (LDD) for grant administration assistance unless you (the applicant entity) are an agency of State government or you have requested and received an LDD waiver approval from NBRC prior to the submission of the CATALYST PROGRAM application. (pg. 30)
- 9. SUBMISSION OF A SINGLE AUDIT IN THE PAST 12 MONTHS.** If Yes, you are not required to attach the audit to the application, however if funded, you may be contacted by NBRC for more information. (pg. 30)

II. Project Information

- 10. TIMELINE.** All project start dates will be October 1, 2023, and must be completed by no later than September 30, 2026. (pg. 30)
- 11. COUNTY LOCATION.** List the county or counties where the project will occur. This is not the location of your office; it is the location(s) where your project will take place. (pg. 30)
- 12. ISOLATED AREAS OF DISTRESS.** If your project is located in an Attainment County and has been identified as located in an Isolated Area of Distress, please select YES. This should have been determined through the LOI process. (pg. 30)
- 13. PROJECT DESCRIPTION.** In 1,000 characters or less, please describe (pg. 30):
 - The project and what it will accomplish;
 - The outputs that will be completed (sewer & water projects – see 17 below);
 - The intended results (outcome) that are anticipated by the investment;
 - The project need and the opportunities gained if this project is funded.
- 14. TYPE OF ACTIVITY TO BE IMPLEMENTED.** Construction or Non-construction. This information will determine which correlating budget forms you will need to provide in the Project Financing section of this checklist. (pg. 6, 31)
- 15. WILL THE PROJECT ACTIVITY RESULT IN INFRASTRUCTURE.** (pg. 31)
- 16. WILL THE PROJECT CREATE OR RETAIN JOBS.** If yes, the number of jobs to be created and/or retained must be reflected in the **Economic Impact of the Project** criterion (see 21 below). Please include the basis for your projections. (pg. 31)
- 17. WILL THE PROJECT IMPROVE WATER OR SEWER SERVICE.** If yes, information on capacity, linear feet of pipe, etc. must be reflected within your **Project Description** (see 13 above). (pg. 31)
- 18. WILL THE PROJECT TRAIN INDIVIDUALS AS PART OF A WORKFORCE DEVELOPMENT PROGRAM.** If yes, the number of individuals who will be trained must be reflected in the **Economic Impact of the Project** criterion (see 21 below). Please include the basis for your projections. (pg. 31)
- 19. PROJECT LOCATION.** (pg. 31)

- Upload a pdf of a map indicating the physical location of the project and if the physical location is within a FEMA Flood Hazard Zone.
- Also, provide a brief narrative of the location of the project (including a physical address and/or GPS coordinates). Technical assistance projects must also provide a map of the region to be served. (50-character limit)

20. PROJECT FOCUS. Select one or more of the Eligible Purposes (pgs. 6-8 in the Manual) and provide a narrative of how your project is consistent with the NBRC Agency Investment Priorities. (2,500-character limit) (pg. 31)

21. ECONOMIC IMPACT OF THE PROJECT. Describe the economic impact of your project and include 2-4 items from this list to measure the anticipated economic impact as a result of the NBRC investment:

- Create and/or retain jobs
- Raise per capita income
- Lower poverty in the region
- Lower regional unemployment
- Lower regional outmigration rates

Explain how your project will accomplish these objectives and cite the basis for your justification. Describe the scale of economic impacts for the community, county or region and the opportunities gained if the project is funded. What economic studies or experts can you reference to justify economic impact? Reviewers will need to understand how you arrived at your understanding of economic impact. (2,500-character limit) (pg. 32)

22. OUTCOMES OF THE PROJECT. Select 2-4 items from the drop-down list which identify the anticipated measurable and obtainable outcomes of the proposed project. If applicable outcomes are not listed, please select “Other” and provide a measurable outcome that can be assessed **at time of project close-out** and again **3 years after the project is completed** to determine the success of your project. (pg. 32, Appendix F)

23. WORK PLAN. Provide a Work Plan that lists tasks relating to any outputs that will be completed to achieve the Outcome Measures. The Work Plan should be included in the document upload section of the application. **PLEASE SEE THE EXAMPLE PROVIDED ON PG. 33 OF THE [PROGRAM MANUAL](#)**

Your workplan must:

- Be consistent with your budget (SF424cbw).
- Include National Environmental Policy Act (NEPA) requirements as a milestone in the Work Plan. NEPA requirements must be completed before implementation or the irretrievable commitment of funds for the proposed project.
- Provide a work plan narrative that demonstrates how far along the project is in the project planning, design, engineering and state and local permitting processes.

24. REGIONAL PLAN. The project should be consistent with regional strategies, such as a Comprehensive Economic Development Strategy (CEDS), developed through a broad public process, and supported by leaders in the region. Also, identify any regional partnerships developed to support this project. If you are unaware of a planning document within your region, contact your [Local Development District](#). (500-character limit) (pg. 34)

25. STATE PLANNING. The project should be consistent with a statewide economic development plan (where available) and [state strategies](#). You may also consult the NBRC State Program Manager within your state if you have questions about how to reference a specific document and to discuss the project’s alignment with state funding priorities. (500-character limit) (pgs. 19-24, 34, 42)

26. STRATEGIC PLAN. Please review the [NBRC Strategic Plan](#) and explain how this project will help advance the goals of the Plan and/or explain how the project could contribute to meeting the performance measures outlined. (500-character limit):

Questions 27-32 are only for entities requesting to use funds for a Revolving Loan Fund (RLF). Select “No” if not applicable to your project and move on to the next session. If you select “Yes” additional questions will

populate as referenced below. For additional information on Revolving Loan Funds, please see pg. 34-36 and Appendix H of the manual.

- 27. BRIEF ORGANIZATIONAL HISTORY.** Please provide a history of the organization’s lending experience that demonstrates potential successful use of NBRC funds. Please include the year in which your current loan portfolio originated.
- 28. ADMINISTRATION.** Provide a brief explanation of how administration of how 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 of those who will be responsible for the NBRC funds, and a list of loan review committee members to include their relevant qualifications.
- 31. USE OF FUNDS.** Describe the use of funds to include addressing known funding gaps, 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, please provide the information with your application.
 - 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

III. Project Financing

- 33. PROJECT FINANCIAL OVERVIEW.** (pg. 35)
 - **TOTAL PROJECT COSTS:** Total project cost should include all costs associated with this project including the amount to be requested from the Northern Border Regional Commission. This number should be consistent throughout the application, and all supporting documents required to be submitted with the application.
 - **NBRC REQUESTED AMOUNT:** This is the amount you are requesting from NBRC. This number should be consistent throughout the application, and all supporting documents required to be submitted with the application.
 - **MATCH/COST SHARE:** This amount is the TOTAL PROJECT COST minus NBRC REQUEST.
- 34. BUDGET (SF424cbw), BUDGET NARRATIVE and SF424A– Budget for Non-Construction and SF424B – Assurances for Non-Construction OR SF424C – Budget for Construction and SF424D – Assurances for Construction.** (pg. 35 and Budget forms can be found on [NBRC website](#))
- 35. IDENTIFY MATCH/COST SHARE.** List all funding sources, type of cost share (cash, loan, grant, in-kind, etc.) status (approved, pending, committed) and the corresponding notification date of when the funds were approved or committed, or an anticipated notification date for pending funds. Funds that have previously been committed or expended should not be listed as they cannot be counted as match or cost share for this project. (pg. 35)
- 36. CAPITAL INVESTMENTS MADE BY PRIVATE COMPANIES.** If this applies to your project, attach participation agreements or letters of commitment. Provide information to demonstrate and measure what types of investments the project will stimulate, such as infrastructure improvements, jobs created, jobs retained, etc. (pg. 36)
- 37. ADMINISTRATION.** Applicants are required to utilize an LDD for grant administration assistance unless they are an agency of State government or have requested and received an LDD waiver approval. **If an LDD**

waiver is being requested, the request must be submitted to NBRC’s Program Director Andrea Smith at asmith@nbrc.gov and received no later than 5:00 p.m. EST, May 5, 2023. (pg. 36 and Appendix E)

38. SUSTAINABILITY. How will the investment be sustained over time? A project is not deemed sustainable if it depends on future grants to meet its intended purpose.

39. PROPERTY. Will property or equipment be purchased with NBRC or matching funds? For projects that include the acquisition of land or utilizing the value of land as match to the NBRC award, NBRC requires an appraisal signed off by an MAI member (Member Appraisal Institute) or a Certified General Appraiser. NBRC retains a residual financial interest in grant acquired real property and personal property/equipment. (pg. 37 and NBRC [Grant Administration and Compliance Manual](#). For more information on federal regulations related to the purchase of property, see 2 CFR 200.311. For regulations regarding the purchase of equipment see 2 CFR 200.313.)

40. OWNERSHIP. When public dollars are used to purchase title to property or equipment, it must remain in control of an eligible NBRC entity. Describe who is the owner of the property at the time of application and who will own any property or improvements resulting from the investment. 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. (1,500-character limit) (pg. 37)

41. FINANCIAL NEED. Describe efforts to complete this project with other funding sources, why NBRC funds are needed and how the project may or may not move forward without NBRC funds. Applicants who believe they can demonstrate their project qualifies for “no match” consideration due to the effects of COVID-19, must submit the COVID-19 Match Waiver and Affidavit. (1,500-character limit) (pg. 37 and Appendix B)

IV. REQUIRED SUPPORT DOCUMENTS

Forms can be found here: <https://www.nbrc.gov/content/administration>

Document uploads should be limited to the required list of documents below, and letters of support.

NBRC NEPA Intake Form. (Utilizing NBRC’s template) If additional NEPA documentation is being provided, the NEPA intake form and supporting documentation should be combined and submitted as one PDF. This information should be **labeled NEPA Intake**

STANDARD FORM 424 APPLICATION FOR FEDERAL ASSISTANCE. (The Catalog of Federal Domestic Assistance (CDFA) # is 90.601). This document should be **labeled SF424 Application for Federal Assistance**

BUDGET - SF 424cbw. The document should be **labeled Budget SF424cbw**

BUDGET NARRATIVE. The budget narrative should be aligned with the project description and outline how you arrived at your budget, assumptions, and cost estimates. The budget narrative should include a cost-justification for each expense over \$5,000 included in your SF424cbw budget form. This document should be **labeled Budget Narrative**

If your project is in support of **Non-infrastructure, and does not include construction**, in addition to the SF424, SF424cbw and the Budget Narrative, please also submit:

SF424A– Budget for Non-Construction. This document should be **labeled SF424A Budget for Non-Construction**

AND

SF424B – Assurances for Non-Construction. This document should be **labeled SF424B Assurances for Non-Construction**

OR

If your project is in support of **Infrastructure and includes construction**, in addition to the SF424, SF424cbw, and the Budget Narrative please also submit:

SF424C – Budget for Construction. This document should be **labeled SF424C Budget for Construction**

AND

SF424D – Assurances for Construction. This document should be **labeled SF424D Assurances for Construction**

ORGANIZATIONAL CAPACITY. This document should provide detailed information on your organization’s capacity and/or partnerships to ensure timely completion, administration, collaboration, and ability to meet program requirements. A template for this document can be found on the NBRC website, under the [Application Support Document](#) section. This document should be **labeled Organizational Capacity.**

DISCLOSURE OF LOBBYING ACTIVITIES (must be completed even if your entity will not be undertaking any lobbying activities). This document should be **labeled SLLL Disclosure of Lobbying Activities**

NBRC FORM 1001. DEBARMENT, SUSPENSION CERTIFICATE. This document should be **labeled NBRC Form 1001 Debarment**

AFFIDAVIT FOR COVID-MATCH WAIVER REQUEST (If Applicable) This document should be **labeled COVID Match Waiver Affidavit**

LDD WAIVER APPROVAL (If Applicable and approved) This document should be **labeled LDD Waiver Approval**

SIGNIFICANT BENEFIT WAIVER APPROVAL (If Applicable and approved) This document should be **labeled Significant Benefit Waiver Approval**

75% EXPENDITURE WAIVER APPROVAL (If Applicable and approved) This document should be **labeled 75% Expenditure Waiver Approval.**

CURRENT CERTIFICATE OF GOOD STANDING (NON-PROFIT ORGANIZATIONS). This document should be labeled **Certificate of Good Standing.**

IRS DETERMINATION LETTER (NON-PROFIT ORGANIZATIONS). This document should be **labeled IRS Determination Letter.**

INDIRECT COST RATE DOCUMENTATION (If Applicable) Current letter from cognizant agency with the approved indirect cost rate. This document should be labeled **Indirect Cost Rate.**

REVOLVING LOAN FUND DOCUMENTATION (If Applicable) This document should be **labeled RLF.**

RESOLUTION BY THE APPLICANT’S LEGAL AUTHORITY PROVIDING AUTHORIZATION TO THE PERSON AUTHORIZED TO SIGN THE APPLICATION TO THE NORTHERN BORDER REGIONAL COMMISSION. The resolution must reflect the name and title of the authorized official and should indicate the executive’s permission to sign 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 nonprofits. This document should be labeled **Authorized Official Resolution.**