

Guidelines for Preparing a

Pre-Application

for
Appalachian Regional Commission
and
Governor's Office of Appalachia

APPALACHIA OHIO ENERGY GRANTS

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General Information

INTRODUCTION

This guidelines booklet has been designed to help you complete a pre-application for Appalachia Ohio Energy Grants. Please read through the entire booklet before beginning to fill out the project proposal form and/or include any attachments.

As a part of every pre-application, applicants must complete the ARC Project Proposal (an instruction template of this form can be found as EXHIBIT 1 of this booklet) and include as attachments all of the necessary documentation required. Further explanation of these essential elements will be discussed later in this booklet.

ABOUT THE ENERGY GRANT PROGRAM

In 2006, the Appalachian Regional Commission released *Energizing Appalachia: A Regional Blueprint for Economic and Energy Development*, to provide a strategic framework for the promotion of new energy-related job opportunities throughout the Appalachian Region. Approved by the governors of the 13 Appalachian states and the ARC federal co-chair, the blueprint was developed in response to the changing energy supply, policy, and use environment.

In developing the blueprint, the Commission created an energy advisory council made up of one energy expert from each of the 13 Appalachian states, local development district representatives, and two federal representatives. Members of this group used their expertise, ideas, and experience, as well as the information gathered by ARC, to develop regional energy strategies and identify opportunities for ARC and its member states to address the changing energy market environment.

The Commission has identified three basic strategic objectives for the Region:

1. Promote energy efficiency in Appalachia to enhance the Region's economic competitiveness.
2. Increase the use of renewable energy resources to produce alternative transportation fuels, electricity, and heat.
3. Support the development of conventional energy resources, especially advanced clean coal, in Appalachia to produce alternative transportation fuels, electricity, and heat.

The Appalachian Region is well positioned to take advantage of all the economic development opportunities in today's changing energy landscape. The Region possesses a diverse set of energy resources that hold the potential to generate additional businesses and jobs.

ARC Federal Co-Chair Anne B. Pope stated that "the blueprint shows the way to maximizing the development of Appalachia's abundant natural energy resources. It draws on the input of over 100 industry experts, educators, government officials,

and entrepreneurs in assessing the Appalachian Region's broad energy picture. Appalachia is one of the nation's richest areas in energy assets, and we believe it can become a leader in new energy development." (Visit www.arc.gov/energy for a copy of the Blueprint.)

FUNDING AVAILABLE AND PROJECT ELIGIBILITY

Grants of up to \$40,000 will be provided to assist communities who are interested in pursuing energy related activities that meet at least one (1) of the three (3) strategic objectives of the Energizing Appalachia Blueprint that has been adopted by the Appalachian Regional Commission: Projects that meet the following objectives are strongly encouraged:

- 1) Promote energy efficiency
- 2) Increase the use of renewable resources
- 3) Support for conventional sources of energy (i.e. Clean Coal).

All applicants must be a unit of government or a not for profit organization.

Pre-applications for Strategic Planning projects may be submitted but will be reviewed by the local development districts and the Governor's Office of Appalachia to determine eligibility.

RETURN ON INVESTMENT

Projects considered for ARC Energy funding must meet one of abovementioned objectives, **and** demonstrate the return on investment through tangible outcomes and measures.

Measurable Return on Investment (MROI) involves measuring tangible benefits against the overall outlay of ARC funding for the lifetime of the project. The resulting MROI will be a number depicting the return on the capital invested (Example: \$40,000 in ARC funding matched local and other funding sources and provided job skills training for 100 individuals resulting in employment of 75 individuals – 75 jobs created). Output and Outcome measurements are included in the pre-application template found on page 6 and as Exhibit 1.

The Commission also encourages applicants to provide evidence of Leveraged Private Investment (LPI). **LPI are non-project, private expenditures that come as a result of the ARC funded activity.** Private expenditures that are part of the original project funding (i.e. private project matching funds) should not be listed as LPI. The pre-application template also contains a section to include LPI (see page 6 or Exhibit 1).

Job Creation and Retention

Projects focused on energy-related activities that create and/or retain private sector jobs will receive priority for funding consideration. Job creation and/or retention is one of the stated goals in the strategic plan for the Governor's Office of Appalachia, therefore the GOA, ARC and the entire selection committee will be closely vetting project descriptions to determine if job creation and/or retention is emphasized during the pre-application process. Job creation and/or retention and meeting one of the three stated goals of the Appalachian Energy Blueprint will be important measurements that applicants should take into consideration when developing an energy-related project.

MATCH REQUIREMENTS

In general, the Commission expects a recipient of an ARC grant to contribute its own resources to a project to the extent it is able to do so and to seek additional non-ARC funding assistance in a diligent manner. The matching requirements for this program are: 50/50 match for all transitional and at-risk ARC designated counties and 80/20 for ARC designated distressed counties. Competitive counties can only receive up to 30% ARC funding.

ENERGY GRANT PRE-APPLICATION PROCESS

Perspective Energy Project grantees should request a pre-application from their Local Development District . If your project is determined to be eligible, applicants will then be invited to submit a full application which will be submitted to the review committee. The review committee will consist of the following representatives: One (1) representative from each Local Development District, The Governor's Office of Appalachia, a representative from the Ohio Department of Development and a representative from the Appalachian Regional Commission.

SUBMITTAL AND DEADLINE

Pre-applications must be submitted to your Local Development District no later than **4pm on Friday, March 21, 2008.**

- Pre-application forms available January 11., 2008
- Pre-applications due to your Local Development District (LDD) March 21, 2008
- Full applications will be requested on April 11, 2008
- Full applications will be due back to the Local Development District (LDD) May 2, 2008
- Review and awards made approximately July 2008

Addresses for delivery of pre-applications are:

Buckeye Hills-Hocking Valley Regional Development District

ATTN: Melissa Zoller
P.O. Box 520
Reno, OH 45773

Ohio Mid-Eastern Governments Association

ATTN: Dana Kandaras
P.O. Box 130
Cambridge, OH 43725

Ohio Valley Regional Development Commission

ATTN: Michele Throckmorton
9329 SR 200 East, Suite A
Waverly, OH 45690-9012

ASSISTANCE FOR APPLICANTS

Local Development District staff are more than willing to provide assistance to applicants. You may contact one of the LDD staff at the address given on this page, or by telephone, fax or email listed below:

<p>Buckeye Hills-Hocking Valley Regional Development District</p> <p>Melissa Zoller 740.374.9436 F: 740.374.8038 mzoller@buckeyehills.org</p>	<p>Ohio Mid-Eastern Governments Association</p> <p>Michelle Throckmorton 740.947.2853 F: 740.947.3468 mthrockmorton@ovrdc.org</p>	<p>Ohio Valley Regional Development Commission</p> <p>Dana Kandaras 740.439.4471 F: 740.439.7783 danaK@omegadistrict.org</p>
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Assembling the Pre-Application

The Local Development Districts encourage all applicants to assemble their pre-application in a typewritten, legible format. Please arrange the pre-application materials as follows:

Front of Pre-Application	Completed ARC Project Proposal
ATTACHMENT A	Itemized Price List of Equipment and/or Administrative/Scope of Services Budget for Operations/Planning Projects
ATTACHMENT B	Map of service area
ATTACHMENT C	Memorandum of Understanding

All applicants must complete the ARC Project Proposal and attachments in order to be considered for Energy Grant funding.

Two copies of the pre-application must be submitted to the Local Development District. However, the staff encourages applicants to make and retain a photocopy of their entire pre-application before submitting it in case revisions are requested.

Completing the Pre-Application

Most instructions for completing pre-applications thus far have been brief and generalized. This section provides detailed guidelines for preparing ARC Energy Grant pre-applications.

STEP 1. ARC PROJECT PROPOSAL

As stated earlier, each pre-application submitted must include a completed ARC Project Proposal. Following is an instructional template of the ARC Project Proposal. Please type the headings and the information required on your own computer, save a copy for your records, and submit the original and all required attachments to the correct Local Development District by March 7, 2008 (*see page 4 of these guidelines for submittal instructions and page 5 for a list of specific attachments required*).

Completed Proposals should be approximately two (2) to three (3) pages in length, and must be placed at the very front of the document submitted to your Local Development District (*see page 4 for addresses for submission of completed pre-applications*).

2008 ARC ENERGY GRANT TEMPLATE

- Project Title:** Under this heading, simply state the name of the project.
- Project Grantee:** State the name of the applicant subdivision, authoritative body, or agency to receive the grant funds from the ARC.
- Address:** Provide the complete address of the Project Grantee.
- Contact Person(s):** List the person(s) which is most knowledgeable about the project (e.g., chief executive officer of the subdivision, engineer, superintendent, grants writer) **and** provide a title, address, e-mail address, and telephone number for each.
- Project Location & Service Area:** Identify the geographic area(s) which will benefit from the project's completion [e.g., applicable subdivision(s), county(ies)]. **Supply the County name(s) sponsoring the application, each county in the service area, and their designations (i.e. transitional, distressed, etc.).** If a multi-county application, please list all so that appropriate funding determinations may be made. (*attach Map of project location and service area as Attachment D*)
- Goal/Strategy:** Identify which of the following ARC Energy-related strategic objectives the project will address:
- ◆ Promote energy efficiency in Appalachia to enhance the Region's economic competitiveness.
 - ◆ Increase the use of renewable energy resources to produce alternative transportation fuels, electricity, and heat.
 - ◆ Support the development of clean conventional energy resources, especially advanced clean coal, in Appalachia to produce alternative transportation fuels, electricity, and heat.

Project Purpose: 1 – 2 sentence maximum

The purpose statement should include the primary need for the project (e.g., make possible a major expansion, improve health and safety conditions of an area, improve region’s workforce).

BUDGET: Identify each source of funding involved in the project (e.g. ARC, Federal, State, Local, Private), and state the dollar amount requested from each as well as the percent of the total project cost each funding source represents. Also list the Program and/or Funding Agency supplying the funds [e.g., ARC Distressed, ARC Area Development, Loan, Community Development Block Grant (CDBG), Ohio Public Works Commission (OPWC), Federal Emergency Management Agency (FEMA), Ohio Emergency Management Agency (OEMA)]

Under the column available funding, please state whether funds are Committed, Applied for and Date, or anticipated date for filing application for funding

Please remember to attach all Commitment letters to your application as Exhibit C.

Applicants should note that the total of all federal funds committed to a project, including ARC, cannot exceed 80% of the total project cost.

SAMPLE BUDGET:

Source	Amount*	% of Total	Program/Funding Agency	Availability of Funds
ARC	\$40,000	50%	Energy Grant/ARC	This application Applied Committed
State	20,000	25%	Energy Loan Fund/ODOD	
Local	20,000	25%	Applicant	
TOTAL	<u>\$80,000</u>	<u>100%</u>		

**ALWAYS ROUND DOLLAR AMOUNTS TO THE NEAREST DOLLAR*

Description: Maximum 3-4 paragraphs

The description should summarize and justify the project, include verbiage regarding how the project will improve existing conditions, include major activities to be conducted under the grant proposal, and address who, what, where, when, and how for each major activity.

Rationale: 1 short paragraph maximum

- Problems and/or issues that project will alleviate
- Local, regional and/or state need for the project.
- Critical circumstances that compel the project to be funded by ARC.

Benefits: 1 short paragraph maximum

- Results and accomplishments to be derived from project.
- Other non-quantifiable, non-tangible benefits (e.g. partnerships, improved standards of living, etc.)

**Measurable Return
on Investment:**

OUTPUTS: Output measures are indicators that count the goods and services produced by an individual or agency. (i.e. # of items purchased, # of contracts entered into, # of participants in program)

OUTCOMES: Outcome measures are indicators that measure the actual impact of the public benefit of the actions of an individual or agency. (i.e. # of jobs created/retained, # of households/businesses with improved energy efficiency, # of persons trained, etc.)

Leveraged Private Investment: The amount of 'other' non-project investment that can be attributed to the project

STEP 2. REQUIRED ATTACHMENTS

As mentioned earlier, all pre-applications require certain attachments be submitted with the pre-application in order for staff to review and rate the pre-applications. Below are instructions for completing the required attachments.

ATTACHMENT A – Project Costs

Itemized Price List of Equipment – Applicants who are applying for ARC funds for the purchase of energy-related equipment must include in Attachment A an itemized price list of that equipment.

The itemized price list should include, where practical, the quantity of each piece of equipment to be purchased, a description of the equipment, a unit price of each piece of equipment and a total price for the equipment.

The total project cost identified at the bottom of the itemized price list of equipment must match the total project cost that the applicant identifies in the Budget section of their ARC Project Proposal.

Administrative/Scope of Services Budget for Operations/Planning Projects –

Applicants applying for ARC funds for the operation of a program or project must include an administrative/scope of services budget in Attachment A. The administrative budget should outline the items for which the grant monies will be spent (personnel, fringe, travel, supplies, equipment, postage, printing, telephone, fax, etc.) and the dollar amount budgeted for each of these items. The total budget amount for the project identified at the bottom of the administrative budget must match the total project cost that the applicant identifies in the Budget section of their ARC Project Proposal.

It is possible for applicants to apply to ARC for both equipment and program operations monies within the same grant request. In this case, both an itemized price list of equipment and an administrative/scope of services budget for the project should be submitted by the applicant.

ATTACHMENT B

Map of Project Location and Service Area – All applicants must submit a detailed map of the project location and service area.

ATTACHMENT C

ARC Memorandum of Understanding – All applicants must submit a signed copy of the Memorandum of Understanding in order to be considered for ARC funding. The Memorandum of Understanding explains the ARC application process and general guidelines of project start-up and funding levels. For questions regarding the Memorandum of Understanding, please contact a member of your Local Development District at the numbers listed on page 4.

EXHIBIT 1

PRE-APPLICATION TEMPLATE

NOTE: *This is an instructional template only. Please use this as a guide to prepare your application. Insert information relevant to your project beside the headings in bold.*

2008 ARC ENERGY GRANT TEMPLATE

- Project Title:** Under this heading, simply state the name of the project.
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- Address:** Provide the complete address of the Project Grantee.
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- BUDGET:** Identify each source of funding involved in the project (e.g. ARC, Federal, State, Local, Private), and state the dollar amount requested from each as well as the percent of the total project cost each funding source represents. Also list the Program and/or Funding Agency supplying the funds [e.g., ARC Distressed, ARC Area Development, Loan, Community Development Block Grant (CDBG), Ohio Public Works Commission (OPWC), Federal Emergency Management Agency (FEMA), Ohio Emergency Management Agency (OEMA)]
- Under the column available funding, please state whether funds are Committed, Applied for and Date, or anticipated date for filing application for funding
- Please remember to attach all Commitment letters to your application as Exhibit C.

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TOTAL	<u>\$80,000</u>	<u>100%</u>		

**ALWAYS ROUND DOLLAR AMOUNTS TO THE NEAREST DOLLAR*

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OUTCOMES: Outcome measures are indicators that measure the actual impact of the public benefit of the actions of an individual or agency. (i.e. # of jobs created/retained, # of households/businesses with improved energy efficiency, # of persons trained, etc.)

Leveraged Private Investment:

The amount of 'other' non-project investment that can be attributed to the project

EXHIBIT 2

ARC Memorandum of Understanding

Please sign a copy and submit with your pre-application.

**PRE-APPLICATION AND FULL APPLICATION
APPALACHIA OHIO ENERGY GRANT PROCESS
MEMORANDUM OF UNDERSTANDING**

EACH YEAR THE APPALACHIAN REGIONAL COMMISSION (ARC) RECEIVES AN APPROPRIATION FROM CONGRESS. A FORMULA IS APPLIED TO THAT SUM TO ALLOCATE PROGRAM FUNDS AMONG THE 13 STATES. THE ARC PROGRAM FUNDS MAY ONLY BE USED FOR PROJECTS LOCATED WITHIN THE 406 COUNTIES DESIGNATED BY CONGRESS AS THE APPALACHIAN REGION. IN OHIO, 29 OF THE 88 COUNTIES ARE DESIGNATED AS APPALACHIA AND ELIGIBLE FOR FUNDING. OF THESE 29 COUNTIES, FOUR COUNTIES ARE DESIGNATED BY ARC AS DISTRESSED.

IN 2006, THE APPALACHIAN REGIONAL COMMISSION RELEASED *ENERGIZING APPALACHIA: A REGIONAL BLUEPRINT FOR ECONOMIC AND ENERGY DEVELOPMENT*, TO PROVIDE A STRATEGIC FRAMEWORK FOR THE PROMOTION OF NEW ENERGY-RELATED JOB OPPORTUNITIES THROUGHOUT THE APPALACHIAN REGION. APPROVED BY THE GOVERNORS OF THE 13 APPALACHIAN STATES AND THE ARC FEDERAL CO-CHAIR, THE BLUEPRINT WAS DEVELOPED IN RESPONSE TO THE CHANGING ENERGY SUPPLY, POLICY, AND USE ENVIRONMENT.



IN DEVELOPING THE BLUEPRINT, THE COMMISSION CREATED AN ENERGY ADVISORY COUNCIL MADE UP OF ONE ENERGY EXPERT FROM EACH OF THE 13 APPALACHIAN STATES, LOCAL DEVELOPMENT DISTRICT REPRESENTATIVES, AND TWO FEDERAL REPRESENTATIVES. MEMBERS OF THIS GROUP USED THEIR EXPERTISE, IDEAS, AND EXPERIENCE, AS WELL AS THE INFORMATION GATHERED BY ARC, TO DEVELOP REGIONAL ENERGY STRATEGIES AND IDENTIFY OPPORTUNITIES FOR ARC AND ITS MEMBER STATES TO ADDRESS THE CHANGING ENERGY MARKET ENVIRONMENT.

THE COMMISSION HAS IDENTIFIED THREE BASIC STRATEGIC OBJECTIVES FOR THE REGION:

4. PROMOTE ENERGY EFFICIENCY IN APPALACHIA TO ENHANCE THE REGION'S ECONOMIC COMPETITIVENESS.
5. INCREASE THE USE OF RENEWABLE ENERGY RESOURCES TO PRODUCE ALTERNATIVE TRANSPORTATION FUELS, ELECTRICITY, AND HEAT.
6. SUPPORT THE DEVELOPMENT OF CONVENTIONAL ENERGY RESOURCES, ESPECIALLY ADVANCED CLEAN COAL, IN APPALACHIA TO PRODUCE ALTERNATIVE TRANSPORTATION FUELS, ELECTRICITY, AND HEAT.

THE APPALACHIAN REGION IS WELL POSITIONED TO TAKE ADVANTAGE OF ALL THE ECONOMIC DEVELOPMENT OPPORTUNITIES IN TODAY'S CHANGING ENERGY LANDSCAPE. THE REGION POSSESSES A DIVERSE SET OF ENERGY RESOURCES THAT HOLD THE POTENTIAL TO GENERATE ADDITIONAL BUSINESSES AND JOBS. (VISIT WWW.ARC.GOV/ENERGY FOR A COPY OF THE BLUEPRINT.)

THE GOVERNOR'S OFFICE OF APPALACHIA (GOA) HAS APPROXIMATELY \$120,000 TO IMPLEMENT THE APPALACHIA ENERGY GRANT PROGRAM. USING A "BOTTOM UP" APPROACH, GOA COORDINATES PROJECT DEVELOPMENT WITH THE THREE LOCAL DEVELOPMENT DISTRICTS (LDD):

-  BUCKEYE HILLS-HOCKING VALLEY REGIONAL DEVELOPMENT DISTRICT LOCATED IN MARIETTA
-  OHIO MID-EASTERN OHIO GOVERNMENTS ASSOCIATION LOCATED IN CAMBRIDGE
-  OHIO VALLEY REGIONAL DEVELOPMENT COMMISSION LOCATED IN WAVERLY

A POTENTIAL APPLICANT MUST WORK WITH ONE OF THE LDDs FOR GUIDANCE ON THE ELIGIBILITY FOR FUNDING AND ASSISTANCE IN PREPARING AN APPLICATION. THE GOVERNOR OF EACH STATE SELECTS PROJECTS TO BE SUBMITTED TO ARC FOR FUNDING.

THE APPALACHIA OHIO ENERGY GRANT PROGRAM APPLICATION PROCESS AND TIME-LINE IS AS FOLLOWS:

APPLICATION PROCESS

PRE-APPLICATIONS MUST BE SUBMITTED TO YOUR LOCAL DEVELOPMENT DISTRICT NO LATER THAN **4PM ON FRIDAY, MARCH 21, 2008.**

- PRE-APPLICATION FORMS AVAILABLE JANUARY 11, 2008
- PRE-APPLICATIONS DUE TO YOUR LOCAL DEVELOPMENT DISTRICT (LDD) MARCH 21, 2008
- FULL APPLICATIONS WILL BE REQUESTED ON APRIL 11, 2008
- FULL APPLICATIONS WILL BE DUE BACK TO THE LOCAL DEVELOPMENT DISTRICT (LDD) MAY 2, 2008
- REVIEW AND AWARD APPROXIMATELY JULY, 2008

IN ADDITION, BE AWARE OF THE FOLLOWING:

1. ARC FUNDS **ARE NOT** GUARANTEED TO ANY GRANTEE UNTIL THE ARC FEDERAL CO-CHAIRMAN HAS APPROVED THE PROJECT IN WASHINGTON, DC.
2. ARC **WILL NOT** REIMBURSE EXPENDITURES OCCURRING BEFORE ARC APPROVAL, OR REIMBURSE ANY EXPENSES INCURRED FOLLOWING THE CONCLUSION OF THE GRANT PERIOD.
3. DEMOLITION AND/OR CONSTRUCTION **MUST NOT** BE STARTED ON ANY PROJECT PRIOR TO ARC APPROVAL OF THE PROJECT. DO NOT DEMOLISH, TEAR ANYTHING DOWN, MOVE DIRT OR CONSTRUCT ANYTHING WITHOUT ARC AND BASIC AGENCY APPROVAL.
4. EQUIPMENT **CANNOT** BE PURCHASED PRIOR TO AN ARC AWARD. THERE IS **NO** REIMBURSEMENT PROCESS.
5. ARC FUNDS **CANNOT** BE SPENT OR COMMITTED PRIOR TO NOTIFICATION OF ARC APPROVAL. GOA WILL SEND COVER LETTER AND COPY OF ARC APPROVAL LETTER.
6. ARC **NO LONGER** GRANTS A WAIVER ON ANY PROJECT (THIS PROCESS HAS BEEN **DISCONTINUED**).
7. PROJECT LOCATED IN DISTRESSED COUNTIES MAY BE FUNDED UP TO **80%** OF THE TOTAL PROJECT COST, **50%** IN TRANSITIONAL COUNTIES AND **30%** IN COMPETITIVE COUNTIES. ARC FUNDING WILL VARY FOR PROJECTS THAT INCLUDE ACTIVITIES AND/OR SERVICES INVOLVING MORE THAN ONE COUNTY.
8. GRANTEE MUST MEET ARC AND FEDERAL BASIC AGENCY GUIDELINES.

- 9. LOCAL ACCESS ROAD PROJECTS MAY BE FUNDED UP TO 80% OF THE ELIGIBLE PROJECT COSTS (THROUGH THE FEDERAL HIGHWAY ADMINISTRATION TEA-21 PROGRAM) IN TRANSITIONAL AND DISTRESSED COUNTIES, 30% IN COMPETITIVE COUNTIES AND NOT AT ALL IN ATTAINMENT COUNTIES. ACCESS ROADS FUNDED UNDER 214 (CDBG, EDA) ARE SUBJECT TO GENERAL FUNDING LIMITS (80% DISTRESSED, 50% TRANSITIONAL AND 30% COMPETITIVE).

AFTER READING THESE GUIDELINES, PLEASE SIGN AND DATE. PLEASE UNDERSTAND THAT STARTING ANY PROJECT BEFORE RECEIVING WRITTEN ARC APPROVAL IS AT YOUR OWN RISK.

IF YOU HAVE ANY QUESTIONS, YOU MAY CONTACT YOUR LOCAL DEVELOPMENT DISTRICT OR THE GOVERNOR'S OFFICE OF APPALACHIA.

PLEASE SIGN AND RETURN ORIGINAL WITH YOUR PRE-APPLICATION.

I HAVE READ AND FULLY UNDERSTAND THIS DOCUMENT.

TYPE COMPANY/ORGANIZATION NAME

TYPE REQUIRED SIGNATURE/TITLE

REQUIRED SIGNATURE DATE