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Economic Development Administration

PREAPPLICATION FOR FEDERAL ASSISTANCE

The preapplication is used by the Economic Development Administration (EDA) to evaluate proposals for Federal investment assistance under EDA programs. If a proposal meets statutory, regulatory, and competitive selection criteria, the proponent may be invited to submit an application. Please visit our Web site at www.doc.gov/eda. The site contains information on EDA programs, and requirements, including funding priorities published in the current Federal Register Notice of Funding Availability.

Please answer all questions completely and accurately. Be concise, attaching a narrative statement that responds to all questions in the order listed. (The preapplication narrative need not exceed four pages.) An original (including all forms with original signatures) and two copies should be submitted to the Economic Development Representative (EDR) or regional office contact for your area, as shown in the Federal Register Notice.

Proponents are encouraged to contact their EDA representative prior to completing the preapplication. EDA staff will provide advice and assistance in identifying and resolving critical issues.

An application is a serious undertaking which involves significant staff time and perhaps coordination with other local, state and Federal agencies. For construction projects this may involve engineering and legal services which may only be eligible for reimbursement with grant funds if authorized by the Regional Office prior to submission of the application.



Preapplication for Federal Assistance
OMB Approval No. 0610-0094

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The information is required to obtain or retain benefits from the Economic Development Administration pursuant to the Public Works and Economic Development Act of 1965, as amended (Public Law 89-136, 42 U.S.C. § 3121, et seq.), and as further amended by the Economic Development Administration Reform Act of 1998 (Public Law 105-393). The reason for collecting this information is to enable the prospective applicants to apply for financial assistance and for the Economic Development Administration to determine their eligibility and compliance with Federal and other requirements. No confidentiality for the information submitted is promised or provided except that which is exempt under 5 U.S.C. § 552(b)(4) as confidential business information.

The public reporting burden for this collection is estimated to average **9** hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Economic Development Administration, Herbert C. Hoover Building, Washington, DC, 20230, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <input type="text"/> <input type="text"/> - <input type="text"/>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____		A. State H. Independent School Dist. <input type="checkbox"/> B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify) _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>		9. NAME OF FEDERAL AGENCY:	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): TITLE: _____		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$.00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$.00		
c. State	\$.00		
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00		
g. TOTAL	\$.00		
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
		<input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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

- | Item: | Entry: | Item: | Entry: |
|-------|---|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:

-- "New" means a new assistance award.

-- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

-- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

Provide a concise narrative statement for the following items in the order listed below. Refer to EDA’s program requirements and evaluation criteria as set forth in 13 CFR Chapter III, and the Federal Register Notice of Funding Availability (NOFA). Also see Exhibits A and B, and complete, as applicable.

Investment (Project) Area

- Identify the area, e.g., city, county, Indian reservation, community, multi-county area, where the project will be located and where the benefits of the EDA investment will be received. Complete Exhibit A, if applicable.
- If the area is not defined by geographical/political boundaries, provide a description of the proposed area, document that the area is of sufficient size appropriate to the investment, and justify the proposed boundaries in relation to the investment’s benefits to the area.

Investment (Project) Description

- Provide a clear description of the scope of work for the proposed EDA investment.
- Describe the components of the proposed investment. For construction investments, attach an original or clear copy of a USGS topographic map clearly showing the location of the project.

Economic Development Need

- Briefly describe the economic development need for the EDA investment and how it addresses the goals and objectives of the Comprehensive Economic Development Strategy (CEDS) for the area (if applicable).
- Briefly describe the economic conditions of the area, the economic adjustment problem, or the severity of the economic dislocation the area has experienced (or is about to experience) and how the economic development of the area is being (or will be) affected. Provide justification for the area’s eligibility for EDA assistance (if applicable) and its grant rate eligibility (see Exhibits A and B and 13 CFR Part 301).

Investment (Project) Impact

- Discuss how the proposed investment satisfies EDA’s “Investment Policy Guidelines” set forth in EDA’s annual NOFA.

General Policies and Funding Priorities

- Discuss how the proposed investment satisfies the “General Policies” and “Funding Priorities” set forth in EDA’s annual NOFA.

Proponent's Capability

- Briefly describe the proponent's capability to administer, implement, and market the project.

Proposed Time Schedule for the Project

- Estimate when (month/year) the project will begin and end.

Project Beneficiaries

Identify employers who will benefit from the project:

Company	Products and Services	Jobs Saved	New Jobs	Private Sector Investment \$	Committed or Interest Only

Civil Rights

- Does the proponent understand and agree to comply with all applicable civil rights requirements, including requirements to provide signed assurances and other information that may be needed to determine compliance?
' Yes ' No (Explain)
- Do identified "Other Parties" as defined in 13 CFR §317.1(c) understand and agree to comply with all applicable civil rights requirements, including requirements to provide signed assurances and other information that may be needed to determine compliance?
' Yes ' No (Explain) ' No Other Parties Identified

Proposed Budget Line Items

Construction Project Budget Estimate		Non-Construction Project Budget Estimate	
Administrative Expenses	\$	Personnel	\$
Land, Structures, ROW, Easements	\$	Fringe Benefits	\$
Relocation & Incidental Costs to Acquisition	\$	Travel	\$
A/E Fees & Inspection	\$	Equipment	\$
Site Work	\$	Supplies	\$
Construction and Demolition	\$	Contractual	\$
Equipment	\$	Other	\$
Contingencies	\$	Total Direct Charges	\$
		Indirect Charges	\$
Total Project Cost	\$	Total Project Cost	\$

Proposed Funding Sources

- Identify the source, nature and amount of all non-EDA funds, including in-kind contributions. Explain the status of all funding commitments, including the date the funds will be available from each source, and describe any conditions or restrictions on the use of such funds.
- Are all non-EDA funds committed and readily available?
 - " Yes
 - " No
- Discuss the actions that need to be taken and the timing required to secure the non-EDA funds. Complete Exhibit B for the EDA grant rate determination.
- Except as noted, does the proponent plan to seek other federal assistance to assist in funding this investment?
 - " No
 - " Yes (explain)
- Is the proposed EDA assistance available from any other federal economic development program?
 - " No
 - " Yes (identify and provide explanation why EDA assistance is required)

Title/Ownership/Operation/Maintenance and Management (Construction Projects)

- Briefly describe plans for the ownership, operation, maintenance and management of project facilities, including any land, improved land, structures, appurtenances thereto, or other improvements, including any personal property.
- Will the facilities funded by EDA's investment be owned, operated and/or maintained by an entity other than the proponent?
 - " No
 - " Yes (explain)
- Will the real property to be improved or the facilities funded by the EDA investment, including any industrial or commercial park acreage, be mortgaged or used as collateral for any financing and/or is any real property to be used for this project currently mortgaged or being used for collateral?
 - " No
 - " Yes (explain)
- Can the proponent provide a security interest in the real property or significant items of tangible personal property to EDA?
 - " No (explain why not)
 - " Yes
- If the EDA investment will be used to develop or improve an industrial or commercial park, identify the owner(s) of the park acreage and estimate the number of acres benefitting from this investment.
- Discuss plans for the sale or lease of the real property improved by the EDA investment. For privately-owned land, is the private owner of the vacant acreage willing to enter into an agreement to limit the sales price of the improved land for a reasonable period of time to the fair market value of the land before the improvements?
 - " No
 - " Yes (explain)

Environmental Issues (Construction Projects)

- Provide a brief physical description of the project site noting topography, vegetation, water bodies, and location and condition of any manmade structures or buildings. If available, provide a GIS analysis of the sensitive environmental areas, including contaminated sites, archeological sites, National Register places and sites, and wetlands, that are within a two mile radius of the project site.

If yes to any question below, briefly explain.

1. Will the project be located in or adjacent to a floodplain or wetland area?

" Yes

" No

" Not Applicable

AREA ELIGIBILITY

1. Identify the project area _____ and check all that apply below:

Awards for Public Works and Development Facilities (CFDA No. 11.300) and Economic Adjustment Assistance (CFDA No. 11.307) must satisfy area eligibility requirements (13 CFR §301.2) as shown on the back of this form. Follow instructions and answer questions below to determine if your

' **Unemployment:** The area has an unemployment rate that is, for the most recent 24-month period for which data are available, at least one percent greater than the national average unemployment rate. For example, if the national average unemployment rate is 6 percent, an area is eligible under this provision if it has an unemployment rate of 7 percent.

' **Per capita income:** The area has a per capita income that is, for the most recent period available, 80 percent or less of the national average per capita income.

' **Special need:** The area has experienced or is about to experience, as determined by EDA, a special need arising from actual or threatened severe unemployment or economic adjustment problems resulting from severe short-term or long-term changes in economic conditions, for example:

- ' substantial out-migration or population loss;
- ' underemployment, that is, employment of workers at less than full time or at less skilled tasks than their training or abilities permit;
- ' military base closure or realignment, defense contractor reductions-in-force, or Department of Energy defense related funding reductions;
- ' natural or other major disasters or emergencies;
- ' extraordinary depletion of natural resources;
- ' closure or restructuring of industrial firms, essential to area economies; or
- ' destructive impacts of foreign trade; and
- ' other (describe need)

2. **Source of data provided for area eligibility determination:**

- ' The most recent **Federal** data for the area in which the project is located is attached;
- ' Data available through the **State** government for the area in which the project is located is attached; or
- ' Other data to substantiate eligibility based on **special need** is attached.

3. **The project area is other than one defined by political jurisdiction:** Provide a description of the project area and documentation to show: (a) that the proposed project area is of sufficient size appropriate for the project, and (b) that project boundaries for area eligibility are consistent with the anticipated project benefits for that area.

- ' Project area description and documentation attached.
- ' Not applicable

4. **Substantial Direct Benefit:** If the project is located in a non-distressed area of an EDA-designated Economic Development District, provide documentation to show that the project will be of substantial direct benefit to an area that meets at least one of the criteria set forth in Item 1 above. (A project provides substantial direct benefit if it provides significant employment opportunities for unemployed, underemployed or low income residents).

- ' Documentation attached.
- ' Not applicable

AREA ELIGIBILITY
(Excerpt from EDA regulations at 13 CFR § 301.2)

- (a) EDA awards Public Works and Development Facilities grants under 13 CFR Part 305 and Economic Adjustment grants under 13 CFR Part 308 for projects to enhance economic development in distressed areas.
- (b) An area is eligible for EDA investment assistance under 13 CFR Part 305 or 308 if it has one of the following:
1. An unemployment rate that is, for the most recent 24-month period for which data are available, at least one percent greater than the national average unemployment rate. For example, if the national average unemployment rate is 6 percent, an area is eligible under this provision if it has an unemployment rate of 7 percent.
 2. Per capita income that is, for the most recent period for which data are available, 80 percent or less of the national average per capita income.
 3. A special need, as determined by EDA, arising from actual or threatened severe unemployment or economic adjustment problems resulting from severe short-term or long-term changes in economic conditions, for example:
 - i. Substantial outmigration or population loss;
 - ii. Underemployment, that is, employment of workers at less than full time or at less skilled tasks than their training or abilities permit;
 - iii. Military base closures or realignments, defense contractor reductions-in-force, or Department of Energy defense-related funding reductions;
 - iv. Natural or other major disasters or emergencies;
 - v. Extraordinary depletion of natural resources;
 - vi. Closure or restructuring of industrial firms, essential to area economies; or
 - vii. Destructive impacts of foreign trade.
- (c) A non-distressed area [i.e., an area that does not meet the criteria of paragraph (b) above] within an Economic Development District is also eligible, provided the project will be of a substantial direct benefit to an area that meets at least one of the criteria of paragraph (b) above. A project provides substantial direct benefit if it provides significant employment opportunities for unemployed, underemployed or low income residents.
- (d) Normally an area is defined by geographical/political boundaries, e.g., city, county, Indian reservation. However, a smaller area (without regard to political boundaries) is also eligible even though it may be part of a larger community that overall is experiencing low distress. When the boundaries of the project area differ from established political boundaries, the project area must be of sufficient size appropriate to the proposed project, and the applicant must justify the proposed boundaries in relation to the project's benefits to the area.
- (e) Eligibility is determined at the time that EDA receives an application and is based on the most recent Federal data available for the area where the project will be located or where the substantial direct benefits will be received. If no Federal data are available to determine eligibility, an applicant must submit to EDA the most recent data available through the government of the State in which the area is located, i.e., conducted by or at the direction of the State government. Other data may be submitted, as appropriate, to substantiate eligibility based on special needs under paragraph (b)(3) above.
- (f) EDA may reject any documentation of eligibility that it determines is inaccurate.
- (g) There is no area eligibility requirement for assistance under 13 CFR Part 306 or 307.
- (h) EDA describes special need criteria under paragraph (b)(3) above in a Notice of Funding Availability (NOFA).

EDA GRANT RATES

EDA awards may not exceed 50 percent of project costs, except as determined by EDA in accordance with regulations at 13 CFR § 301.4. If your proposal includes a Federal grant rate that exceeds 50 percent of eligible project costs as shown in the preapplication or application budget, then you may be asked to justify the proposed reduction or waiver of the non-Federal share in accordance with EDA regulations on maximum Federal grant rates. Follow instructions below as they apply to your particular project.

1. **For Public Works and Economic Adjustment assistance (CFDA Nos. 11.300 and 11.307)**, see EDA regulations for maximum Federal grant rates provided at 13 CFR §301.4 and shown on the back of this form. Enter the provision and maximum grant rate that apply to this project below:

- ' The project meets criteria at 13 CFR §301.4(b) subsection _____ for a maximum Federal grant rate of ___ percent.
- ' Additional information to justify grant rate greater than 50 percent is attached (if requested by EDA).
- ' Additional information to justify supplemental grant to other federal assistance program (13 CFR §301.4(e)) is attached.

2. **For projects located in designated Economic Development Districts**, additional EDA grant assistance not to exceed 10 percent of eligible project costs is requested as provided under 13 CFR §301.4(d):

- ' Yes. Attach letter from the Economic Development District Director documenting that:
 - The project is located in a designated Economic Development District;
 - The applicant is actively participating in the economic development activities of the District;
 - The project is consistent with the strategy of the District; and
 - The District organization is not itself the sole project applicant.
- ' No. Additional funding is not requested under this provision.

3. **For Planning and Technical Assistance (CFDA Nos. 11.302 and 11.303)**, attach a narrative to justify federal funding that exceeds 50 percent of eligible project costs. (See 13 CFR §301.4., 306.3(b), 307.7(c) or 307.3(c), as applicable.)

Exhibit B

EDA GRANT RATES

Projects	Maximum Grant Rates (percentage)
(1) Projects of Indian tribes where EDA has made a determination to waive the non-Federal share of the cost of the project	100
(2) Projects under 13 CFR Part 308 located in Presidentially-declared disaster areas for which EDA invites an application for assistance under a supplemental appropriation, within 18 months of the date of declaration, and for which the President established a rate of Federal participation, based on the public assistance grant rate of the Federal Emergency Management Agency (FEMA) for the disaster, of greater than 80 percent	100
(3) Projects of Indian tribes where EDA has made a determination to reduce the non-Federal share of the cost of the project	less than 100
(4) Projects of States or political subdivisions of States that have exhausted their effective taxing and/or borrowing capacity, or nonprofit organizations that have exhausted their borrowing capacity	less than 100
(5) Projects under Part 308 located in Presidentially-declared disaster areas for which EDA receives an application for assistance under a supplemental appropriation, within 18 months of the date of declaration	80
(6) Projects located in Federally-declared disaster areas, for which EDA receives an application for assistance within 18 months of the date of declaration, when the Assistant Secretary determines that the applicant cannot provide the required non-Federal share because of the disaster's impact on the economic situation.	80
(7) Projects located in eligible areas where (i) The 24-month unemployment rate is at least 225% of the national average or (ii) The per capita income (PCI) is not more than 50% of the national average	80
(8) Projects located in eligible areas that are not eligible for a higher rate, where (i) The 24-month unemployment rate is at least 180% of the national average or (ii) The PCI is not more than 60% of the national average	70
(9) Projects located in eligible areas that are not eligible for a higher rate, where (i) The 24-month unemployment rate is at least 150% of the national average or (ii) The PCI is not more than 70% of the national average	60
(10) Projects in all other eligible areas	50

Note: The table in 13 CFR §301.4(b) does not apply to projects which support the on-going operations of Economic Development Districts or University Centers. Grant rates for those projects are provided in 13 CFR Part 306 and Subpart B of 13 CFR Part 307, respectively.