

NORTHERN BORDER REGIONAL COMMISSION

A Federal-State Partnership for Economic Development in Maine, New Hampshire, Vermont, and New York



ECONOMIC AND INFRASTRUCTURE DEVELOPMENT GRANT PROGRAM

2015

CONTENTS

ABOUT THE NBRC

ELIGIBILITY AND CLARIFICATION NOTES

1. Commission Service Area
2. Sustainability
3. Eligible Applicants
4. Eligible Purposes
5. Funding Category Specifics
6. Ineligible Purposes
7. Contract Deadline
8. Designated Distressed Counties
9. Designated Transitional Counties
10. Designated Points Of Contact
11. When To Submit Grant Applications
12. Where To Submit Grant Applications
13. Grant Award Schedule

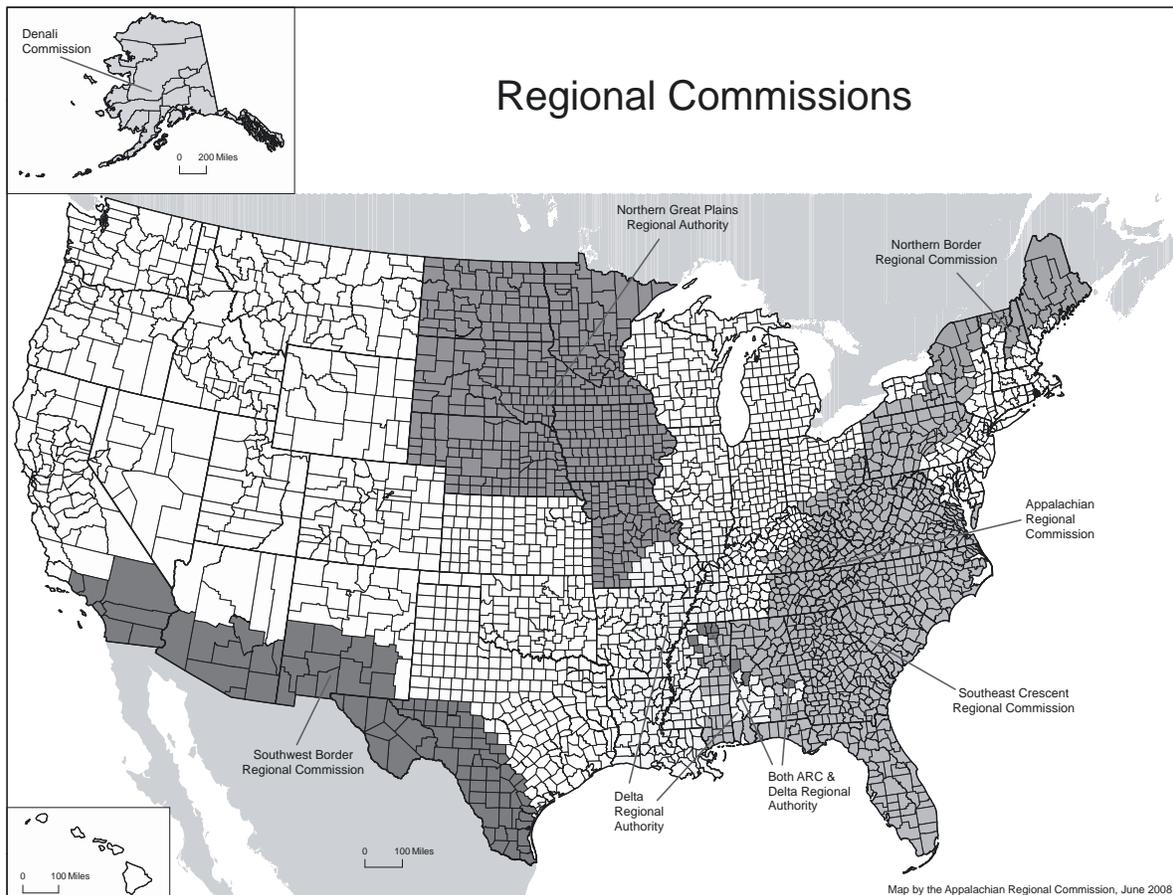
ABOUT THE NBRC

Established by Congress in 2008, the Northern Border Regional Commission (NBRC) is a working partnership between the federal government and the States of New York, Vermont, New Hampshire, and Maine. 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 successful Appalachian Regional Commission model and is part of a group of new regional commissions created by Congress within the last decade.

Since then, the NBRC partnership has provided grants to job-creating projects that have helped reduce poverty, unemployment, and outmigration.

NBRC grant 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 grants are considered non-federal match; making them attractive for leveraging other federal funds.

The NBRC partnership is also aided by a growing number of recognized Local Development Districts that assist in grant technical assistance, provide information on complimentary grants for projects, and ensure applications are complete before being considered.



ELIGIBILITY AND CLARIFICATION NOTES

Potential applicants for 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 and supported with documentation.

1. COMMISSION SERVICE AREA

Only projects within the NBRC's service area are allowed funding. The NBRC covers the following counties within its service area:

In New York:

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

In Vermont:

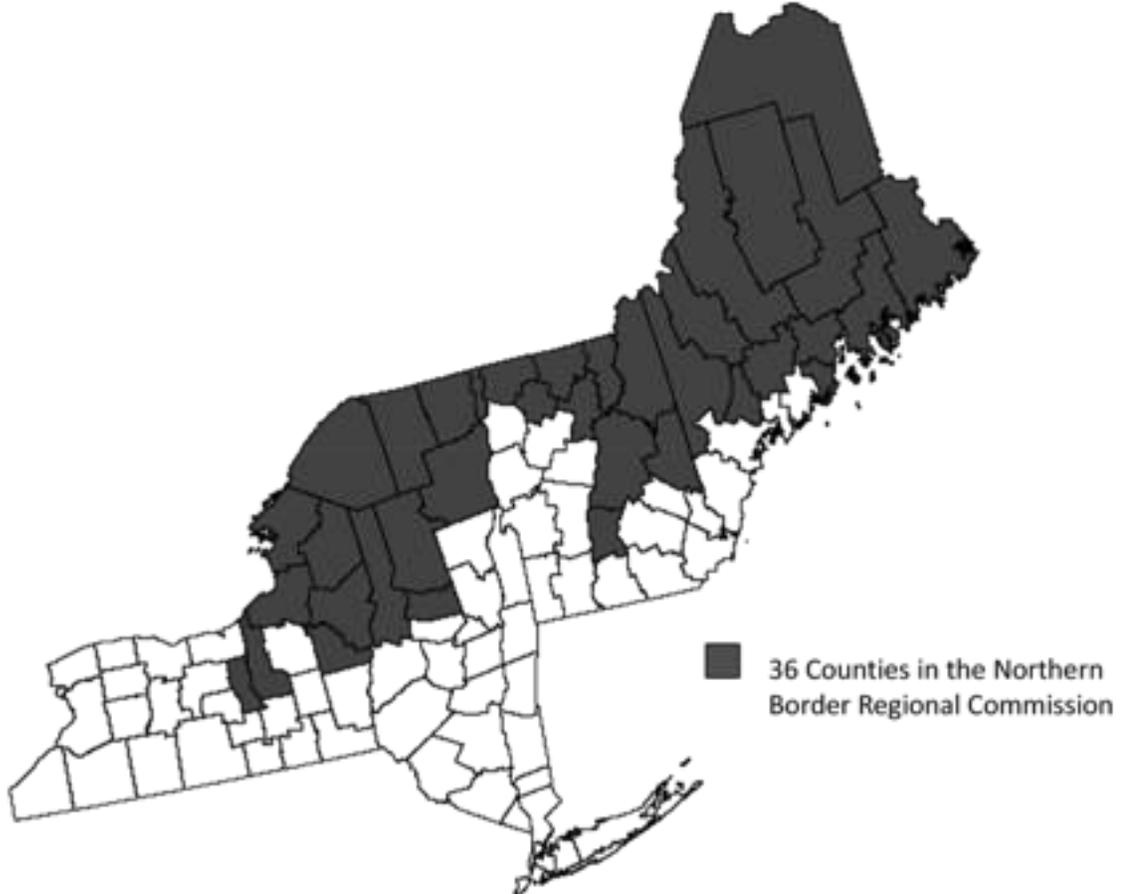
Caledonia, Essex, Franklin, Grand Isle, Lamoille, and Orleans counties

In New Hampshire:

Carroll, Coos, Grafton, and Sullivan counties

In Maine:

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



2. SUSTAINABILITY

Applicants must demonstrate through a sound, comprehensive business plan, based on hard data, proven methodology and reasonable forecasts acceptable to the NBRC, that the applicant is capable of maintaining the project after NBRC funding to assist the sustainability of the project and achievement of the level of service outlined in the project description.

Sustainability, by definition, includes all costs associated with management, operation, and maintenance, necessary to maintain an acceptable level of service. A project will NOT be deemed sustainable if it is dependent on future grants to meet its normal operating expenses.

Only Direct Costs will be allowable costs. Indirect Costs are not eligible costs. Staff working directly towards the completion of project are eligible costs. However, overhead costs are ineligible.

Feasibility/marketing type studies will be considered non-sustainable and speculative, therefore, they will NOT be considered eligible.

3. ELIGIBLE APPLICANTS

Eligible: The NBRC Economic and Infrastructure Development Program is ONLY available to participating member states, local governments (city and county), non-profit entities, and Native American entities for projects within the NBRC region.

Ineligible: The NBRC Economic and Infrastructure Development Program is NOT available to private/for-profit entities and those entities normally deemed eligible, but, due to prior grant history have been identified as ineligible for future grants.

4. ELIGIBLE PURPOSES

The following funding categories, as found in Public Law 110-246, June 18, 2008, Subtitle V – Regional Economic and Infrastructure Development, represent the continued focus for all NBRC grant dollars. This document has been organized under each one of the categories.

- a. To develop the transportation infrastructure of its region;
- b. To develop the basic public infrastructure of its region;
- c. To develop the telecommunications infrastructure of its region;
- d. To assist its region in obtaining job skills training, skills development, and employment-related education, entrepreneurship, technology, and business development;
- e. To provide assistance to severely economically distressed and underdeveloped areas of its region that lack financial resources for improving basic health care and other public services;

- f. To promote resource conservation, tourism, recreation, and preservation of open space in a manner consistent with economic development goals;
- g. To promote the development of renewable and alternative energy sources.

5. FUNDING CATEGORY SPECIFICS

- a. **TRANSPORTATION INFRASTRUCTURE:** Transportation Infrastructure shall mean basic physical structures needed to support and/or create a transportation system, which shall include roadways, bridges, rail, port facilities, airports, and other structures deemed to be central to an overall transportation system. To be deemed eligible, projects shall document job-creation or job-retention impact. Local, state and/or federal road, highway and/or bridge maintenance projects will NOT be eligible for NBRC funding.
- b. **BASIC PUBLIC INFRASTRUCTURE:** For the purposes of the Northern Border Regional Commission Federal Grant Program, the term “Basic Public Infrastructure” shall mean Water and Wastewater Facilities, Electric and gas Utilities, and Solid Waste Landfills, all of which are fundamental services necessary to promote growth and attract business, which have a useful life of 20 years or more.

To be deemed eligible, projects shall document job-creation or job-retention.

NBRC federal grant funds will NOT be used for projects deemed to be “Maintenance” or Deferred Maintenance”. Maintenance shall mean the work of keeping something in proper condition or upkeep. Deferred Maintenance shall mean to put off, postpone, or procrastinate the act of maintenance.

Government-facility construction and/or improvements (including but not limited to local/state government offices, libraries, fire stations, multi-purpose buildings, and public education buildings/schools) will not be eligible.

- c. **TELECOMMUNICATIONS INFRASTRUCTURE:** Broadband and Geographic Information System (GIS) projects (not to include speculative or feasibility-type studies – rather, complete and sustainable projects) will be considered.

To be deemed eligible, projects shall document job-creation or job-retention impact.

Government-facility construction and/or improvements (including, but not limited to, local/state government offices, libraries, fire stations, multi-purpose buildings and public education buildings/schools) will NOT be eligible.

- d. **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 to be 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 National Business Incubation Association. A plan should also be developed to coincide with standards and operations as set forth by the National Business Incubation 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 the Federal Co-Chairman can waive this requirement and deem a project eligible. To be deemed eligible, project shall document job-creation or job-retention.

Other than for “Workforce Development” projects, as described above, start up or ongoing, operating costs (including, but, not limited to, salaries, vehicles, equipment, and maintenance) will NOT be deemed eligible.

- e. **BASIC HEALTH CARE:** The cost of basic health care facilities, such as clinics, will be eligible provided that the project is located in a severely economically distressed area of the NBRC region. Start-up or ongoing operating costs will NOT be deemed eligible.
- f. **RESOURCE CONSERVATION, TOURISM, RECREATION:** Construction projects that promote resource conservation, tourism, recreation, and preservation of open space, such as access roads, bridges, signage, etc., are eligible projects. To be deemed eligible, projects shall document job-creation or job-retention impact. All projects must also be consistent with the economic development goals of the region.
- g. **RENEWABLE AND ALTERNATIVE ENERGY:** Energy costs in the NBRC region are relatively higher than most other regions of the United States. In addition, this region is more reliant on oil than other parts of the country. Therefore, renewable and alternative energy projects, such as wind, solar, and biofuel, are eligible projects.

However, privately owned facilities will NOT be eligible. Publicly-owned, and non-profit entities are eligible. In addition, public projects that support privately-owned energy facilities are eligible

6. INELIGIBLE PURPOSES

Eligible entities may NOT be conduits for private-sector entities.

NO financial assistance will be authorized to assist any relocation from one area of the region to another, except as authorized, to attract business from outside the NBRC region to the NBRC region.

NBRC federal grant funds CAN NOT be used to “supplant” existing federal streams but can be utilized to match other federal funds.

7. CONTRACT DEADLINE

Northern Border Regional Commission reserves the right to withdraw grants for projects not under contract within 12 months of approval.

8. DESIGNATED DISTRESSED COUNTIES

In FY15, the NBRC Service Area encompassed a total of 26 distressed counties of 36 total counties. Distressed counties are the most severely and persistently economically distressed and underdeveloped 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

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

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

In Vermont: Caledonia and Essex counties

In New Hampshire: Coos County

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

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

9. DESIGNATED TRANSITIONAL COUNTIES

In FY15, the NBRC Service Area encompassed a total of 10 Transitional counties of 36 total counties. Transitional counties are economically distressed and

underdeveloped 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

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

In New York: Hamilton and Jefferson counties

In Vermont: Franklin, Grand Isle, Lamoille, and Orleans counties

In New Hampshire: Carroll, Grafton, and Sullivan counties

In Maine: Kennebec County

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

10. DESIGNATED POINTS OF CONTACT

Further questions and clarification on the NBRC's Economic and Infrastructure Development Grant Program can be satisfied by contacting the following grant technical assistance providers.

Maine

In Aroostook and Washington counties, contact:

Alain Ouellette

Northern Maine Development Commission

aouellette@nmdc.org

(207) 498-8736

In Hancock, Penobscot, and Piscataquis counties as well as the Waldo County towns of Belfast, Frankfort, Knox, Liberty, Monroe, Morrill, Montville, Prospect, Searsport, Stockton Springs, and Winterport, contact:

Tyler Collins

Eastern Maine Development Corporation

tcollins@emdc.org

(207) 942-6389

In Knox County and the Waldo County towns of Belmont, Lincolnville, Northport, and Searsport, contact:

Scott Benson

Midcoast Council of Governments

sbenson@mceddme.org

(207) 370-6045

In Kennebec and Somerset counties as well as the Waldo County towns of Burnham, Freedom, Palermo, Thorndike, Troy, and Unity, contact:

Gail Chase

Kennebec Valley Council of Governments

gchase@kvcog.org

(207) 453-4258

In Androscoggin and Franklin counties and all of Oxford County EXCEPT for the towns of Denmark, Fryeburg, Hiram, Lovell, Porter, Stoneham, Stow, and Sweden, contact:

Amy Landry

Androscoggin Valley Council of Governments

alandry@avcog.org

(207) 783-9186

In the Oxford County towns of Brownfield, Denmark, Fryeburg, Hiram, Lovell, Porter, Stoneham, Stow, and Sweden, contact:

Chuck Morgan

Southern Maine Planning and Development Commission

cmorgan@smpdc.org

(207) 324-2952

New Hampshire

In Carroll, Coos, Grafton, and Sullivan counties, contact:

Christopher Way

NH Dept of Resources & Economic Development, Div. of Economic Development

cway@dred.state.nh.us

(603) 271-2591

Vermont

In Caledonia, Essex, Franklin, Grand Isle, Lamoille, and Orleans counties, contact:

Ken Horseman

Vermont Agency of Commerce & Community Development

ken.horseman@state.vt.us

(802) 828-5236

New York

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

Kyle Wilbur

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

kyle.wilber@dos.ny.gov

(518) 473-3355

11. WHEN TO SUBMIT GRANT APPLICATIONS

PLEASE SUBMIT...

TWO COPIES OF THE NBRC APPLICATION and

TWO COPIES of the **APPROPRIATE FEDERAL STANDARD FORMS** below:

For Non-Construction Projects:

SF 424 Application for Federal Assistance

SF 424A Budget Information - Non-Construction Programs

SF 424B Assurances - Non-Construction Programs

For Construction Projects:

SF 424 Application for Federal Assistance

SF 424C Budget Information-Construction Programs

SF 424D Assurances - Construction Programs

to the appropriate grant receiver (see Section 12 "Eligibility and Clarification Notes" for detailed information on where to mail application) by the

GRANT DEADLINE: 4PM ON JUNE 19th, 2015

12. WHERE TO SUBMIT GRANT APPLICATIONS

Maine

In Aroostook and Washington counties, send your application to:

Northern Maine Development Commission

Attn: Alain Ouellette

PO Box 779

Caribou, Maine 04736

In Hancock, Penobscot, and Piscataquis counties as well as the Waldo County towns of Belfast, Frankfort, Knox, Liberty, Monroe, Morrill, Montville, Prospect, Searsport, Stockton Springs, and Winterport, send your application to:

Eastern Maine Development Corporation

Attn: Tyler Collins

40 Harlow Street

Bangor, Maine 04401

In Knox and the Waldo County towns of Belmont, Lincolnville, Northport, and Searsport, send your applications to:

Midcoast Council of Governments

Attn: Scott Benson

PO Box 62

Damariscotta, Maine 04543

In Kennebec and Somerset counties as well as the Waldo County towns of Burnham, Freedom, Palermo, Thorndike, Troy, and Unity, send your application to:

Kennebec Valley Council of Governments
Attn: Gail Chase
17 Main Street
Fairfield, Maine 04937

In Androscoggin and Franklin counties and all of Oxford County EXCEPT for the towns of Denmark, Fryeburg, Hiram, Lovell, Porter, Stoneham, Stow, and Sweden, send your application to:

Androscoggin Valley Council of Governments
Attn: Amy Landry
125 Manley Road
Auburn, Maine 04210

In the Oxford County towns of Brownfield, Denmark, Fryeburg, Hiram, Lovell, Porter, Stoneham, Stow, and Sweden, send your application to:

Southern Maine Planning and Development Commission
Attn: Chuck Morgan
21 Bradeen Street, Suite 304
Springvale, Maine 04083

New Hampshire

In Carroll, Coos, Grafton, and Sullivan counties, send your application to:

NH Dept of Resources & Economic Development
Division of Economic Development
Attn: Christopher Way
172 Pembroke Road
Concord, NH 03302-1856

Vermont

In Caledonia, Essex, Franklin, Grand Isle, Lamoille, and Orleans counties, send your application to:

Vermont Agency of Commerce & Community Development
Attn: Ken Horseman
One National Life Drive
Deane C. Davis Bldg, 6th Floor
Montpelier, VT 05620-0501

New York

In Cayuga, Clinton, Essex, Franklin, Fulton, Hamilton, Herkimer, Jefferson, Lewis, Madison, Oneida, Oswego, Seneca, and St. Lawrence counties, send your application to:

New York Dept. of State
Division of Local Government Services
Attn: Kyle Wilbur
99 Washington Avenue, 10th floor
Albany, NY 12231-0001

13. GRANT AWARD SCHEDULE

- 04/01/15 EID Grant Program Announcement
- 04/01/15 Grant application availability (for grant questions and assistance, see Sec 10 above)
- 06/19/15 ALL applications due at specified locations and checked for completeness. (see Sec. 12 above)**
- 07/02/15 Copies are delivered to NBRC Program Office and State Alternates. States commence evaluation and scoring of grant applications
- 07/14/15 States receive list of eligible or ineligible projects from NBRC Program Office
- 07/31/15 States complete evaluation and scoring process
- 08/14/15 Governors sign certifications and forward certified applications to NBRC Program Office
- Week of
08/24/15 NBRC Board meets to vote on FY 15 grant awards. Federal Co-Chair or Alternate Federal Co-Chair notifies Members of Congress of Commission's approval of FY 15 grant awards
- Week of
08/31/15 NBRC officially notifies successful and unsuccessful applicants. Grant processing begins