



**Northern Border
Regional Commission**



**ECONOMIC & INFRASTRUCTURE
DEVELOPMENT INVESTMENT PROGRAM**

2016 Program Manual

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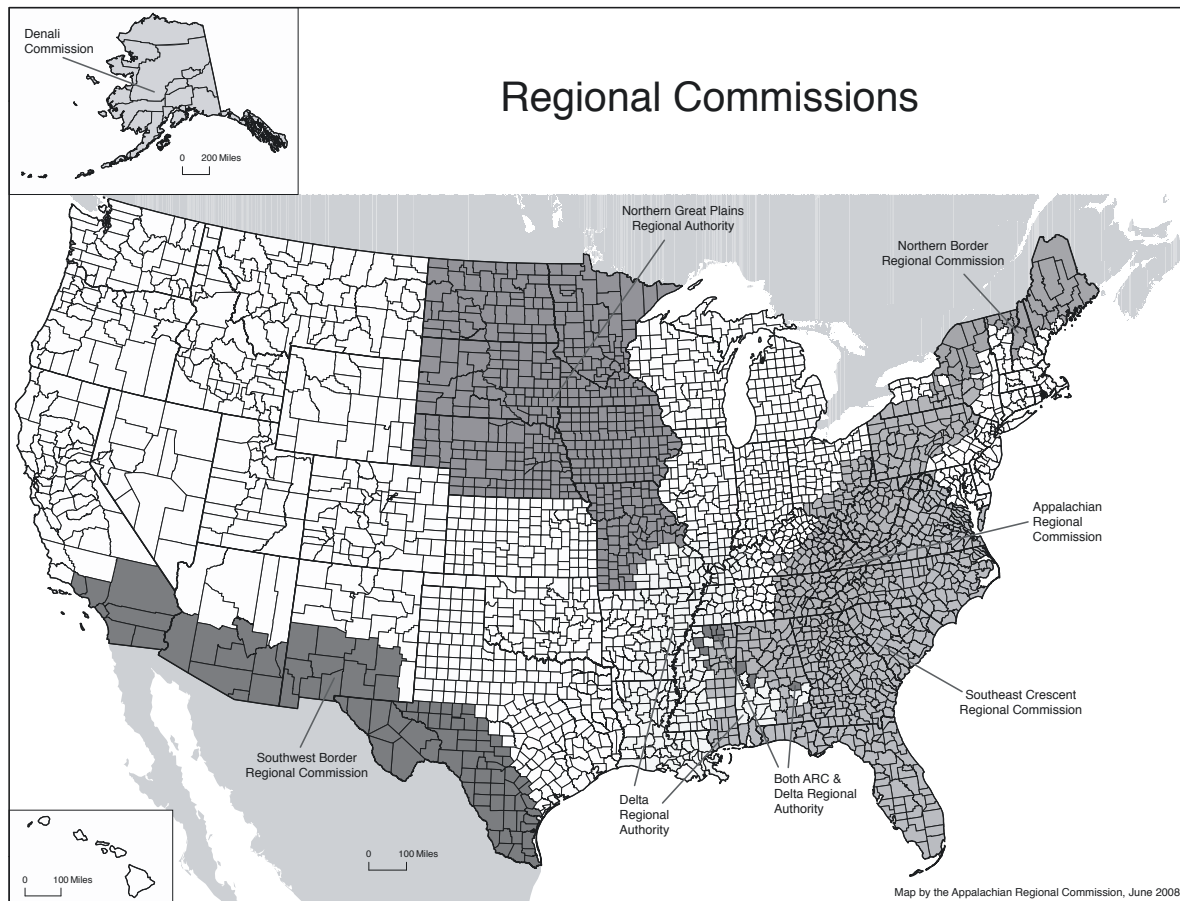
INTRODUCTION

Established by Congress in 2008, the Northern Border Regional Commission (NBRC) is a 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 investments to job-creating projects that have helped reduce poverty, unemployment, and outmigration.

NBRC investment funds originate from the Federal Government but are approved by the Federal Government's NBRC representative (Federal Co-Chair) and the governors of the four States. By statute, NBRC investments are considered non-federal match, up to 80% of the project; 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 investment technical assistance, provide information on complimentary funding opportunities for projects, and ensure applications are complete before being considered.



SECTION I -GENERAL INFORMATION AND ELIGIBILITY

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.

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:

New York:

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

Vermont:

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

New Hampshire:

Carroll, Coos, Grafton, and Sullivan counties

Maine:

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

2. FEASIBILITY AND MARKETING STUDIES

Feasibility and/or marketing type studies will NOT be considered eligible. If funding limits increase in the future there may be opportunity to make changes to this, but given the current funding availability funds will go toward projects that are most able to be implemented in a timely manner.

3. ELIGIBLE APPLICANTS

The NBRC Economic and Infrastructure funding is available to:

- State governments of Maine, New Hampshire, Vermont, and New York;
- local governments (village, town, city and county);
- Other political subdivisions of States (regional planning commissions, authorities of the state)
- Native American Tribes; and,
- Non-profit entities. The term 'nonprofit entity' means any organization described in section 501(c) of the Internal Revenue Code of 1986 and exempt from taxation under 501(a) of that Code that has been formed for the purpose of economic development.

4. INELIGIBLE APPLICANTS

For-profit entities including LLCs and other entities that are not a 501(c). Ineligible entities are also those entities normally deemed eligible, but, due to prior federal or state funding history have been identified as ineligible for future investments.

5. PREVIOUS APPLICANTS

If a grantee has an outstanding investment with NBRC, they cannot receive additional NBRC investments until their current project has: 1. submitted reimbursement requests totaling 75% or more of the project by August 30, 2016; and 2. demonstrated that 75% of the match has been completed by August 30, 2016.

6. ELIGIBLE PURPOSE

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

a) **TRANSPORTATION INFRASTRUCTURE:** Transportation Infrastructure shall mean basic physical structures needed to support and/or create a transportation system; A term connoting the physical underpinnings of transportation systems, including, but not limited to, roads, bridges, rail, port facilities, airports, transit, and sidewalks. In transit systems, all the fixed components of the transit system, such as rights-of-way, tracks, signal equipment, stations, park-and-ride lots, bus stops, maintenance facilities. Regular maintenance or deferred maintenance, such as funding for resurfacing, restoring, rehabilitating and reconstructing will **NOT** be eligible for funding. Federal roads and bridges will **NOT** be eligible for funding.

b) **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. The physical components of interrelated systems providing services essential to enable, sustain, or enhance communications that encourage business growth and development.

Applicants should identify gaps in current regional inventory of telecommunication needs. The gap between a community's broadband today (existing infrastructure, including capacity, speed and pricing, and level of adoption) and its needs should define the type, technology, size and scale of the project.

c) **BASIC PUBLIC INFRASTRUCTURE:** The term “Basic Public Infrastructure” shall mean water and wastewater facilities, electric and gas utilities, and solid waste landfills - or any structures that aid in the reduction of the need for landfills such as recycling and composting, all of which are fundamental services necessary to promote growth and attract business and which have a useful life of 20 years or more.

NBRC investments 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.

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 are deemed eligible, projects shall document job-creation or job-retention. Funding of start-up projects, such as business incubators or industrial parks, must have committed business tenants. Expansion of existing business incubators and industrial parks are also allowed.

Business Incubator projects must document that a need exists, per standards of research described by the International Business Innovation Association. A plan should also be developed to

coincide with standards and operations as set forth by the International Business Innovation Association.

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

Workforce Development shall mean job training or employment-related education for a specific employer to fill immediate job openings or retain current jobs which are documented as such by that specific employer. Delivery of such training shall be through the use of existing public educational facilities (EPEFs) located in the Region. However, if the applicant demonstrates (1) sufficient information demonstrating an EPEF's 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. Operating costs of facilities will NOT be deemed eligible.

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

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

Applicants are strongly encouraged to contact the NBRC Program Manager well before submitting an application to ensure their project's eligibility.

7. INELIGIBLE PURPOSES

No “pass through” funding is available. Eligible entities may not be conduits for ineligible entities such as private-sector businesses or other entities that are not listed as Co-Applicants. Property purchased with NBRC funding cannot, in turn, be sold to the private entity beneficiary.

No financial assistance will be authorized to assist any relocation from one area of the region to another.

NBRC investment funds cannot be used to “supplant” existing federal programs. However, funds may be used to match these programs only when the total funds from both NBRC and the federal funds does not exceed 80% of the total project budget.

Projects that promote unfair competition between businesses with the same immediate service area.

8. ELIGIBLE COSTS

Investment funds may be used for:

- Reasonable fees to contractors but not any fee or profit to the recipient or sub-recipient,

- Construction and pre-construction costs such as engineering,
- While bid, performance or payment bonds are not requirements of NBRC, they are be eligible costs.
- Indirect costs for work performed by the recipient staff. Indirect cost must be documented by a Federal Cognizant Agent, or an entity acting on their behalf. If you do not have a federally approved indirect cost rate (such as many non-profits) you may use 10% as your indirect cost rate for the purposes of this application.
- Applicable and allocable costs as outlined in the Federal Cost Principles.

9. INELIGIBLE COSTS

Investment funds my NOT be used for:

- Food and beverages for meetings
- Alcohol
- Entertainment
- Appraisals of property to be purchased or used as match, because it is assumed that in order to determine a budget for the application the value must be known
- Allowance or payment of debts

10. FEDERAL FUNDING CEILING

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

11. ELIGIBILITY CRITERIA

By statute, the NBRC is required to annually assess the level of economic and demographic distress among the 36 counties in its service area. Assessing distress is important as the resulting designations reflect whether or not the NBRC can provide grants within a county as well as what level of match is required of NBRC funded projects.

Counties are designated as either:

- Distressed- and are eligible for 80% funding and require a 20% match
- Transitional - and are eligible for 50% funding and require a 50% match
- Attainment - are not eligible for funding expect for certain circumstances. In general, NBRC funds may **not** be provided to projects located within a designated “Attainment County.” However, if a municipality is distressed or the project has a greater effect on distressed and transitional counties surrounding it, there is a possibility that it could be an eligible project see Attainment Counties #14 below.

12. DESIGNATED DISTRESSED COUNTIES

Twenty-nine of the thirty-six NBRC counties are considered “Distressed.” Distressed counties are the most severely and persistently economically challenged and have high rates of poverty, unemployment, or outmigration. Distressed counties have at least three of the following criteria:

- a. Outmigration of Population

- b. Per Capita Income lower than the national average
- c. Unemployment higher than the national average
- d. 2000-2010 Population increase less than the national average
- e. Poverty Rate higher than the national average

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

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

Vermont: Caledonia, Essex, and Orleans counties

New Hampshire: Coos and Sullivan counties

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

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

13. DESIGNATED TRANSITIONAL COUNTIES

Five of the thirty-six NBRC counties are considered “Transitional.” Transitional counties are economically challenged or have recently suffered high rates of poverty, unemployment, or outmigration. Transitional counties have at least one of the following criteria:

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

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

New York: Seneca County

Vermont: Franklin and Lamoille counties

New Hampshire: Carroll County

Maine: Hancock

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

14. ATTAINMENT COUNTIES

Two of the thirty-six NBRC counties are considered “Attainment.” They are:

New Hampshire: Grafton County

Vermont: Grand Isle County

Projects within Attainment Counties are not eligible for funding unless at least one of the three exceptions below are met.

Exceptions to “Attainment County” eligibility

1. Isolated Areas of Distress

When a county is first designated as “Attainment” the Commission will automatically collect economic and demographic data within that county to identify “Isolated Areas of Distress.” Isolated areas of distress are municipalities that have high rates of poverty, unemployment, or outmigration.

The Commission publishes a list of Isolated Areas of Distress annually along with its county distress designations. For this list, please see the NBRC’s website or request a list directly from the NBRC at (202) 590-0807.

If a project is located within an “isolated Area of Distress” an application may be submitted, but the applicant must indicate the location of the isolated area in the application.

The percent of qualified project costs matched by NBRC funds in isolated areas of distress is 50%.

2. Multi-County Projects

Projects within or that affect an Attainment County can be funded if is part of a multi-county project that includes at least one other Distressed or Transitional NBRC County.

Match for multi-county project will either be:

The average of the counties, when less than half of the counties are considered distressed:

The percent of qualified project costs matched by NBRC funds in multi-counties will be the average of each of the counties or 50% which ever is higher. *(e.g.: 1 distressed county (80%), 1 transitional county (50%), and 1 attainment county (0%) participate in a joint project for job training. The average of the three = 43.3% so the match would be 50%.*

or:

80%, when at least half of the counties are considered distressed.

(e.g.: 2 distressed county (80%), 1 transitional county (50%), and 1 attainment county (0%) participate in a joint project for job training. The match would be 80%.

3. Significant Benefits (waiver required)

An exception exists for non multi-county projects located within an Attainment County that could bring significant economic benefits to NBRC Distressed or Transitional counties outside that county. However, this exception requires a “Waiver” approved by the Federal Co-Chair and the Governors of the four NBRC State or their chosen alternatives.

Waiver process: Prospective applicants for NBRC funding should contact the NBRC Program Director if they believe their non-multi county project should be funding through a waiver. Prospective applicants will need to show *clear and convincing evidence* of a project’s economic impact *beyond the border* of the Attainment County.

While applicants can add the waiver request to their funding application, the NBRC recommends having a waiver request to rule on before submitting an application so that the applicant does not spend time on the application if the waiver is not granted.

The waiver will need to be approved by the Federal Co-Chair as well as the Governors of the four NBRC States or their chosen Alternates.

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

15. MATCH

Read #11 thru #14 to determine the match that will be required for your project. With the following qualifications and exceptions, matching or cost sharing requirements may be satisfied by any of the following:

- Allowable costs incurred by the recipient, sub-recipient or a cost-type contractor under the investment agreement. This includes ‘eligible’ costs borne by non-Federal grants or by other cash donations from non-Federal third parties.
- The value of third party “in-kind” contributions applicable to the period of the project.
- Cost sharing or matching requirements may be met by other Federal grants up to 80% of the total project cost.
- Neither costs nor the value of third party in-kind contributions may count towards satisfying a cost sharing or matching requirement of a grant agreement if they have been or will be counted towards satisfying a cost sharing or matching requirement of another Federal grant agreement, a Federal procurement contract, or any other award of Federal funds.
- Cost financed by ‘*program income*’ shall not count towards satisfying a cost sharing or matching requirement unless they are expressly permitted in the terms of the investment agreement.
- Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of the recipients and sub recipients. These records must show how the value placed on third party in-kind contributions was derived. To the extent feasible, volunteer services will be supported by the same methods that the organization uses to support the allocability or regular personnel costs.
- Volunteer rate may be used as match and should be consistent with the national average http://www.independentsector.org/volunteer_time which is currently \$23.07 per hour. Volunteers may not be: counted for the same activity in a different project (counted twice) or be federal employees. Additionally, their time must be recorded for reimbursements and you may not include any Indirect Cost Rate along with the \$23.07.
- Pro-bono (e.g., attorney fees) in-kind contributions may be used, but number or hours donated along with hourly rate must be documented, and certified that other entities are not being charged for the donated time.
- Municipal Force Accounts may be used. Applicants must document that they have the staff, experience. Force Account work is limited to work that the recipient can demonstrate is within the technical skill and managerial ability of the recipient and its forces. The applicant must provide an accounting of time and costs and provide appropriate documentation of indirect costs, if being used. Both salaries of staff and cost of mobilization and fees for vehicles may be counted as match when those cost are appropriately documented.

SECTION II - APPLICATION INSTRUCTIONS

Those questions that require further elaboration are outlined here to assist the applicants in understanding the expectations of funding and responsibilities of applying. Questions have been listed as **SE** where they are presumed to be self explanatory. If this presumption is not correct, or you need additional information or any other questions please contact Christine Frost at cfrost@nbrc.gov, 202-590-0807.

>> **Application deadline is 5pm on June 17th, 2016** <<

I. General Information

1. SE
2. **CO-APPLICANT IF APPLICABLE:** Collaboration is highly encouraged. Please note that any co-applicant is equally responsible for following federal regulations and will be considered an 'applicant,' meaning that the entity must meet all the eligibility requirements. An applicant may apply for more than one project within each state, however State prioritization may only award one application within that state. If a co-applicant is not listed in the application, funds may not be passed on to the entity without proper notice, bidding and procurement procedures that invite and honor fair and open competition for public dollars.
3. **AUTHORIZED OFFICIAL:** The person with proper authority to apply for and accept funding.
4. **PROJECT PRIMARY CONTACT:** Please provide the contact information to the person that will be responsible for the project after any award may be issued. This is not the contact information for a grant writer or consultant that may be assisting with this application.
5. The maximum NBRC grant award is \$250,000. Your request should not exceed this amount.
6. **WHAT LOCAL DEVELOPMENT DISTRICT IS THE ENTITY LOCATED IN:** Federal legislation states that the Northern Border Regional Commission, "shall enhance the capacity of, and provide support for, local development districts (LDD) in its region." It outlines obligations that LDDs have once they are designated. 40 U. S. C. , §15505 (c). The NBRC created a map that will provide this information in a more convenient manner. See MAP. Where there is no identified LDD and the applicant feels that they require funds to assist with administration, the applicant may administer the grant themselves, but the cost that is included in the budget must not exceed those outlined for the LDD:

Maine

Androscoggin County, Maine
Amy Landry; Business & Economic Development Specialist, Androscoggin Valley Council of Governments; 207-783-9186; alandry@avcog.org
Aroostook County, Maine
Alain Ouellette; Director of Economic & Community Development, Northern Maine Development Commission; 800-427-8736; aouellette@nmdc.org
Franklin County, Maine

Amy Landry; Business & Economic Development Specialist, Androscoggin Valley Council of Governments; 207-783-9186; alandry@avcog.org	
Hancock County, Maine	
Vicki Rusbult; Economic Development Coordinator, Eastern Maine Development Corporation; 800-339-6389; vrusbult@emdc.org	
Kennebec County, Maine	
Gail Chase, Community Development Manager, Kennebec Valley Council of Governments; 207-453-4258; gchase@kvcog.org	
Knox County, Maine	
Bill Najpauer; Director of Planning & Development, Midcoast Council of Governments; 207-370-6045; bnaipauer@mceddme.org	
Oxford County, Maine	
Brownfield, Denmark, Fryeburg, Hiram Lovell, Porter, Stoneham, Stow or Sweden	Chuck Morgan; Southern Maine Planning and Development Commission; 207-571-7065; cmorgan@smpdc.org
All other municipalities	Amy Landry; Business & Economic Development Specialist, Androscoggin Valley Council of Governments; 207-783-9186; alandry@avcog.org
Penobscot County, Maine	
Vicki Rusbult; Economic Development Coordinator, Eastern Maine Development Corporation; 800-339-6389; vrusbult@emdc.org	
Piscataquis County, Maine	
Vicki Rusbult; Economic Development Coordinator, Eastern Maine Development Corporation; 800-339-6389; vrusbult@emdc.org	
Somerset County, Maine	
Gail Chase, Community Development Manager, Kennebec Valley Council of Governments; 207-453-4258; gchase@kvcog.org	
Waldo County, Maine	
Belfast, Frankfort, Islesboro, Knox, Liberty, Monroe, Morrill, Montville, Prospect, Searsport, Stockton Springs, or Winterport,	Vicki Rusbult; Economic Development Coordinator, Eastern Maine Development Corporation; 800-339-6389; vrusbult@emdc.org
Belmont, Lincolnville, Northport, or Searsmont,	Bill Najpauer; Director of Planning & Development, Midcoast Council of Governments; 207-370-6045; bnaipauer@mceddme.org
Burnham, Freedom, Palermo, Thorndike, Troy, or Unity	Gail Chase, Community Development Manager, Kennebec Valley Council of Governments; 207-453-4258; gchase@kvcog.org

Washington County, Maine	
Alain Ouellette; Director of Economic & Community Development Northern Maine Development Commission; 800-427-8736; aouellette@nmdc.org	
New Hampshire	
Carroll County, New Hampshire	
Effingham, Freedom, Moultonborough, Ossipee, Sandwich, Tamworth, Tuftonboro or Wolfeboro	Jeff Hayes; Executive Director, Lakes Region Planning Commission; 630-279-8171; jhayes@lakesrpc.org
Bartlett, Chatham, Conway, Eaton, Hales Location, Hart's Location, Jackson or Madison	Glenn Copleman; Senior Economic Development Planner; North Country Council; 603-444-6303 gcoppelman@nccouncil.org
Brookfield or Wakefield	Cynthia Copeland; Executive Director, Strafford Regional Planning Commission; 603-994-3500; cjc@strafford.org
Coos County, New Hampshire	
Glenn Copleman; Senior Economic Development Planner; North Country Council; 603-444-6303 gcoppelman@nccouncil.org	
Grafton County, New Hampshire	
Bath, Benton, Bethlehem, Campton, Easton, Ellsworth, Franconia, Groton, Haverhill, Landaff, Lincoln, Lisbon, Littleton, Lyman, Monroe, Plymouth, Rumney, Sugar Hill, Thornton, Warren, Waterville Valley, Wentworth, Woodstock	Glenn Copleman; Senior Economic Development Planner; North Country Council; 603-444-6303 gcoppelman@nccouncil.org
Canaan, Dorchester, Enfield, Grafton, Hanover, Lebanon, Lyme, Orange, Orford, Piermont	Nate Miller; Executive Director, Upper Valley Lake Sunapee Regional Planning Commission; 603-448-1680; nmiller@uvlsrc.org
Alexandria, Ashland, Bridgewater, Bristol, Hebron, Holderness	Jeff Hayes; Executive Director, Lakes Region Planning Commission; 630-279-8171; jhayes@lakesrpc.org
Sullivan County, New Hampshire	
Nate Miller; Executive Director, Upper Valley Lake Sunapee Regional Planning Commission; 603-448-1680; nmiller@uvlsrc.org	
New York	
Cayuga County, New York	
David Bottar; Executive Director, Central New York Regional Planning and Development; 315-422-8265; mail@cnyrpd.org	
Clinton County, New York	
Water Young; Executive Director, Lake Champlain-Lake George Regional Planning Board; 518-668-5773; clgrpb@verizon.net	
Essex County, New York	

Water Young; Executive Director, Lake Champlain-Lake George Regional Planning Board; 518-668-5773; clgrpb@verizon.net
Franklin County, New York
TBD
Fulton County, New York
Sean Jordan; Executive Director, Mohawk Valley Economic Development District; sjordan@mveddd.org ; 315-866-4671
Hamilton County, New York
Water Young; Executive Director, Lake Champlain-Lake George Regional Planning Board; 518-668-5773; clgrpb@verizon.net
Herkimer County, New York
Sean Jordan; Executive Director, Mohawk Valley Economic Development District; sjordan@mveddd.org ; 315-866-4671
Jefferson County, New York
TBD
Lewis County, New York
TBD
Madison County, New York
David Bottar; Executive Director, Central New York Regional Planning and Development; 315-422-8265; mail@cnyrpdb.org
Oneida County, New York
Sean Jordan; Executive Director, Mohawk Valley Economic Development District; sjordan@mveddd.org ; 315-866-4671
Oswego County, New York
David Bottar; Executive Director, Central New York Regional Planning and Development; 315-422-8265; mail@cnyrpdb.org
St. Lawrence County, New York
TBD
Seneca County, New York
David Zorn; Executive Director, Genesee/Finger Lakes Regional Planning Council; 585-454-0190; dave.zorn@gflrpc.org
Vermont all Vermont Counties
Caledonia County, Vermont
Essex County, Vermont

Franklin County, Vermont
Grand Isle County, Vermont
Lamoille County, Vermont
Orleans County, Vermont
Catherine Dimitruk; Executive Director, Northwest Regional Planning Commission; 800-339-6389; cdimitruk@nrpcvt.com

7. **WAS THE APPLICANT REQUIRED TO SUBMIT A SINGLE AUDIT IN THE PAST 12 MONTHS?** The Office of Management and Budget (OMB) has raised the threshold for OMB A-133 compliance audits of entities that receive federal award money from \$500,000 per fiscal year to \$750,000 per fiscal year. These audits, commonly referred to as "Single Audits," require comprehensive testing of compliance and internal controls over compliance of federal programs. The new rules take effect for single audits of fiscal years beginning on or after January 1, 2015. As a result of the new rules, states, local governments, and not-for-profit entities will be required to undergo a single audit only if they spend \$750,000 or more in federal awards in a fiscal year. Keep in mind, the threshold relates to expenses, not revenues.

II. Project Information

8. **TIMELINE:** All project start dates will be October 1, 2016, unless a waiver is received from the Federal Co-Chair to begin earlier than October 1, 2016. Contact Christine Frost at 202-590-0807 if your project will necessitate this. Put the end date that you can expect your project to be completed by. The final date that all projects will need to be completed is September 31, 2019.
9. **CONGRESSIONAL DISTRICT:** If unknown, a good resource for Congressional Districts is: https://en.wikipedia.org/wiki/List_of_United_States_congressional_districts

Maine ME-02 all Counties except Knox and parts of Kennebec

Maine ME-01 Knox County and parts of Kennebec

New Hampshire NH-02 all Coos, Grafton and Sullivan Counties with the exception of the Town of Campton

New Hampshire NH-01 all of Carroll County plus the Town of Campton

New York NY-21 Clinton, Franklin, St. Lawrence, Jefferson, Hamilton, Fulton, and parts of Herkimer counties

New York NY-22 Oneida, Madison and parts of Herkimer and Oswego

New York NY-24 Cayuda and parts of Oswego

New York NY-23 Seneca

Vermont VT-00 all counties

10. **WHAT COUNTY OR COUNTIES WILL THE PROJECT TAKE PLACE IN?** It is important to include all counties that the project will take place in. This is not the location of your office, it is the location of the project.
11. **PROJECT DESCRIPTION:** In 50 words or less, describe what the project is and what it will accomplish; in a concise manner explain both the outputs that will be completed and the intended results (outcome) that are anticipated by the investment. (*e.g The Project will replace ~1.3 miles of 36" pipe with ~1.3 miles of 48" pipe along Broad Street (output) improving transmission to the Wastewater Treatment Plant in Cheshire City increasing capacity in order to allow future development and create jobs along Broad Street benefitting all of Beanbag County and extended area. (outcome)*)
12. **WHAT IS THE TYPE OF ACTIVITY THAT WILL BE IMPLEMENTED?** Note: It is important to be familiar with federal procurement procedures if you will be implementing a construction project or hiring consultants.
13. SE
14. SE
15. SE
16. SE
17. **PROJECT FOCUS:** Section I.6, of this Program Manual lists the Eligible Purposes of Northern Border Investments. Please identify one or more of the Eligible Purposes outlined and provide a narrative of how your project is consistent with the intended purposes of NBRC funding.
18. **ECONOMIC IMPACT OF THE PROJECT:** Provide justification that the outcomes anticipated by the NBRC investment will result in positive economic growth for the region, and cite what the basis is for the justification. Explain how the project may assist in any of the following:
 - create and/or retain jobs
 - raise per capita income
 - lower poverty in the region
 - lower regional unemployment

- lower regional outmigration rates

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

19. **OUTCOMES OF THE PROJECT:** Outcome measurements (often also referred to as Performance Measures) are documentable ways to assess the extent to which a program/project has achieved its intended results. List between 2 and 4 Outcome Measures that can demonstrate the impact of your investment over time. Below is a list of potential outcomes; they are meant to provide ideas, and by no means the only outcomes that may be appropriate for your application. They are examples. What is important is that the outcomes you chose are not outputs (or the items such as linear feet of pipe installed), they are results (the changes). **Note:** Make sure these are reasonable and obtainable, as the success of your project will be gaged in the future on the measurements that you choose. Please provide sources or justifications for the outcomes that you arrive at.

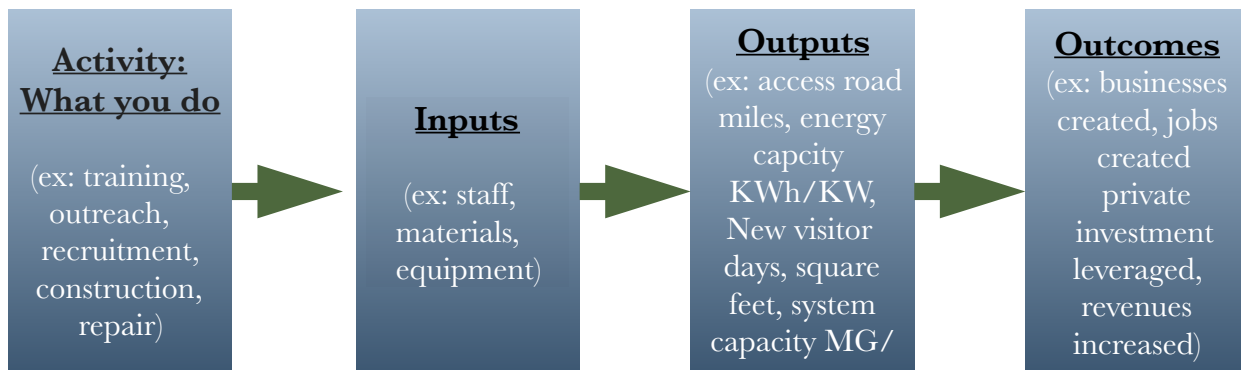
What are Outcomes and Outputs? How are they connected?

Outputs: Outputs are the activities or deliverables that will be accomplished as a result of an investment. Outputs are generally described as deliverables or milestones in a work plan or timeline. Outputs include things like the number of workers trained, square feet developed, or new day visitors to a facility. Outputs are generally accomplished during the life of the investment. Outputs are not necessarily always directly related to outcome measures.

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

Every project must have at least 2 Outcome Performance Measures.

It is expected that estimated measures are included in project applications and will be reported on in the project closeout reports. The following are examples that may be used for projects, you may come up with measures that better fit your project.



Examples:

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

Examples of Outcomes

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

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

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

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

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

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

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

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

Organizations Improved: The number of organizations with a measurable improvement as a result of an NBRC project. This number is generally the same as, or a subset of, the “organizations served” output measure.

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

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

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

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

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

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

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

Examples of some common Outputs

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

end date. Projects that expand existing programs count only the additional number of workers/trainees that the project will be able to serve.

20. **WORK PLAN:** Provide a Work Plan that lists tasks that relate to any outputs that will be completed in order to achieve the Outcome Measures outlined in #19. This does not need to be a long narrative, but should be a well thought out plan for implementing your project. The example below is a very broad outline, but provides some idea for an outline to use. Some narrative of the tasks could be helpful, project timelines are essential.

Examples:

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

21. **REGIONAL PLAN:** There may not be a specific plan to direct the applicant to. In many regions there may be a number of documents from which to draw from. What is important is that the project is consistent with regional strategies. A regional plan could be any number of documents; a Regional Plan, a Comprehensive Economic Development Strategy (CEDS), an Economic Planning document, any number of titles. What is important is that it has been developed through a broad public process, and it is supported by leaders in the region and municipal leaders are engaged in the process. NBRC does not determine which regional plan should be consulted. Rather, it is important that your project is part of a coordinated effort that helps efficient and impactful delivery of very limited public dollars. Therefore, your project should be consistent with a plan that is regional in nature and has been widely adopted by the leaders, municipal governments and general public within your area. Consult your Local Development District, found in Section II.I.6 of this document.
22. **STATE PLANNING:** How does the project fit into a statewide economic development plan? There may not be a state planning document endorsed by your state for economic development. What is important is that the project is consistent with state strategies? You may be able to reference a number of documents but the most appropriate document should be one that is supported by leaders within the state and that the plan has been created through a broad inclusive process. Consult the following Program Managers within your state if you have questions about how to reference a specific document.

Maine

Andrea K Smith

DECD – Office of Community Development, 59 State House Station, Augusta ME 04333-0059

Phone: (207) 624-9813

andrea.Smith@maine.gov

New Hampshire

Christopher Way

NH Department of Resources & Economic Development, Division of Economic Development

(603) 271-2591

christopher.way@dred.nh.gov

New York

Kyle Wilbur

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

(518) 473-3355

kyle.wilber@dos.ny.gov

Vermont

Jared Duval

Vermont Agency of Commerce & Community Development

(802) 272-2461

jared.Duval@vermont.gov

III. Project Financing

23. PROJECT FINANCIAL OVERVIEW

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

NBRC REQUESTED AMOUNT

MATCH (*this is equal the TOTAL PROJECT COST minus NBRC REQUEST*)

24. **BUDGET:** In question #12 if you checked that this is a construction project fill out the Standard Form 424C. In question #12 if you checked that this is a non-construction project fill out the Standard Form 424A.
25. **IDENTIFY MATCH:** For detail of match (cost sharing) requirements and what qualifies as match see Section I. 11 thru 15 of this Program Manual. List all funding sources, their status (has the funding been approved and/or committed, pending — and what is the notification date?), and what is the type of match (cash, loan, grant, in-kind, etc.) Include as attachments to this application any letters of commitment, approval, etc.
26. **WILL THERE BE ANY CAPITAL INVESTMENTS MADE BY PRIVATE COMPANIES?** If yes, attach participation agreements provided if available. This may not apply to your project.
27. **ADMINISTRATION:** For all projects, except State agencies; budget no more than 5% for the first \$100,000, and 1% for funds in excess of \$100,000 of the total amount of the NBRC requested amount. You will be required to use a Local Development District to administer your investment. **Include this in your budget** even if you don't currently have a relationship with an LDD. Where there is no LDD identified for your region you may either administer the grant yourself (without exceeding these same limits) or choose not to budget for this cost. If the project is non-construction and you filled out an SF424A, include this amount in line 6.f. If the project is construction and you filled out an SF422C, include this amount in line 1. (*If you have significant previous experience with administering successful EDA grants and have the capacity to undertake administration within your organization there may be an opportunity to waive this. Contact Christine Frost at 202-590-0807*)
28. **SUSTAINABILITY:** How will the investment be sustained over time? (e.g., A water infrastructure project has been completed with NBRC funding in the Town of Somewhere. The Town of Somewhere has included future maintenance and service of the facility in their budget, and has an established a Capital Improvement Program to ensure that maintenance and issues will be covered.) A project is not deemed sustainable if it dependent on future grants to meet its intended purpose.
29. **PROPERTY:** Will property or equipment be purchased with NBRC or matching funds for the project? (NOTE: an appraisal will be required prior to any land transaction taking place, signed off on by an MAI (Member Appraisal Institute) Appraiser or a Certified General Appraiser.) Property must not be in possession by the applicant prior to a Notice to Proceed. It cannot be counted as match for a project unless title transfers after a Notice to Proceed has been issued.
30. **OWNERSHIP:** Who will own any property or improvements resulting from the investment? Please provide the procedure, or instruments that will be put in place, to maintain control by the recipient. When public dollars are used to purchase any title to property or equipment, it must remain in control by the applicant; control of the property or equipment may not be transferred to another entity. Control can take the form of fee title, easement, or lease.
31. **SCOPE FLEXIBILITY:** It may be important for decision-makers to understand the impact of reductions in funding. Please provide a narrative describing how the project might be modified if you do not receive match that may be pending, or changes in the scope that may be necessary if resources are not available in full.

32. **FINANCIAL NEED:** Describe efforts to fund this project with other sources, what other sources have you applied for and what is the status? What local efforts have been made to fund the project?

IV. Other Necessary Documentation

1. STANDARD FORM 424 APPLICATION FOR FEDERAL ASSISTANCE
2. FOR NON CONSTRUCTION PROJECT (SF 424A & SF 424B) FOR CONSTRUCTION PROJECTS (SF 424C & SF 424D)
3. DISCLOSURE OF LOBBYING ACTIVITIES
4. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS
5. CERTIFICATE OF GOOD STANDING (NON-PROFIT ORGANIZATIONS)
6. IRS DETERMINATION LETTER (NON-PROFIT ORGANIZATIONS)

V. Authorization

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

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

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

Authorized official's signature date

Witness date

SECTION III - SUBMISSION INFORMATION AND INVESTMENT CONDITIONS

1. WHAT APPLICATION MATERIALS TO SUBMIT

Completed Applications will consist of the following

1. Signed copy of this Application
2. Resolution to authorize the official to make and sign this application to Northern Border Regional Commission.
3. Standard Form 424 Application for Federal Assistance
4. Budget: SF424A (for non construction projects) OR SF424C (for construction projects) Federal
5. Assurances: SF 424B (for non construction projects) OR SF 424D (for construction projects)
6. Disclosure of Lobbying Activities SF LLL
7. Certification Regarding Debarment, Suspension, and Other Responsibility Matters NBRC Form 1001
8. Any Letters of Recommendation that will enhance the Application
9. For Non-profits: A. Certificate of Good Standing and B. IRS Determination Letter

2. TIMELINE OF INVESTMENT PROGRAM

>> **Application deadline is 5pm on June 17th, 2016** <<

03/14/16 EID Investment Program Announcement, and application available on www.nbrc.gov

06/17/16 ALL applications due

07/06/16 States certify applications are complete. NBRC certifies eligibility of applications.

07/27/16 States complete scoring of applications.

08/02/16 States' Alternates and Federal Co-Chair meet to approve applications.

08/05/16 Following receipt of prioritized list, letters from Governors, notification of awarded and denied applications.

09/01/16 Awardees must return signed award and materials to NBRC.

08/30/16 Last day to receive SF207 Reimbursement request and demonstrate 75% match met for applicants that have outstanding projects prior to this round, or funds are awarded to other applicants.

9/30/17 Last day to have demonstration of, awarded and/or committed.

3. WHERE TO SUBMIT APPLICATIONS

All applications are to be submitted **by June 17, 2016** to either the following mailing address:

Applications are strongly preferred to be submitted electronically to:

upload.2016_EL.dvtbo6h9iy@u.box.com

or by US mail to:

EID Application, Northern Border Regional Commission, 53 Pleasant Street, Suite 3602, Concord, NH 03301.

4. AWARD CONDITIONS

The NBRC reserves the right to withdraw awards for projects that do not demonstrate evidence of committed and eligible matching funds by September 30, 2017.

The investment period (time that the project shall be completed) shall be October 1, 2016, to September 30, 2019, unless a waiver has been granted to begin the project prior to October 1, 2016. In the event the project may take longer to complete, the recipient shall put in writing the reason and request an extension from the Federal Co-Chair.

NBRC may require property liens when it is in the best interest of NBRC to do so.

In order to compensate the Local Development Districts (LDD) for the administrative work they perform, project administrative fees will be paid from the awarded funds. The formula for determining project administration fees is 5 percent of the first \$100,000 and 1 percent of all dollars in excess of \$100,000. By example, a \$200,000 award would include \$6,000 in LDD project administration fees, thereby making \$194,000 available for the purpose of the award.

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