

ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY
Planning and Local Technical Assistance Programs

EXECUTIVE SUMMARY

- **Federal Agency Name:** Economic Development Administration (EDA), Department of Commerce.
- **Funding Opportunity Title:** *Planning Program and Local Technical Assistance Program*—Availability of funds under the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*) (PWEDA).
- **Announcement Type and Date:** Initial FY 2011 Federal Funding Opportunity (FFO) announcement for EDA's Planning and Local Technical Assistance Programs authorized under PWEDA in anticipation of FY 2011 funding. Effective date: November 26, 2010.
- **Catalog of Federal Domestic Assistance (CFDA) Numbers:** 11.302, Economic Development—Support for Planning Organizations; 11.303, Economic Development—Technical Assistance.
- **Application Submissions:** Applications are accepted on a continuing basis and processed as received. Applications may be submitted electronically in accordance with the instructions provided at www.grants.gov or delivered via hand delivery, postal mail or courier service in paper (hard copy) format to the applicable EDA regional office listed in section VIII of this FFO.
- **Funding Opportunity Description:** Pursuant to PWEDA, EDA announces general policies and application procedures for grant-based investments under the Planning and Local Technical Assistance Programs. These programs will help communities develop the planning and technical expertise to support communities and regions in their comprehensive, entrepreneurial, and innovation-based economic development efforts. Resulting in increased private investment and higher-skill, higher-wage jobs in areas experiencing substantial and persistent economic distress, these programs are designed to enhance the competitiveness of regions.

FULL ANNOUNCEMENT TEXT

THE ECONOMIC DEVELOPMENT ADMINISTRATION'S PLANNING AND LOCAL TECHNICAL ASSISTANCE PROGRAMS

Table of Contents:

| | |
|---------------|---|
| Section I. | Funding Opportunity Description |
| Section II. | Program Information |
| Section III. | Eligibility Information |
| Section IV. | Evaluation Criteria and Application Review Procedures |
| Section V. | Application Submission Information |
| Section VI. | Award Administration Information |
| Section VII. | Other Requirements |
| Section VIII. | Agency Contacts |

I. Funding Opportunity Description

A. Agency overview

EDA's mission is to lead the Federal economic development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy. In implementing this mission pursuant to the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*) (PWEDA), EDA advances economic growth by assisting communities and regions experiencing chronic high unemployment and low per capita income to create an environment that fosters innovation, promotes entrepreneurship, and attracts increased private capital investment.

Under this FFO announcement, EDA solicits applications for the Planning and Local Technical Assistance Programs authorized under PWEDA. EDA published a separate FFO dated October 14, 2010, for its Public Works, Economic Adjustment Assistance, and Global Climate Change Mitigation Incentive Fund (GCCMIF) Programs, which can be accessed on EDA's website at <http://www.eda.gov/InvestmentsGrants/FFON.xml>.

EDA expects to post separate FFO announcements at www.grants.gov and at www.eda.gov that will set forth the specific funding priorities, application and selection processes, time frames, and evaluation criteria for the FY 2011 University Center Economic Development Program competition and for certain National Technical Assistance and Research and Evaluation projects to be funded with FY 2011 appropriations.

B. Statutory authorities for EDA's programs

The statutory authorities for the Planning and Local Technical Assistance Programs are sections 203 (42 U.S.C. § 3143) and 207 (42 U.S.C. § 3147) of PWEDA, respectively.

Unless otherwise provided in this FFO, applicant eligibility, program objectives and priorities, application procedures, evaluation criteria, selection procedures, and other requirements for the Planning and Local Technical Assistance Programs are set forth in EDA's regulations (codified at 13 C.F.R. chapter III) and the application must comply with these requirements. EDA's regulations and PWEDA are available at <http://www.eda.gov/InvestmentsGrants/Lawsreg.xml>.

II. Program Information

A. What funding is available under this announcement?

Note: As of November 26, 2010, the full amount of FY 2011 appropriations is not available and EDA is operating under the authority of the FY 2011 Continuing Resolution (Pub. L. No. 111-242, 124 Stat. 2607, September 30, 2010). The FY 2010 median award amounts are provided only for your information. The continuing resolution allocates funding based on FY 2010 funding levels, but on a pro-rated basis, until the enactment of the FY 2011 appropriations. Assuming EDA receives FY 2011 appropriations of approximately the same level as in FY 2010, the following information may prove useful for planning purposes.

In FY 2010, funding appropriated under the Consolidated Appropriations Act, 2010 (Pub. L. No. 111-117, 123 Stat. 3034 at 3114 (2009)) made \$255,000,000 available for the economic development assistance programs authorized under PWEDA: Public Works and Economic Development Facilities Program; Economic Adjustment Assistance; GCCMIF; Planning; Local Technical Assistance; University Center Economic Development Program; and Research and National Technical Assistance. EDA expects funding levels for FY 2011 to be similar to FY 2010; however the final amounts will not be known until Congress passes the FY 2011 appropriations. When the full FY 2011 appropriations become available, EDA will publish a *Federal Register* notice to announce the final FY 2011 funding levels for the Planning and Local Technical Assistance Programs. The funding periods and funding amounts referenced in this announcement are subject to the availability of funds at the time of award, as well as to Department of Commerce (DOC) and EDA priorities at the time of award. DOC and EDA will not be held responsible for application preparation and submission costs. Publication of this announcement does not obligate DOC or EDA to award any specific grant or cooperative agreement or to obligate all or any part of available funds.

The following subsections provide more information on the two programs to which this FFO applies. As noted above, specific FY 2011 funding amounts for each program will be announced separately upon availability. Please note that the approximations provided below are for informational purposes only and are not intended to restrict future awards.

1. *Planning Program: (CFDA No. 11.302; 13 C.F.R. part 303)*

EDA's Planning Program is one of six economic development assistance programs the agency operates under PWEDA. Under this program, EDA provides assistance to eligible recipients to create regional economic development plans in order to stimulate and guide the economic development efforts of a community or region. As part of this program, EDA supports

Partnership Planning investments to facilitate the development, implementation, revision, or replacement of comprehensive economic development strategies (CEDDS). EDA provides Partnership Planning grants to the designated planning organization (e.g., District Organization) serving EDA-designated Economic Development Districts (as defined in 13 C.F.R. § 300.3) throughout the Nation. These planning organizations are typically recognized by the State in which they reside as multi-jurisdictional councils of governments, regional commissions, or planning and development centers. Information on the Economic Development Districts may be found on EDA's website at http://www.eda.gov/PDF/EDD%20List_030410.pdf. Planning Partnership grants enable planning organizations to manage and coordinate the development and implementation of CEDDS to address the unique needs of their respective regions. In addition, EDA provides Partnership Planning grants to Indian Tribes to help organize and assist with the implementation of economic development activities within their areas. The majority of funding under the Planning Program is for Partnership Planning grants for Indian Tribes and EDA-designated Economic Development Districts.

The Planning Program also helps support planning organizations, including District Organizations and Indian Tribes, with Short-Term Planning and State Planning investments designed to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the Nation's most economically distressed regions. For example, EDA might provide Short-Term Planning funding to a coalition of Tribal and regional organizations to plan a coordinated response to the sudden loss of a major employer in the affected area(s).

To provide investment assistance for CEDDS and State plans as well as for Short-Term Planning activities, EDA allocated \$31,000,000 in FY 2010 for its Planning Program. Of this amount, \$28,597,033 was allocated for Partnership Planning awards that support the existing network of Economic Development Districts and \$2,402,967 for Short-Term Planning projects. The median annual grant amount for a Partnership Planning award in FY 2010 was \$61,000. The median annual grant amount for a Short-Term Planning award in FY 2010 was \$65,000.

As in FY 2010, EDA expects that the majority of FY 2011 Planning Program funds will be used to provide support to existing planning organizations, including District Organizations and Indian Tribes. Specifically, EDA anticipates funding 375 District Organizations (in connection with their respective Economic Development Districts) and 58 Indian Tribes. Some regional offices may offer three-year funding to their planning organizations, while others may offer annual funding.

2. *Local Technical Assistance (CFDA No. 11.303; 13 C.F.R. part 306, subpart A)*

The Local Technical Assistance Program helps eligible recipients fill the knowledge and information gaps that may prevent leaders in the public and nonprofit sectors in economically distressed regions from making optimal decisions on local economic development issues. For example, EDA might provide funds to help a city prepare a feasibility study regarding the use of an abandoned manufacturing facility for an activity that advances local economic development.

In FY 2010, EDA allocated \$1,362,592 to the Local Technical Assistance Program, thereby allocating approximately \$227,099 to each of EDA's six regional offices. The median size of a Local Technical Assistance grant made in FY 2010 was \$50,000.

B. What type of funding instrument will be used and how long will project periods be?

Subject to the availability of funds, EDA may enter into a grant with an eligible applicant in order to provide funding for eligible activities under this competitive solicitation. Project periods are dependent on the project scope of work, the nature of the project and the EDA program under which the grant is awarded. In general, a Planning or Local Technical Assistance investment may allow for one to three years for completion of the scope of work. EDA expects that all projects will proceed expeditiously and encourages investments with demonstrated capacity to be implemented quickly and effectively, accelerating positive economic impacts.

III. Eligibility Information

A. Who is eligible to apply for assistance under this FFO?

Pursuant to PWEDA, eligible applicants for and eligible recipients of EDA investment assistance include: (1) District Organizations; (2) Indian Tribes or a consortium of Indian Tribes; (3) States, cities or other political subdivisions of a State, including special purpose units of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions; (4) institutions of higher education or a consortium of institutions of higher education; or (5) public or private non-profit organizations or associations acting in cooperation with officials of a political subdivision of a State. *See* section 3 of PWEDA (42 U.S.C. § 3122) and 13 C.F.R. § 300.3.

EDA is not authorized to provide grants directly to individuals or to for-profit entities seeking to start or expand a private business. Such requests may be referred to State or local agencies, or to non-profit economic development organizations serving the region in which the project will be located.

B. What sort of economic distress criteria must be demonstrated?

Awards under EDA's Planning and Local Technical Assistance Programs should be designed to have positive economic development impacts within distressed regions and help communities ensure resilient economies. Applicants are responsible for defining the region that the project will assist by providing supporting statistics and other information, as appropriate. Planning awards under section 203 of PWEDA (42 U.S.C. § 3143) and 13 C.F.R. part 303 are designed to support planning organizations in developing, implementing, revising or replacing CEDS, and help to create and retain higher-skill, higher-wage jobs, particularly for the unemployed and underemployed in the Nation's most economically distressed regions. *See also* 13 C.F.R. § 303.1. Local Technical Assistance awards may help eligible recipients determine the causes of excessive unemployment, underemployment, low per capita income or outmigration; formulate and implement economic development programs to increase local or

regional capacity; or conduct project planning and feasibility studies. *See also* 13 C.F.R. § 306.1. Although meeting specific distress criteria is not a prerequisite for funding under the two programs, the economic distress level of the region impacted by a project serves as the basis for establishing the EDA share of the total cost of a project. *See* section III.C of this FFO for information on matching share requirements.

C. What is the cost sharing or matching share requirement?

Generally, the amount of the EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive an additional amount that shall not exceed 30 percent, based on the relative needs of the region in which the project will be located, as determined by EDA. *See* section 204(a) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(1). For planning assistance, the minimum EDA investment rate for projects under 13 C.F.R. part 303 is 50 percent, and the maximum allowable EDA investment rate may not exceed 80 percent. *See* 13 C.F.R. § 301.4(b)(3). As specified in section 204(c)(3) of PWEDA (42 U.S.C. § 3144) for projects under 13 C.F.R. part 306, the Assistant Secretary of Commerce for Economic Development (Assistant Secretary) has the discretion to establish a maximum EDA investment rate of up to 100 percent where the project (1) merits, and is not otherwise feasible without, an increase to the EDA investment rate; or (2) will be of no or only incidental benefit to the recipient. *See* 13 C.F.R. § 301.4(b)(4).

In the case of EDA investment assistance to a(n) (1) Indian Tribe, (2) State (or political subdivision of a State) that the Assistant Secretary determines has exhausted its effective taxing and borrowing capacity, or (3) non-profit organization that the Assistant Secretary determines has exhausted its effective borrowing capacity, the Assistant Secretary has the discretion to establish a maximum EDA investment rate of up to 100 percent of the total project cost. *See* sections 204(c)(1) and (2) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(5). Potential applicants should contact the appropriate EDA regional office to make these determinations.

In the application review process, EDA will consider the nature of the contribution (cash or in-kind) and the amount of the matching share funds. EDA will give preference to applications that include cash contributions (over in-kind contributions) as the matching share. While cash contributions are preferred, in-kind contributions, consisting of contributions of space, equipment, or services, or forgiveness or assumptions of debt, may provide the required non-Federal share of total project costs. *See* section 204(b) of PWEDA (42 U.S.C. § 3144). EDA will fairly evaluate all in-kind contributions, which must be eligible project costs and meet applicable Federal cost principles and uniform administrative requirements. Funds from other Federal financial assistance awards are considered matching share funds only if authorized by statute, which may be determined by EDA's reasonable interpretation of the statute. *See* 13 C.F.R. § 300.3. The applicant must show that the matching share is committed to the project for the full project period, will be available as needed and is not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA investment assistance. *See* 13 C.F.R. § 301.5.

D. What are the restrictions on the use of EDA funds?

1. *Regulations, administrative requirements, and cost principles*

Specific regulations, administrative requirements, and cost principles govern the use of EDA funds. The general and administrative requirements for EDA awards are set forth in 13 C.F.R. parts 300–302. Specific application and award requirements for the Planning and Local Technical Assistance Programs are provided in 13 C.F.R. part 303 and subpart A of 13 C.F.R. part 306, respectively. EDA funds may not be used directly or indirectly to reimburse any attorneys’ or consultants’ fees incurred in connection with obtaining investment assistance pursuant to this competitive solicitation. See 13 C.F.R. § 302.10.

The uniform administrative requirements for DOC grants and cooperative agreements are codified at 15 C.F.R. parts 14 and 24, as applicable. For EDA’s purposes, 15 C.F.R. part 14 governs awards made to institutions of higher education and non-profit organizations, and 15 C.F.R. part 24 governs awards made to States and local governments. Funds awarded cannot necessarily pay for all the costs that a recipient may incur in the course of carrying out a project. Allowable costs under an EDA award are determined in accord with the following regulations (incorporated by reference at 15 C.F.R. parts 14 and 24): (a) 2 C.F.R. part 220, “*Cost Principles for Educational Institutions (OMB Circular A-21)*”; (b) 2 C.F.R. part 225, “*Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)*”; (c) 2 C.F.R. part 230, “*Cost Principles for Nonprofit Organizations (OMB Circular A-122)*”; and (d) Federal Acquisition Regulation Subpart 31.2, “*Contracts with Commercial Organizations,*” codified at 48 C.F.R. § 31.2. Applicable administrative requirements and Federal cost principles are incorporated by reference into the terms and conditions of each EDA award. Generally, costs that are allowable include salaries, supplies, and other expenses that are reasonable and allocable to the award.

2. *Nonrelocation*

Applicants are advised that should an application be selected for award, the recipient will be required to adhere to the following special award condition relating to EDA’s nonrelocation policy:

In signing this award of financial assistance, Recipient(s) attests that EDA funding is not intended by the Recipient to assist its efforts to induce the relocation of existing jobs within the U.S. that are located outside of its jurisdiction to within its jurisdiction in competition with other U.S. jurisdictions for those same jobs. In the event that EDA determines that its assistance was used for those purposes, EDA retains the right to pursue appropriate enforcement action in accord with the Standard Terms and Conditions of the Award, including suspension of disbursements and termination of the award for convenience or cause, which may include the establishment of a debt requiring the Recipient to reimburse EDA.

For purposes of ensuring that EDA assistance will not be used to merely transfer jobs from one location in the United States to another, the applicant must inform EDA of all employers that constitute primary beneficiaries of the project assisted by EDA. EDA will

consider an employer to be a “primary beneficiary” if the applicant estimates that such employer will create or save 100 or more permanent jobs as a result of the investment assistance, provided that such employer also is specifically named in the application as benefiting from the project, or is or will be located in an EDA-assisted building, port, facility, or industrial, commercial, or business park constructed or improved in whole or in part with investment assistance prior to EDA’s final disbursement of funds. In smaller communities, EDA may extend this policy to the relocation of 50 or more jobs.

IV. Evaluation Criteria and Application Review Procedures

A. What are EDA’s evaluation criteria?

For EDA’s discretionary grant programs under this competitive solicitation, namely, Short-Term Planning and Local Technical Assistance, EDA will evaluate applications based on their ability to satisfy the investment policy guidelines identified in this section, with each criterion assigned the weight indicated. These evaluation criteria may be found on EDA’s website at <http://www.eda.gov/InvestmentsGrants/InvestmentPriorities.xml>, and applicants are encouraged to review these priorities as they develop their projects.

1. National Strategic Priorities (30%)

EDA seeks to fund applications that encourage job growth and business expansion, as well as promoting one or more of the following initiatives:

- Technology-led economic development,
- Support to small- and medium-sized businesses,
- Global competitiveness and innovation,
- Responses to economic dislocation because of auto industry restructuring or natural disasters,
- Commercialization of research, and/or
- Environmentally sustainable development.

2. Economically Distressed and Underserved Communities (25%)

EDA seeks to fund applications that strengthen communities that have suffered disproportionate economic and job losses or long-term severe economic distress, and/or are rebuilding to become more competitive in the global economy.

3. Return on Investment (25%)

EDA seeks to fund applications that demonstrate a high return on EDA’s investment by demonstrating that the project will be likely to stimulate economic development by demonstrating a high probability of leading to actionable projects or identifying specific benchmarks that will measure progress towards outputs.

4. *Collaborative Regional Innovation (10%)*

EDA seeks to fund applications that support the development and growth of innovation clusters based on existing regional competitive strengths, which may be demonstrated by the extent to which an investment will:

- Promote collaboration among multi-jurisdictional leadership,
- Link and leverage regional assets, and
- Implement or build upon effective planning efforts.

5. *Public/Private Partnerships (10%)*

EDA seeks to fund applications that use public and private sector resources, and/or leverage complementary investments by other government/public entities and/or non-profits.

B. What are EDA's review and selection procedures?

Application packages submitted under this FFO for the Short-Term Planning and Local Technical Assistance Programs will be circulated by a project officer within the applicable EDA regional office for review. After the necessary input and information are obtained, the application is considered by the regional office's Investment Review Committee (IRC), which is comprised of at least three members of regional office staff. The IRC discusses the application (1) using the evaluation criteria set out in section IV.A of this FFO; and (2) to determine if it meets the program-specific award and application requirements provided in 13 C.F.R. § 303.3 for Planning awards and 13 C.F.R. § 306.2 for Local Technical Assistance awards, as applicable. For the award process concerning Planning Partnership grants, please see section VI.A of this FFO.

The IRC recommends to the Regional Director whether an application merits further consideration, documenting its recommendation. For quality control assurance, EDA Headquarters reviews the IRC's analysis of the project's ability to fulfill the investment policy guidelines set out in section IV.A of this FFO. After receiving quality control clearance, the Selecting Official, who is the Regional Director, considers the evaluations provided by the IRC and also takes into account the degree to which the applications are responsive to one or more of the selection factors provided below when deciding which applications to fund.

1. A determination that the application better meets the overall objectives of section 2 of PWEDA (42 U.S.C. § 3121);
2. Relative economic distress of the applicant;
3. Financial or management capability of the applicant;
4. Availability of program funding;
5. Geographic balance in distribution of program funds;
6. Balance of diverse project types in the distribution of program funds;
7. Balanced funding for a diverse group of organizations, to include smaller and rural organizations, which may form part of a broader consortium to serve diverse populations and areas within the regional office's territory;

8. The applicant's performance under previous Federal financial assistance awards;
9. A determination that a project is more likely to create jobs in a shorter timeframe; or
10. Whether the project will enable BRAC-impacted communities to transition from a military to civilian economy and otherwise respond to economic impacts.

The Regional Director's final decision must be consistent with EDA's and the U.S. Department of Commerce's policies. Any time the Regional Director makes a selection that differs from the IRC's recommendations, the Regional Director will document the rationale for the decision in writing.

V. Application Submission Information

A. Required forms and documentation for a complete application

Important: The applicant is advised to read carefully the instructions contained in this FFO and in all forms contained in the application package. Please refer to important information in section V.D of this FFO titled "Application submission requirements" to help ensure your application is received by EDA. *It is the sole responsibility of the applicant to ensure that a complete application package is received by EDA.*

The applicant must complete and submit the *Application for Investment Assistance* (Form ED-900), and additional Federal grant assistance forms listed below as part of a complete application package. The following forms are required for a complete application package:

1. Form ED-900 (*Application for Investment Assistance*). One form per project is required.
2. One Form SF-424 (*Application for Federal Assistance*) from each co-applicant, as applicable.
3. Form SF-424A (*Budget Information—Non-Construction Programs*). One form per project is required.
4. One Form SF-424B (*Assurances—Non-Construction Programs*) from each co-applicant, as applicable.
5. One Form CD-511 (*Certification Regarding Lobbying*) from each co-applicant, as applicable.

In addition, applicants may be required to provide certain lobbying information using Form SF-LLL (*Disclosure of Lobbying Activities*) and to submit to a background screening using Form CD-346. Form ED-900 provides detailed guidance to help the applicant assess whether Form SF-LLL is required and how to access it. Please note that, if applicable, one Form SF-LLL must be submitted for each co-applicant that has used or plans to use non-federal funds for lobbying in connection with this competitive solicitation. All key individuals of non-profit applicants and applicants that are first-time recipients of EDA or DOC funding are required to provide required individual background screening forms (Form CD-346) for a complete application, but please note that EDA may require other applicants to submit Form CD-346 to comply with DOC requirements. EDA will inform applicants if this is required. Form CD-346

may be accessed at

http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/dev01_002454.pdf.

B. Content and structure of Form ED-900

Form ED-900 is divided into lettered sections that correspond to specific EDA program components that address EDA's statutory and regulatory requirements. The form details the sections and exhibits that must be completed based on program type. Because this announcement seeks Planning and Local Technical Assistance applications only, an applicant needs to complete those sections of Form ED-900 identified in the table below. Complete instructions are included within Form ED-900.

| EDA Program | Required Form ED-900 Sections |
|----------------------------|--|
| Partnership Planning | Complete Sections A, C, E, and F and Exhibit C. |
| Short-Term Planning | Complete Sections A, C, E, and G and Exhibit C. |
| State Planning | Complete Sections A, C, E, G, and H and Exhibit C. |
| Local Technical Assistance | Complete Sections A, C, E, and I and Exhibit C. |

To limit the burden on the applicant, EDA requests additional documentation only if EDA determines that the applicant's project merits further consideration. The Form ED-900 provides detailed guidance on documentation, information, and other materials that will be requested if, and only if, EDA selects the project for further consideration. EDA will timely inform the applicant if its application has been selected for further consideration or if the application has not been selected for funding.

C. How to obtain an application package

The applicant may obtain the application package electronically at www.grants.gov. All components of the application package may be accessed and downloaded (in a screen-fillable format) at http://www.grants.gov/applicants/apply_for_grants.jsp. The preferred electronic file format for attachments is portable document format (PDF); however, EDA will accept electronic files in Microsoft Word, WordPerfect, or Microsoft Excel. The applicant must complete the www.grants.gov registration process in order to submit an application through www.grants.gov; however, please note that registration is not required for an applicant to access, view, or download the application.

Alternatively, an applicant eligible for assistance under this announcement may request a paper (hard copy) application package by contacting the applicable EDA regional office listed in section VIII of this FFO. See section V.D of this FFO for electronic and paper submission requirements.

D. Application submission requirements

Under this announcement, EDA's regional offices will accept applications on an ongoing basis. An application received after the date of this announcement will be processed in accordance with the requirements set forth herein until the next annual FFO for EDA's Planning and Local Technical Assistance Programs is posted on www.grants.gov and the related notice and request for applications is published in the *Federal Register*. The content of applications is the same for paper submissions as it is for electronic submissions. EDA will not accept facsimile or email transmissions of applications.

Please note that all applicants, whether choosing to apply electronically via www.grants.gov or submit a paper (hardcopy) application, must apply for and maintain a current Central Contractor Registration (CCR) database registration. See section VII.C of this FFO.

1. *Electronic Submissions*

EDA strongly encourages electronic submissions of applications through www.grants.gov. Applications **must** be successfully validated and time-stamped by www.grants.gov.

Registration requirement. In order to submit an application through www.grants.gov, an applicant first must register for a www.grants.gov user ID and password. This process can take between three to five business days or as long as four weeks if all steps are not completed correctly. EDA strongly recommends that applicants register, review the application instructions, and apply as early as possible. Information about the registration process can be found at http://grants.gov/applicants/organization_registration.jsp.

AOR requirement. Applicants must register as organizations, not as individuals. As part of the registration process, you will register at least one Authorized Organizational Representative (AOR) for your organization. AORs registered at www.grants.gov are the only officials with the authority to submit applications at www.grants.gov, so please ensure that your organization's application is submitted by an AOR. If the application is submitted by anyone other than your organization's AOR, it will be rejected by the www.grants.gov system and cannot be considered by EDA. Note that a given organization may designate multiple individuals as AORs for www.grants.gov purposes.

Once an applicant is registered correctly, the following instructions provide step-by-step instructions for accessing, completing and submitting an application via www.grants.gov. Please also read the instructions posted at www.grants.gov.

- a. Navigate to www.grants.gov.
- b. Select "Apply for Grants" from the left-hand menu on www.grants.gov.
- c. Ensure that you have installed Adobe Acrobat Reader 8.1.3 on your computer as other versions of Adobe Acrobat Reader may cause errors, whether those versions are older or newer.
- d. Select the link "Download a Grant Application" package.

- e. Enter “EDA11242010PAT” as the Funding Opportunity Number and click on [Download Package].
- f. Click on the “download” link under “Instructions and Applications” for the instructions and application specific to the type of project and applicable EDA program (Planning and Local Technical Assistance) under which you are applying.
- g. A new window should pop up. In the new window, click on “Download Application Instructions.” Click on “Download Application Package” when you are ready to begin the application.
- h. Save the applicable application package to your computer or network drive. Note that the package file can be shared among multiple users; however, each user must have Adobe Acrobat Reader 8.1.3 installed in order to save changes to the application package.
- i. Click on each of the documents in the “Mandatory Documents” box and, after selecting each one, click on the arrow to move these into the “Mandatory Documents for Submission” box.
- j. In the “Optional Documents” box, click on Form SF-LLL if non-Federal funds have been or are planned to be used for lobbying in connection with this competitive solicitation and then move this to the “Optional Documents for Submission” box.
- k. If you will be submitting your application via www.grants.gov, also click on “Attachments” and move this to the “Optional Documents for Submission” box. The Attachments form allows applicants to attach any documents required as attachments under this competitive solicitation, such as a CEDS or letters of support. In addition, if co-applicants are involved, multiple required standard forms for each co-applicant, for example, Form SF-424, can be saved and uploaded via the Attachments.
- l. The application package should pre-populate with all selected forms embedded. Complete all mandatory fields (highlighted in yellow) on the forms. Note that mandatory fields will vary based on the type of applicant and the type of assistance sought. On Form CD-511, type “not awarded yet” in the “project number” field.
Save the application package at regular intervals to avoid losing work.
- m. Attach any required attachments. The preferred file format for attachments is portable document format (PDF); however, EDA will accept electronic files in Microsoft Word, WordPerfect, or Excel formats.
- n. When all mandatory fields have been completed, scroll to the top and click on [Check Package for Errors].
- o. Click [Save].
- p. Click [Save and Submit]. At this point the applicant’s AOR must be connected to the Internet and will be asked to enter his or her www.grants.gov user id and password. As noted above, an AOR must submit the application in order for it to be validated by www.grants.gov and received by EDA.

Once an application is submitted, it undergoes a validation process through www.grants.gov in which the application may be accepted or rejected by the system. The process may take 24 to 48 hours to complete. Additionally, once an application is submitted, www.grants.gov may notify the applicant that the application contains an error. In this case, the applicant must correct the error before the system will accept and validate the application and it

can be received by EDA. EDA will consider the date and time stamp on the validation generated by www.grants.gov as the official submission time.

Verify submission was successful. Applicants should save and print written proof of an electronic submission made at www.grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. Since email communication can be unreliable, applicants must proactively check on the status of their application if they do not receive email notifications within a day of submission. The first email should confirm receipt of the application, and the second should indicate that the application has either been successfully validated by the system before transmission to EDA or has been rejected due to errors. ***Please note that it can take up to two business days after www.grants.gov receives an application for applicants to receive email notification of an error.*** An applicant will receive a third email once EDA has retrieved an application.

Applicants should refrain from submitting multiple copies of the same application package. Applicants should save and print both the confirmation screen provided on the www.grants.gov website after the applicant has submitted an application, and the confirmation email sent by www.grants.gov when the application has been successfully received and validated in the system. If an applicant receives an email from www.grants.gov indicating that the application was received and subsequently validated, but does not receive an email from www.grants.gov indicating that EDA has retrieved the application package within 72 hours of that email, the applicant may contact the applicable regional office listed in section VIII. of this announcement to inquire if EDA is in receipt of the submission.

It is the applicant's responsibility to verify that its submission was received and validated successfully at www.grants.gov. To see the date and time your application was received, log on to www.grants.gov and click on the "Track My Application" link from the left-hand menu. For a successful submission, the application must be received and validated by www.grants.gov, and an agency tracking number assigned. If your application has a status of "Received" it is awaiting validation by www.grants.gov. Once validation is complete, the status will change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons www.grants.gov may reject an application can be found at http://www.grants.gov/applicants/submit_application_faqs.jsp. For more detailed information on why an application may be rejected, please access <http://www.grants.gov/section910/ApplicationErrorTips.pdf>.

Systems issues. If you experience a www.grants.gov "systems issue" (technical problems or glitches with the www.grants.gov website) that you believe threatens your ability to complete a submission, please (a) print any error message received; and (b) call the www.grants.gov Contact Center at 1-800-518-4726 for immediate assistance. Ensure that you obtain a case number regarding your communications with www.grants.gov. ***Please note:*** problems with an applicant organization's computer system or equipment are not considered "systems issues." Similarly, an applicant's failure to (a) complete the registration, (b) ensure that an AOR submits the application, or (c) notice receipt of an email message from www.grants.gov, are not considered systems issues. A www.grants.gov "systems issue" is an issue occurring in connection with the operations of www.grants.gov itself, such as the temporary loss of service by

www.grants.gov due to unexpected volume of traffic or failure of information technology systems, both of which are highly unlikely.

Applicants should access the following link for assistance in navigating www.grants.gov and for a list of useful resources: <http://www.grants.gov/help/help.jsp>. Also, the following link lists frequently asked questions (FAQs): <http://www.grants.gov/applicants/resources.jsp#faqs>. If you do not find an answer to your question under the “Applicant FAQs,” try consulting the “Applicant User Guide” or contacting www.grants.gov via email at support@grants.gov or telephone at 1-800-518-4726. The www.grants.gov Contact Center is open 24 hours a day, seven days a week.

2. *Paper Submissions*

An applicant has the option of submitting a completed paper (hard copy) application via hand delivery, postal mail or courier service to the applicable regional office listed in section VIII of this FFO.

The applicant must submit one original and two copies of the complete application package via hand delivery, postal mail or courier service (with a postmark or the courier service’s delivery time and date stamp) to the applicable regional office, unless otherwise directed by EDA staff. DOC mail security measures may delay receipt of United States Postal Service mail for up to two weeks. Therefore, applicants that choose to submit paper submissions are advised to use guaranteed overnight delivery services.

VI. Award Administration Information

A. How will EDA notify applicants?

Applicants for Short-Term Planning assistance or Local Technical Assistance will be notified if their applications are recommended for funding. For Economic Development District Partnership Planning applicants, EDA will continue to handle the award process in accord with current practice. Potential Economic Development District Partnership Planning applicants should contact the applicable EDA regional office for instructions.

If an application is selected for funding and the applicant successfully completes all due diligence requirements, the EDA Grants Officer will issue the grant award (Form CD-450), which is the authorizing financial assistance award document. By signing Form CD-450, the recipient agrees to comply with all award provisions. EDA will provide Form CD-450 by mail or overnight delivery to the appropriate business office of the recipient’s organization. The recipient must sign and return the Form CD-450 without modification within 30 days of receipt.

EDA will notify unsuccessful applicants and retain unsuccessful applications in the applicable regional office in accordance with EDA’s record retention schedule. If an applicant is awarded funding, neither DOC nor EDA is under any obligation to provide any additional future funding in connection with that award or to make any future award(s). Amendment or renewal

of an award to increase funding or to extend the period of performance is at the discretion of the DOC and of EDA.

B. What type of reports are recipients responsible for submitting?

All recipients are required to submit financial and performance (technical) reports in accordance with the terms and conditions of the grant award. All financial reports must be submitted to the EDA Program Officer, preferably in electronic format.

C. Information disclosure

EDA is responsible for meeting its Freedom of Information Act (FOIA) (5 U.S.C. § 552) responsibilities for its records. DOC regulations at 15 C.F.R. part 4 set forth the requirements and procedures that EDA must follow in order to make requested material, information, and records publicly available. Unless prohibited by law and to the extent required under the FOIA, contents of applications and other information submitted by applicants may be released in response to a FOIA request. Applicants should be aware that EDA may make certain application information publicly available. Accordingly, the applicant should notify EDA if it believes any application information to be confidential.

VII. Other Requirements

A. Intergovernmental review

EDA applications for funding are subject to the requirements of Executive Order 12372, “*Intergovernmental Review of Federal Programs.*” To find out more about a State’s process under Executive Order 12372, applicants may contact their State’s Single Point of Contact (SPOC). Names and addresses of some States’ SPOCs are listed on the Office of Management and Budget’s (OMB) home page at www.whitehouse.gov/omb/grants/spoc.html.

B. OMB Circular A-133 audit requirements

Single or program-specific audits shall be performed in accordance with the requirements contained in OMB Circular A-133, “*Audits of States, Local Governments, and Non-Profit Organizations,*” and the related *Compliance Supplement*. OMB Circular A-133 requires any non-Federal entity (i.e., non-profit organizations, including non-profit institutions of higher education and hospitals, States, local governments and Indian tribes) that expends Federal awards of \$500,000 or more in the recipient’s fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the Circular.

The applicant is reminded that EDA or the DOC’s Office of Inspector General also may conduct an audit of an award at any time.

C. Financial assistance use of universal identifier and Central Contractor Registration, and the Federal Funding Accountability and Transparency Act of 2006

1. *DUNS Numbers and CCR Registration*

All applicants for Federal financial assistance are required to obtain a universal identifier in the form of Dun and Bradstreet Data Universal Numbering System (DUNS) numbers and maintain a current registration in the Central Contractor Registration (CCR) database. Per the requirements of 2 C.F.R. part 25, each applicant must:

- a. Be registered in the CCR before submitting an application (*see also* section V.D of this FFO);
- b. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by an agency; and
- c. Provide its DUNS number in each application or plan it submits to the agency.

Please also see the *Federal Register* notice published on September 14, 2010, at 75 FR 55671.

2. *Federal Funding Accountability and Transparency Act of 2006*

In accord with 2 C.F.R. part 170, all recipients of a Federal award made on or after October 1, 2010, are required to comply with reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282). In general, all recipients are responsible for reporting subawards of \$25,000 or more. In addition, recipients that meet certain criteria are responsible for reporting executive compensation. Applicants must ensure they have the necessary processes and systems in place to comply with the reporting requirements should they receive funding. Please see also the *Federal Register* notice published September 14, 2010, at 75 FR 55663.

D. Administrative and national policy requirements

Administrative and national policy requirements for all Department of Commerce awards are contained in the *Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements*, published in the *Federal Register* on February 11, 2008 (73 FR 7696).

VIII. Agency Contacts

This competitive solicitation is for EDA's Planning and Local Technical Assistance Programs only. For more information on these programs, you may contact the appropriate regional office or Economic Development Representative listed below. EDA's website at www.eda.gov contains additional information on EDA and its programs.

H. Philip Paradice, Jr., Regional Director, Atlanta Regional Office, 401 West Peachtree Street, NW, Suite 1820, Atlanta, Georgia 30308-3510, Telephone: (404) 730-3002, Fax: (404) 730-3025, Internet Address: pparadice@eda.doc.gov

Economic Development Representatives or Regional Office

Contacts:

States covered:

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| Area Directors: | States covered: |
|--|---|
| FRERKING, Sharon T..... Austin Regional Office 504 Lavaca, Suite 1100 Austin, Texas 78701-2858 Telephone: (512) 381-8176 Internet Address: sfrerking@eda.doc.gov | Arkansas, Texas (North), New Mexico, Oklahoma. |
| AYALA, Jorge..... Austin Regional Office 504 Lavaca, Suite 1100 Austin, Texas 78701-2858 Telephone: (512) 381-8150 Internet Address: jayala@eda.doc.gov | Louisiana, Texas (South). |

C. Robert Sawyer, Regional Director, Chicago Regional Office, 111 North Canal Street, Suite 855, Chicago, IL 60606, Telephone: (312) 353-7706, Fax: (312) 353-8575, Internet Address: rsawyer@eda.doc.gov

| Economic Development Representatives or Regional Office Contacts: | States covered: |
|---|-------------------------|
| JOHNSON, Ean..... Chicago Regional Office 111 North Canal Street, Suite 855 Chicago, IL 60606 Telephone: (312) 353-7148, ext. 128 Internet Address: ejohnson@eda.doc.gov | Illinois. |
| SHIREY, Lee..... Chicago Regional Office 111 North Canal Street, Suite 855 Chicago, IL 60606 Telephone: (312) 353-7148, ext. 156 Internet Address: lshirey@eda.doc.gov | Indiana, Ohio. |
| FOLDENAUER, Dennis..... Chicago Regional Office 111 North Canal Street, Suite 855 Chicago, IL 60606 Telephone: (312) 353-7148, ext. 139 Internet Address: dfoldenauer@eda.doc.gov | Michigan, Wisconsin. |
| O'LEARY, John..... 45 South Seventh Street, Suite 2220 | Minnesota. |

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Economic Development Representatives or Regional Office

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Economic Development Representatives or Regional Office

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