



**ECONOMIC DEVELOPMENT ADMINISTRATION**

**PRE-APPLICATION  
 FOR INVESTMENT ASSISTANCE**

The Economic Development Administration (EDA) uses the Pre-application for Investment Assistance (pre-application) to evaluate proposals for investment assistance under EDA's economic development assistance programs. If an investment proposal meets EDA's statutory, regulatory, and competitive selection criteria, the proponent may be invited by EDA to submit an Application for Investment Assistance (Form ED-900A). Please visit our Internet website at [www.eda.gov](http://www.eda.gov) for more information on EDA's programs and requirements, including current Federal Funding Opportunity (FFO) announcements.

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**Pre-application for Investment Assistance (Form ED-900P)**  
**OMB Control No. 0610-0094**  
**Expires 04/30/2009**

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

The information requested in the Pre-application for Investment Assistance is required to obtain or retain benefits from EDA pursuant to the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3121 *et seq.*). The reasons for collecting this information are to enable proponents to submit proposals for financial assistance, and to assist EDA in determining proponents' eligibility and compliance with legal and programmatic requirements. The information submitted on the pre-application and in accompanying documents is subject to public disclosure under the Freedom of Information Act, as amended (5 U.S.C. 552), unless exempt from disclosure as trade secrets or privileged or confidential commercial or financial information under 5 U.S.C. 552(b)(4).

The public reporting burden for this collection of information is estimated to average 8 hours per response, including time for reviewing instructions, gathering data, and completing the pre-application. Comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing paperwork burden may be sent to: Economic Development Administration, U.S. Department of Commerce, 1401 Constitution Avenue, N.W., Washington, D.C. 20230, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

# I. PROPOSALS FOR EDA INVESTMENT ASSISTANCE

## A. General Instructions

Please answer all questions completely and accurately and provide a concise narrative statement for the each of the questions below (in the order listed). The pre-application narrative need not exceed four (4) pages in length. Proponents should consult EDA's program requirements and evaluation criteria set forth in 13 C.F.R. chapter III, as supplemented by the applicable FFO announcement, when completing the pre-application. Proponents are encouraged to contact an EDA representative for assistance in completing this pre-application. Preparation of a pre-application may involve coordination with other local, State and federal agencies.

One (1) original and two (2) copies of the entire pre-application (including all forms and attachments) must be submitted to the appropriate Economic Development Representative (EDR) or EDA regional office servicing your region, as listed in the FFO.

Public Works and Economic Development and Economic Adjustment Assistance projects must satisfy regional eligibility requirements (see 13 C.F.R. § 301.3); if applicable, complete Part II (Regional Eligibility) of the pre-application. All proponents must complete Part III (Maximum Allowable EDA Investment Rates) of the pre-application.

## B. Investment (Project) Region

1. Identify the region (as defined in 13 C.F.R. § 300.3) where the project will be located and where the benefits of the EDA investment will be received.
2. Provide a detailed description of the region, including information about the project's expected economic impact.

## C. Investment (Project) Description

1. Provide a detailed description of the complete scope of work for the proposed investment.
2. Describe the components of the proposed investment. For construction investments, attach an original or clear copy of a U.S. Geological Survey (USGS) topographic map clearly showing the geographical location of the project.

**D. Economic Development Needs**

1. Briefly describe the economic development needs for the proposed investment and how it addresses the goals and objectives of the Comprehensive Economic Development Strategy (CEDs) for the region (if any). See 13 C.F.R. part 303.
2. Briefly describe the economic conditions of the region where the project will be located, the economic adjustment problems, or the severity of the economic dislocation the region has experienced (or is about to experience) and how the economic development of the region that is being (or will be) affected.

**E. Investment (Project) Impact**

Discuss how the proposed investment satisfies EDA's "Investment Policy Guidelines" set forth in 13 C.F.R. § 301.8 (as supplemented by the applicable FFO announcement).

**F. Funding Priorities**

Discuss how the proposed investment satisfies the EDA funding priorities set forth in the applicable FFO announcement.

**G. Proponent's Capability**

Briefly describe the proponent's capability to administer, implement, and attract private sector investments to the project.

**H. Proposed Time Schedule for the Project**

Provide a proposed time schedule for completion of the project, including when (month/year) the project will begin and end and identify significant project milestones.

**I. Project Beneficiaries**

Identify private sector employers who will benefit from the project, and attach letters of commitment, if available.

Company	Products and Services	Jobs Saved	Jobs Created	Private Sector Investment Capital	Indicate Committed or Interest Only

**J. Civil Rights**

1. Does the proponent understand and agree to comply with all applicable civil rights requirements (see 13 C.F.R. § 302.20), including the requirement to provide signed assurances of compliance?

Yes       No (Explain)

2. Do identified "Other Parties" (as defined in 13 C.F.R. § 302.20(b)) understand and agree to comply with all applicable civil rights requirements, including the requirement to provide signed assurances of compliance?

Yes       No (Explain)       No Other Parties Identified

**K. Proposed Project Budget**

Estimated Construction Project Budget		Estimated Non-Construction Project Budget	
Administrative Expenses	\$ <input type="text"/>	Personnel	\$ <input type="text"/>
Land, Structures, Rights of Way, Easements	\$ <input type="text"/>	Fringe Benefits	\$ <input type="text"/>
Relocation and Costs Incidental to Acquisition	\$ <input type="text"/>	Travel	\$ <input type="text"/>
Architectural and Engineering Costs and Inspection Fees	\$ <input type="text"/>	Equipment	\$ <input type="text"/>
Site Work	\$ <input type="text"/>	Supplies	\$ <input type="text"/>
Construction and Demolition	\$ <input type="text"/>	Contractual	\$ <input type="text"/>
Equipment	\$ <input type="text"/>	Other	\$ <input type="text"/>
Contingencies	\$ <input type="text"/>	Total Direct Charges	\$ <input type="text"/>
		Indirect Charges	\$ <input type="text"/>
<b>Total Estimated Project Cost</b>	\$ <input type="text"/>	<b>Total Estimated Project Cost</b>	\$ <input type="text"/>

## L. Non-EDA Project Funding

1. Identify each source, nature and amount of all non-EDA funds, including in-kind contributions (as defined in 13 C.F.R. § 300.3). Explain the status of all funding commitments, including the date the funds will be available from each source, and describe any conditions or restrictions on the use of such funds.

2. Are all non-EDA funds committed to the project, available as needed and not encumbered in any way that would preclude their use consistent with the purpose of the project? See 13 C.F.R. § 301.5.

Yes             No

3. Discuss the actions that need to be taken and the timing required to secure the non-EDA funds.

4. Does the proponent plan to seek other federal financial assistance as part of or in connection with this project? If so, please describe the source, amount and any terms and conditions of the funding, and when the funding will be available for use by the proponent.

Yes             No

5. Is the requested EDA investment assistance available from any other federal economic development program?

Yes (identify source and provide an explanation of why EDA investment assistance is required)

No

**Proponents must also complete Part III of the pre-application.**

**M. Title, Ownership, Operation, Maintenance and Management (Construction Projects)**

1. Briefly describe plans for the ownership, operation, maintenance and management of project facilities, including any land, improved land, structures, appurtenances thereto, other improvements, or personal property.

2. Will real property or project facilities to be acquired or improved with the EDA investment assistance be owned, operated or maintained by an entity other than the proponent?  
See 13 C.F.R. § 314.7.

Yes (explain)    No

3. Will real property or project facilities to be acquired or improved with the EDA investment assistance, including any industrial or commercial park acreage, be mortgaged or used as collateral or is any real property to be used for this project currently mortgaged or being used for collateral? See 13 C.F.R. § 314.6.

Yes (explain)    No

4. Will the proponent provide EDA a security interest and/or covenant of use in the real property or significant items of tangible personal property acquired or improved with EDA investment assistance? See 13 C.F.R. § 314.9.

Yes    No (explain)

5. If the EDA investment assistance will be used to develop or improve an industrial or commercial park, identify the owners of the park acreage and provide an estimate of the number of acres benefiting from the proposed investment.

6. Discuss plans for the sale or lease of any real property or project facilities to be acquired or improved with EDA investment assistance. For privately-owned land, is the private owner of the vacant acreage willing to enter into an agreement to limit the sale price of the improved land, for a reasonable period of time, to its fair market value before improvements?

Yes (explain)    No

7. Is (or was) any real property to be acquired or improved with the proposed EDA investment assistance subject to eminent domain proceedings?

Yes (explain)    No

## N. Environmental (Construction Projects)

1. Provide a brief physical description of the project site noting topography, vegetation, water bodies, and location and condition of any man-made structures or buildings. If available, provide a Geographic Information System (GIS) analysis of the sensitive environmental areas, including contaminated sites, archeological sites, properties or sites listed on the National Register of Historic Places, and wetlands, that are within a two-mile radius of the project site.

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

Yes (explain)                                      No                                        Not Applicable

3. Will the project be located in or adjacent to an area with known hazardous or toxic contamination?

Yes (explain)                                      No                                        Not Applicable

4. Will there be any toxic or hazardous waste, or asbestos associated with this project?

Yes (explain)                                      No                                        Not Applicable

5. Will the project impact any archeological sites, buildings or structures older than 50 years, or any properties listed or eligible for listing on the National Register of Historic Places?

Yes (explain)                                      No                                        Not Applicable

6. Will this project result in any other adverse environmental impacts which could affect endangered or threatened species, scenic rivers, or other sensitive ecological habitats?

Yes (explain)                                      No                                        Not Applicable

7. Has an environmental impact statement or other similar analysis been completed for this proposed project or for other activities in the region?

Yes (explain)                                      No                                        Not Applicable



## PART II - REGIONAL ELIGIBILITY

Public Works and Economic Development and Economic Adjustment Assistance projects must satisfy regional eligibility requirements (see 13 C.F.R. § 301.3). The below questions will assist EDA in determining whether the proposed project satisfies these requirements.

Please answer all questions completely and accurately and attach explanations and supporting documentation where applicable.

1. **General:** Identify the region in which the project is located (attach additional sheets as necessary):
2. **Economic Distress Levels:** Check all that apply below in establishing regional eligibility (see 13 C.F.R. § 301.3(a)(1):
  - A.  **Unemployment:** The project is located in a region which has an unemployment rate that is, for the most recent 24-month period for which data are available, at least one (1) percent greater than the national average unemployment rate.
  - B.  **Per capita income:** The project is located in a region which has a per capita income that is, for the most recent period for which data are available, eighty (80) percent or less of the national average per capita income.
  - C.  **Special need:** The project is located in a region which has experienced or is about to experience a "Special Need" (as defined in 13 C.F.R. § 300.3) arising from actual or threatened severe unemployment or economic adjustment problems resulting from severe short-term or long-term changes in economic conditions, including:
    - Substantial out-migration or population loss;
    - Underemployment; that is, employment of workers at less than full-time or at less skilled tasks than their training or abilities permit;
    - Military base closure or realignment, defense contractor reductions-in-force, or U.S. Department of Energy defense-related funding reductions;
    - Natural or other major disasters or emergencies;
    - Extraordinary depletion of natural resources;
    - Closing or restructuring of an industrial firm or loss or other major employer;
    - Negative effects of changing trade patterns; or
    - Other circumstances set forth in an FFO (describe need).
3. **Substantial Direct Benefit:** A project located within an Economic Development District, which is located in a region that is not subject to the economic distress levels set forth in question 2 above, is also eligible for EDA investment assistance if EDA determines that the project will be of "substantial direct benefit" to a geographical area within the Economic Development District that is subject to the economic distress levels set forth in question 2. above. For this purpose, a project provides a "substantial direct benefit" if it provides significant employment opportunities for unemployed, underemployed, or low-income residents of the geographical area within the Economic Development District. If applicable, identify the Economic Development District in which the proposed project will be located and explain how the proposed project will provide a substantial direct benefit to a geographical area within the Economic Development District that is subject to the economic distress levels set forth in question 2. above.  
See 13 C.F.R. § 301.3(a)(2).

Yes (explain)

Not applicable

**4. The project region is other than one defined by political boundaries:** A project located in a geographical area of poverty or high unemployment that is subject to the economic distress levels set forth in question 2. above, but which is located in a region that overall is not subject to the economic distress levels set forth in question 2. above, is eligible for investment assistance without regard to political or other subdivisions or boundaries. If applicable, provide a description of the project region and documentation to show that the: (a) region is of sufficient size appropriate for the proposed project, and (b) project boundaries for regional eligibility are consistent with the anticipated project benefits to the region. See 13 C.F.R. § 301.3(a)(3).

Yes (explain)

Not applicable

**5. Source of data provided for regional eligibility determination:** Check the source of data used by the proponent to determine regional eligibility and provide an explanation and copy of such data. The explanation must: (i) identify the data used (e.g., American Community Survey (ACS)); (ii) if the data used is other than the ACS, explain why ACS was not used; and (iii) if the data used is other than federal data, explain why federal data was not used and identify the source of the non-federal data. The source of the data must satisfy the requirements of 13 C.F.R. § 301.3(a)(4).

The most recent American Community Survey (ACS) data published by the U.S. Census Bureau.

The most recent other federal data for the region in which the project is located (e.g., U.S. Census Bureau and the Bureaus of Economic Analysis, Labor Statistics, Indian Affairs).

Data available through the State government for the region in which the project is located.

Other data to substantiate regional eligibility based on a Special Need.

## PART III - MAXIMUM ALLOWABLE EDA INVESTMENT RATES

EDA investment assistance may not exceed fifty (50) percent of total eligible project costs, except as determined by EDA in accordance with 13 C.F.R. § 301.4. If your proposal requests EDA investment assistance that exceeds fifty (50) percent of total eligible project costs as shown in the pre-application or application budget, then you may be asked to provide additional information concerning the relative economic development needs of the region, in accordance with EDA's regulations. Follow the instructions below as they apply to your particular project (see the table of maximum allowable investment rates on the following page).

**A. For Public Works and Economic Development Investments (CFDA No. 11.300) and for Economic Adjustment Assistance Investments (CFDA No. 11.307),** see 13 C.F.R. § 301.4 for maximum allowable investment rates. Enter below the provision and maximum allowable investment rate that apply to the proposed project.

- The proposed project meets the criteria set forth in 13 C.F.R. § 301.4(b) subsection  for a maximum allowable investment rate of  percent.
- Additional information to justify a maximum allowable investment rate greater than fifty (50) percent is attached (if applicable) as **Exhibit III.A**.
- Additional information to justify EDA investment assistance as supplemental assistance to another designated federal assistance program grant award is attached (if applicable). See 13 C.F.R. § 301.6.

**B. For Planning Investments (CFDA No. 11.302), National, Local and University Center Technical Assistance Investments (CFDA No. 11.303), and for Research and Evaluation Investments (CFDA No. 11.312),** attach as **Exhibit III.A** a narrative to justify EDA investment assistance that exceeds fifty (50) percent of total eligible project costs. See 13 C.F.R. § 301.4(b)(3) for planning investments and 13 C.F.R. § 301.4(b)(4) for technical assistance and research and evaluation investments.

**PART III (Continued) -  
TABLE OF MAXIMUM ALLOWABLE INVESTMENT RATES**

Type of Project	Maximum Allowable Investment Rate (Percentage)
Projects of Indian Tribes.	100
Projects under 13 C.F.R. part 307 located in Presidentially-Declared Disaster areas for which EDA receives an application for investment assistance for post-disaster economic recovery efforts pursuant to a supplemental appropriation within eighteen (18) months of the date of such declaration.	100
Projects of States or political subdivisions of States that the Assistant Secretary determines have exhausted their effective taxing and borrowing capacity, or Projects of non-profit organizations that the Assistant Secretary determines have exhausted their effective borrowing capacity.	100
Projects under 13 C.F.R. parts 305 or 307 that receive performance awards pursuant to 13 C.F.R. § 308.2.	100
Projects located in an Economic Development District that receive planning performance awards pursuant to 13 C.F.R. § 308.3.	100
Projects located in regions in which: The twenty-four (24) month unemployment rate is at least 225% of the national average; or The per capita income is not more than 50% of the national average.	80
Projects located in regions in which: The twenty-four (24) month unemployment rate is at least 200% of the national average; or The per capita income is not more than 60% of the national average.	70
Projects located in regions in which: The twenty-four (24) month unemployment rate is at least 175% of the national average; or The per capita income is not more than 65% of the national average.	60
Projects located in regions in which: The twenty-four (24) month unemployment rate is at least 1% greater than the national average; or The per capita income is not more than 80% of the national average.	50