

# United States Department of Agriculture Rural Development

## Rural Energy for America Program

### Full Grant Application Template

**The full grant application template** – on the following pages – provides access to fillable forms and a framework of divider pages to organize the grant application for submission to USDA-Rural Development. Please tab the divider pages as indicated.

**Other** tools are available on the MA/CT/RI Rural Development Business and Cooperative Program website at: [\\_www.rurdev.usda.gov/ma](http://www.rurdev.usda.gov/ma) click on energy program, then click on final regulation grant information.

**Separate** applications must be submitted for renewable energy system and energy efficiency improvement projects. Applicants may only submit **one** application **for each type** of project per fiscal year. Only one type of funding application (grant-only, guaranteed loan-only, or guaranteed loan/grant combination) for each project can be submitted under this subpart per Federal fiscal year.

**An original and 1 copy** of the application must be submitted to the

The Area Office where the proposed project is located.  
Please see office address below  
<http://www.rurdev.usda.gov/MAStaffMain.html>

An alternative location the application can be submitted to is:  
MA Rural Development State Office  
Att: Business-Cooperative Programs  
451 West St. Suite 2  
Amherst, MA 01002

This template is designed for training and does not replace the 4280-B regulation Interim Rule published 4-14-11.

1. CT Rural Development, Attn: Dave Brown 100 Northfield Dr. Floor Windsor, CT 06095  
(All counties in CT must submit their application to the Windsor, CT office)
2. Rural Development, Attn: Jim Lavin, 52 Boyden Rd, Holden, MA 01520  
(Berkshire, Franklin, Hampden, Hampshire, Essex, Middlesex, Suffolk, Worcester Counties)
3. Rural Development, Attn: Anne Correia, 15 Cranberry Highway, West Wareham, MA 02576  
(All of Rhode Island & Plymouth, Norfolk, Bristol, Barnstable, Dukes, & Nantucket Counties)

**USDA-Rural Development**  
**Rural Energy for America Program**

**Full Grant Application**

**Title of Project:** \_\_\_\_\_

**Submitted by**

**Applicant Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_

**County:** \_\_\_\_\_

**State:** \_\_\_\_\_

**Zip code:** \_\_\_\_\_

**Phone #:** \_\_\_\_\_

**E-mail:** \_\_\_\_\_

**Fax:** \_\_\_\_\_

**Choose one:**

**A Renewable Energy Systems Project**

**or**

**An Energy Efficiency Improvements Project**

**\$ \_\_\_\_\_ Grant Request**

Combo/Grant Writer Name

Phone #

E-mail

**Date Submitted to RD \_\_\_\_\_**

## Table of Contents

**4280.116 (b) (2) A detailed table of contents** in the order presented below with clear pagination and chapter identification. The table of contents will include page numbers for each component of the proposal. Begin pagination immediately following the Table of Contents.

	<b>Application Components</b>	<b>Tab</b>
I.	Title Page	
II.	Table of Contents	
III.	Project specific forms A. SF 424 – Application – Federal Catalog # is 10.868 B. SF 424 C – Budget C. SF 424 D – Assurances D. 1940-20 “Request for Environmental Information” and attachments	A
IV.	Certifications A. AD 1049 B. AD 1048 C. Exh. A-1, 1940-Q – only required for grants requests exceeding \$100,000 D. Form SF-LLL E. AD 1047 F. 400-1 G. 400-4	B
V.	Legal organizational documents (including any contracts with investors)	C
VI.	Project Summary A. Title of Project B. Applicant eligibility C. Project Eligibility D. Operation Description E. Financial Information for Size Determination	D
VII.	Financial Information A. 3 year historical income statement and balance sheet B. Current year income statement and balance sheet – no older than 90 days C. Start up year + 3 years pro forma income statement, balance sheet, and cash flow	E
VIII.	Matching Funds Documentation	F
IX.	Self Evaluation Score Documentation is tabbed to match the scoring criteria numbering.	G
X.	Energy Audit (if project is an energy efficiency project)	H
XI.	Technical Report	I
XII.	Feasibility Study (if project is a renewable energy project)	J

**Tab A – Full Grant**  
**Total Eligible Costs Exceed \$200,000**  
 Divider Page

Federal Tax ID #		
DUNS # <i>To get a DUNS number, call 1-800-234-3867 or go to <a href="http://www.dunandbradstreet.com/US/duns_update/index.html">www.dunandbradstreet.com/US/duns_update/index.html</a></i>		
Central Contractor Registration (CAGE #) Register your DUNS number with CCR at: <a href="https://www.sam.gov">https://www.sam.gov</a> .		
<b>Project Specific Forms 4280.116(b)(1)(i)A,B,C,D</b> These forms can be found on the following website at: <a href="http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home?">http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home?</a> <i>Insert the forms immediately after this divider page.</i>		
SF 424 – Application for Federal Assistance		<input type="checkbox"/>
SF 424C – Budget Information <i>A more detailed budget breakdown is required in the Technical Report</i>		<input type="checkbox"/>
SF 424D – Assurances		<input type="checkbox"/>
1940-20 – Request for Environmental Information – and documentation <i>Complete the first page of 1940-20 and sign it. Consult with the Rural Development Area Office Specialist if you have questions regarding documentation needed.</i>		<input type="checkbox"/>
<b>Examples of projects:</b>	<b>Documentation:</b>	
<b><u>Categorical Exclusion Environmental Assessment</u></b> --Crop drying equipment --Efficiency Improvements to a facility or process to reduce energy consumption (lights, HVAC, freezers, coolers, etc) --Solar voltaic roof mounted systems	--legal description of site where project will be located if applicable --statement of project – who wants to do what, where, when, and how --Site photo --map or aerial photo with the project identified --If Cat Ex (as described to left) complete 1st page of 1940-20 only	
<b><u>Class I Environmental Assessment</u></b> --Solar thermal - Small ponds/receivers --Small wind turbines less than 100 kW and hub height less than 120' --Ground Mount Solar voltaic systems.	--In addition to the first page of the 1940-20 - Answer questions 1,2,13,15,16,17 – attach third party documents as appropriate & provide legal description --Site photos --Discussion of alternative sites considered <u>From NRCS office</u> --USGS topographical map --Aerial ortho photo – identify exactly where project will be located <u>If wind project:</u> --Photos in all 4 directions from the turbine site. --Schematic of where electrical line to be located	
<b><u>Class II Environmental Assessment</u></b> --Solar thermal-Large ponds/receivers --Large Wind turbines – greater than 100 kW --Anaerobic digesters --Large biomass such as ethanol, biodiesel	--all of above.	

Please note that for energy efficiency improvements, if the proposed improvement has a greater capacity than the existing equipment, the Agency will pro-rate the energy efficiency improvement's total eligible project costs based on the capacity of the existing equipment. Calculation: existing capacity / proposed capacity = % of the energy efficiency improvement's eligible project costs.

<b>Application for Federal Assistance SF-424</b>		Version 02
*1. Type of Submission  <input type="checkbox"/> Preapplication  <input type="checkbox"/> Application  <input type="checkbox"/> Changed/Corrected Application	*2. Type of Application  <input type="checkbox"/> New  <input type="checkbox"/> Continuation  <input type="checkbox"/> Revision	*If Revision, select appropriate letter(s):  * Other (Specify)
*3. Date Received:		4. Application Identifier:
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:
<b>State Use Only:</b>		
6. Date Received by State:		7. State Application Identifier:
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name:		
* b. Employer/Taxpayer Identification Number (EIN/TIN):		*c. Organizational DUNS:
<b>d. Address:</b>		
*Street 1: Street 2: *City: County: *State: Province: Country: <span style="float: right;">*Zip/ Postal Code:</span>		
<b>e. Organizational Unit:</b>		
Department Name:		Division Name:
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix: <span style="float: right;">First Name:</span> Middle Name:		
*Last Name: Suffix:		
Title:		
Organizational Affiliation:		
*Telephone Number:		Fax Number:
*Email:		

**Application for Federal Assistance SF-424**

Version 02

9. Type of Applicant 1: Select Applicant Type: - Select One -

Type of Applicant 2: Select Applicant Type:  
- Select One -

Type of Applicant 3: Select Applicant Type:  
- Select One -

\*Other (specify):

\*10. Name of Federal Agency:  
**USDA - Rural Development**

11. Catalog of Federal Domestic Assistance Number:

**10.868**

CFDA Title:

**Renewable Energy America Program-REAP**

\*12. Funding Opportunity Number: **RDBCP-12-01**

\*Title: **REAP**

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

\*15. Descriptive Title of Applicant's Project:

**Attach supporting documents as specified in agency instructions.**

**Application for Federal Assistance SF-424**

Version 02

16. Congressional Districts Of:

\*a. Applicant

\*b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\*a. Start Date:

\*b. End Date:

**18. Estimated Funding (\$):**

\*a. Federal

\*b. Applicant

\*c. State

\*d. Local

\*e. Other

\*f. Program Income

\*g. TOTAL \$0.00

**\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372

\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

Yes  No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\*I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: \*First Name: ghjghhjghjg

Middle Name:

\*Last Name:

Suffix:

\*Title:

\*Telephone Number:

Fax Number:

\*Email:

\*Signature of Authorized Representative:

Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\*Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.



**BUDGET INFORMATION - Construction Programs**

*NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.*

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ .00	\$ .00	\$ 0.00
2. Land, structures, rights-of-way, appraisals, etc.	\$ .00	\$ .00	\$ 0.00
3. Relocation expenses and payments	\$ .00	\$ .00	\$ 0.00
4. Architectural and engineering fees	\$ .00	\$ .00	\$ 0.00
5. Other architectural and engineering fees	\$ .00	\$ .00	\$ 0.00
6. Project inspection fees	\$ .00	\$ .00	\$ 0.00
7. Site work	\$ .00	\$ .00	\$ 0.00
8. Demolition and removal	\$ .00	\$ .00	\$ 0.00
9. Construction	\$ .00	\$ .00	\$ 0.00
10. Equipment	\$ .00	\$ .00	\$ 0.00
11. Miscellaneous	\$ .00	\$ .00	\$ 0.00
12. SUBTOTAL (sum of lines 1-11)	\$ 0.00	\$ 0.00	\$ 0.00
13. Contingencies	\$ .00	\$ .00	\$ 0.00
14. SUBTOTAL	\$ 0.00	\$ 0.00	\$ 0.00
15. Project (program) income	\$ .00	\$ .00	\$ 0.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 0.00	\$ 0.00	\$ 0.00
<b>FEDERAL FUNDING</b>			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X _____%		\$ 0.00

## INSTRUCTIONS FOR THE SF-424C

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0041), Washington, DC 20503.

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

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal Government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount, there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions, please contact the Federal agency.

*Column a.* - If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATION."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

*Column b.* - If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

*Column.* - This is the net of lines 1 through 16 in columns "a." and "b."

---

Line 1 - Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2 - Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3 - Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4 - Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5 - Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6 - Enter estimated engineering inspection costs.

Line 7 - Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9 - Enter estimated cost of the construction contract.

Line 10 - Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11 - Enter estimated miscellaneous costs.

Line 12 - Total of items 1 through 11.

Line 13 - Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14 - Enter the total of lines 12 and 13.

Line 15 - Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16 - Subtract line 15 from line 14.

Line 17 - This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

**ASSURANCES - CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

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

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

**INSTRUCTIONS FOR THE SF-424**

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration  B. Decrease Award                      E. Other (specify)  C. Increase Duration</p>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<b>Congressional Districts Of:</b> 15a. (Required) Enter the applicant's congressional district. 15b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
	<b>d. Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.

	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.</p>	21.	<p><b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)</p>																								
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.</p>																										
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="162 331 808 963"> <tr> <td data-bbox="162 331 487 359">A. State Government</td> <td data-bbox="487 331 808 359">M. Nonprofit</td> </tr> <tr> <td data-bbox="162 359 487 386">B. County Government</td> <td data-bbox="487 359 808 386">N. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="162 386 487 430">C. City or Township Government</td> <td data-bbox="487 386 808 430">O. Individual</td> </tr> <tr> <td data-bbox="162 430 487 474">D. Special District Government</td> <td data-bbox="487 430 808 474">P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="162 474 487 501">E. Regional Organization</td> <td data-bbox="487 474 808 501">Q. Small Business</td> </tr> <tr> <td data-bbox="162 501 487 546">F. U.S. Territory or Possession</td> <td data-bbox="487 501 808 546">R. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="162 546 487 590">G. Independent School District</td> <td data-bbox="487 546 808 590">S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="162 590 487 634">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="487 590 808 634">T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="162 634 487 678">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="487 634 808 678">U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="162 678 487 722">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="487 678 808 722">V. Non-US Entity</td> </tr> <tr> <td data-bbox="162 722 487 766">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="487 722 808 766">W. Other (specify)</td> </tr> <tr> <td data-bbox="162 766 487 810">L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
A. State Government	M. Nonprofit																										
B. County Government	N. Private Institution of Higher Education																										
C. City or Township Government	O. Individual																										
D. Special District Government	P. For-Profit Organization (Other than Small Business)																										
E. Regional Organization	Q. Small Business																										
F. U.S. Territory or Possession	R. Hispanic-serving Institution																										
G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)																										
H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)																										
I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions																										
J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity																										
K. Indian/Native American Tribally Designated Organization	W. Other (specify)																										
L. Public/Indian Housing Authority																											

**REQUEST FOR ENVIRONMENTAL INFORMATION**

Name of Project

Location

**Item 1a.** Has a Federal, State, or Local Environmental Impact Statement or Analysis been prepared for this project?

Yes  No  Copy attached as EXHIBIT I-A.

**1b.** If "No," provide the information requested in Instructions as EXHIBIT I.

**Item 2.** The State Historic Preservation Officer (SHPO) has been provided a detailed project description and has been requested to submit comments to the appropriate Rural Development Office.  Yes  No Date description submitted to SHPO \_\_\_\_\_

**Item 3.** Are any of the following land uses or environmental resources either to be affected by the proposal or located within or adjacent to the project site(s)? (Check appropriate box for every item of the following checklist).

	Yes	No	Unknown		Yes	No	Unknown
1. Industrial.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	19. Dunes.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Commercial.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20. Estuary.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Residential.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	21. Wetlands.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Agricultural.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	22. Floodplain.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Grazing.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	23. Wilderness..... (designated or proposed under the Wilderness Act)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Mining, Quarrying.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	24. Wild or Scenic River..... (proposed or designated under the Wild and Scenic Rivers Act)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Forests.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	25. Historical, Archeological Sites..... (Listed on the National Register of Historic Places or which may be eligible for listing)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Recreational.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	26. Critical Habitats..... (endangered/threatened species)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Transportation.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	27. Wildlife.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Parks.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	28. Air Quality.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Hospital.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	29. Solid Waste Management.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Schools.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30. Energy Supplies.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Open spaces.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	31. Natural Landmark..... (Listed on National Registry of Natural Landmarks)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Aquifer Recharge Area.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	32. Coastal Barrier Resources System....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Steep Slopes.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
16. Wildlife Refuge.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
17. Shoreline.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
18. Beaches.....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

**Item 4.** Are any facilities under your ownership, lease, or supervision to be utilized in the accomplishment of this project, either listed or under consideration for listing on the Environmental Protection Agency's List of Violating Facilities?  Yes  No

\_\_\_\_\_

(Date)

Signed: \_\_\_\_\_

(Applicant)

\_\_\_\_\_

(Title)

**Supplemental Environmental Information**  
(to accompany Form 1940-20, Request for Environmental Information)

*(Note: This information is only needed for projects involving construction.)*

Federal agencies are required by law to independently assess the expected environmental impacts associated with proposed Federal actions. It is extremely important that the information provided be in sufficient detail to permit Rural Development to perform its evaluation. Failure to provide sufficient data will delay agency review and a decision on the processing of your application.

This information request is designed to obtain an understanding of the area's present environmental condition and the project's elements that will affect the environment. Should you believe that an item does not need to be addressed for your project, consult with the RD office from which you received this form before responding. In all cases when it is believed that an item is not applicable, explain the reasons for this belief.

It is important to understand the comprehensive nature of the information requested. Information must be provided for (a) the site(s) where the project facilities will be construction and the surrounding areas to be directly and indirectly affected by its operation and (b) the areas affected by any primary beneficiaries of the project. The amount of detail should be commensurate with the complexity and size of the project, and the magnitude of the expected impact.

Name of Applicant:	
Name of Project:	
Project Location:	
<b>1. Primary Beneficiaries.</b> Identify any businesses or major developments that will benefit from the proposal, and those which will expand or locate in the area because of the project.	
<b>2. Area Description.</b>	
A. Describe the size, terrain, and present land uses as well as the adjacent land uses of the areas to be affected. These areas include the site(s) of construction or project activities, adjacent area, and areas affected by the primary beneficiaries.	
B. For each box checked "Yes" in item 3 of Form RD 1940-20, describe the nature of the effect on the resource	
C. Attach a detailed street map or topographic map showing the location of the project.	
<input type="checkbox"/> attached	
D. Attach a plot plan that clearly delineates the location of the project elements.	



attached

E. Provide photos of the site to be developed, including any structures now on the site, and photos of surrounding area. Digital photos sent via e-mail are strongly encouraged

attached/sent

### 3. Historic/Archaeological Properties

A. Describe any structures that are 50 or more years old on the site and on contiguous parcels. (Be sure to provide photos of these structures.) Discuss any proposed activity that will affect these structures.

B. Indicate whether the project is located in the vicinity of a historical district.

C. Identify any known historic/archaeological resources within the project area that are either listed on the National Register of Historic Places or considered to be of local and state significant and perhaps eligible for listing in the National Register.

D. If available, attach any historical/archaeological survey that has been conducted for the project area.

no survey has been done and one is not planned

survey is pending and should be available

attached

### 4. Public Reaction

A. Describe any objections which have been made to the project.

B. If a public hearing has been held, attach a copy of any transcript or resolution. If not, certify that a hearing was not held.

attached

C. Indicate any other evidence of the community's awareness of the project such as through newspaper articles or public information.

**5. Mitigation Measures.** Describe any measures which will be taken to avoid or mitigate any adverse environmental impacts associated with the project.

**6. Permits**

A. Indicate any current zoning restrictions and the project's consistency with local land use plans.

B. Identify any permits which are needed for the project. Identify any city or county planning department that has jurisdiction over your project – i.e., from which a permit must be obtained. Provide the name and phone number of the contact person there.

Permit Type	Agency	Contact Person	Contact Phone

C. Indicate the status of obtaining each such permit and attach any that have been received.

attached

**7. Other Federal Actions.** Identify other federal programs or actions which are either related to this project or located in the same geographical area and for which you are filing an application, have recently received approval, or have in the planning stages.

## Tab B

Divider Page

### Certifications 4280.116 (b) (1) (ii)

<p>These forms can be found on the following website at:  <a href="http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home?">http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home?</a>  <i>Insert the forms immediately after this divider page.</i></p>	<p><i>Please indicate:</i>  <b>X</b> (enclosed) or  <b>NA</b> (not applicable)</p>
<b>AD 1049</b> Certification Regarding Drug Free Workplace Requirements (Grants) Alternative 1 – “For Grantees other than Individuals.”	<input type="checkbox"/>
<b>AD 1048</b> Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tiered Covered Transactions	<input type="checkbox"/>
<b>Exhibit A-1 of 1940-Q</b> Certification for Contracts, Grants and Loans - if the grant exceeds \$100,000.	<input type="checkbox"/>
<b>Form SF-LLL</b> Disclosure of Lobbying Activities, must be completed if the applicant or borrower has made or agreed to make payment using funds other than Federal appropriated funds to influence or attempt to influence a decision in connection with the application.	<input type="checkbox"/>
<b>AD 1047</b> Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions	<input type="checkbox"/>
<b>Form 400-1</b> Equal Opportunity Agreement	<input type="checkbox"/>
<b>Form 400-4</b> Assurance Agreement	<input type="checkbox"/>

AD 3030 Form – Felony Conviction & Tax delinquent status certification

## U.S. DEPARTMENT OF AGRICULTURE

**CERTIFICATION REGARDING  
DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS)  
ALTERNATIVE I - FOR GRANTEEES OTHER THAN INDIVIDUALS**

This certification is required by the regulations implementing Sections 5151-5160, of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), 7 CFR Part 3017, Subpart F, Section 3017.600, Purpose. The January 31, 1989, regulations were amended and published as Part II of the MAY 25, 1990, Federal Register (pages 21681-21691). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the grant.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

Alternative I

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (b) Establishing an ongoing drug-free awareness program to inform employees about --
    - (1) The dangers of drug abuse in the workplace;
    - (2) The grantee's policy of maintaining a drug-free workplace;
    - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a):
  - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
    - (1) Abide by the terms of the statement; and
    - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
  - (e) Notify the agency in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position, title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
    - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
    - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

[Redacted area for Place of Performance]

Check  if there are workplaces on file that are not identified here.

[Redacted area for Organization Name]

REAP Renewable Energy for America Program

Organization Name

Award Number or Project Name

[Redacted area for Name and Title of Authorized Representative]

Name and Title of Authorized Representative

[Redacted area for Signature]

Signature

Date

**Instructions for Certification**

1. By signing and submitting this form, the grantee is providing the certification set out on pages 1 and 2.
2. The certification set out on pages 1 and 2 is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If know, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

``Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

``Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

``Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

``Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) all ``direct charge" employees; (ii) all ``indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if sued to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

*U. S. DEPARTMENT OF AGRICULTURE*  
*Certification Regarding Debarment, Suspension, Ineligibility*  
*and Voluntary Exclusion - Lower Tier Covered Transactions*

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, *Federal Register* (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

*(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTION(S) ON REVERSE.)*

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
  
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

<i>ORGANIZATION NAME</i> [Redacted]	<i>PR/AWARD NUMBER OR PROJECT NAME</i> REAP - Renewable Energy America Program
<i>NAME(S) AND TITLE(S) OF AUTHORIZED REPRESENTATIVE</i> [Redacted]	
<i>SIGNATURE(S)</i> [Redacted]	<i>DATE</i> [Redacted]

*INSTRUCTIONS FOR CERTIFICATION*

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.







## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLLA Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLLA Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

**U.S. DEPARTMENT OF AGRICULTURE**

---

**Certification Regarding Debarment, Suspension, and Other  
Responsibility Matters - Primary Covered Transactions**

---

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
  
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

<hr/> <div style="background-color: yellow; height: 20px; width: 100%;"></div> <hr/>	<p align="center">REAP</p> <hr/>
Organization Name	PR/Award Number or Project Name
<hr/> <div style="background-color: yellow; height: 20px; width: 100%;"></div> <hr/>	
Name(s) and Title(s) of Authorized Representative(s)	
<hr/> <div style="background-color: yellow; height: 20px; width: 100%;"></div> <hr/>	<hr/> <div style="background-color: yellow; height: 20px; width: 100%;"></div> <hr/>
Signature(s)	Date

### **Instructions for Certification**

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**EQUAL OPPORTUNITY AGREEMENT**

This agreement, dated \_\_\_\_\_ between \_\_\_\_\_

(herein called "Recipient" whether one or more) and United States Department of Agriculture (USDA), pursuant to the rules and regulations of the Secretary of Labor (herein called the 'Secretary') issued under the authority of Executive Order 11246 as amended, witnesseth:

In consideration of financial assistance (whether by a loan, grant, loan guaranty, or other form of financial assistance) made or to be made by the USDA to Recipient, Recipient hereby agrees, if the cash cost of construction work performed by Recipient or a construction contract financed with such financial assistance exceeds \$10,000 - unless exempted by rules, regulations or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965.

1. To incorporate or cause to be incorporated into any contract for construction work, or modification thereof, subject to the relevant rules, regulations, and orders of the Secretary or of any prior authority that remain in effect, which is paid for in whole or in part with the aid of such financial assistance, the following "Equal Opportunity Clause":

During the performance of this contract, the contractor agrees as follows:

- (a) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited, to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the USDA setting forth the provisions of this nondiscrimination clause.
- (b) The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.
- (c) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the USDA, advising the said labor union or workers' representative of the contractor's commitments under this agreement and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- (d) The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of all rules, regulations and relevant orders of the Secretary of Labor.
- (e) The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, rules, regulations, and orders, or pursuant thereto, and will permit access to his books, records, and accounts by the USDA Civil Rights Office, and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- (f) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be cancelled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order No. 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order No. 11246 of September 24, 1965, or by rule, regulation or order of the Secretary of Labor, or as otherwise provided by Law.
- (g) The contractor will include the provisions of paragraph 1 and paragraph (a) through (f) in every subcontract or purchase order, unless exempted by the rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 of Executive Order No. 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the USDA may direct as a means of enforcing such provisions, including sanctions for noncompliance: Provided, however, that in the event the contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the USDA, the contractor may request the United States to enter into such litigation to protect the interest of the United States.

*According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collections is 0575-0018. The time required to complete this information collection is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.*

2. To be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: Provided, that if the organization so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the contract.

3. To notify all prospective contractors to file the required 'Compliance Statement', Form RD 400-6, with their bids.

4. Form AD-425, Instructions to Contractors, will accompany the notice of award of the contract. Bid conditions for all nonexempt federal and federally assisted construction contracts require inclusion of the appropriate "Hometown" or "Imposed" plan affirmative action and equal employment opportunity requirements. All bidders must comply with the bid conditions contained in the invitation to be considered responsible bidders and hence eligible for the award.

5. To assist and cooperate actively with USDA and the Secretary in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary, that it will furnish USDA and the Secretary such information such as, but not limited to, Form AD 560, Certification of Nonsegregated Facilities, to submit the Monthly Employment Utilization Report, Form CC-257, as they may require for the supervision of such compliance, and that it will otherwise assist USDA in the discharge of USDA's primary responsibility for securing compliance.

6. To refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a contractor debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive Order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon contractors and subcontractors by USDA or the Secretary of Labor pursuant to Part II, Subpart D, of the Executive Order.

7. That if the recipient fails or refuses to comply with these undertakings, the USDA may take any or all of the following actions: Cancel, terminate, or suspend in whole or in part this grant (contract, loan, insurance, guarantee); refrain from extending any further assistance to the organization under the program with respect to which the failure or refund occurred until satisfactory assurance of future compliance has been received from such organization; and refer the case to the Department of Justice for appropriate legal proceedings.

Signed by the Recipient on the date first written above.

\_\_\_\_\_

Recipient

(CORPORATE SEAL)

Attest:

\_\_\_\_\_

Secretary

\_\_\_\_\_

Recipient

\_\_\_\_\_

Name of Corporate Recipient

By \_\_\_\_\_

Title

USDA  
Form RD 400-4  
(Rev. 3-97)

**ASSURANCE AGREEMENT**  
(Under Title VI, Civil Rights Act of 1964)

FORM APPROVED  
OMB No. 0575-0018

The \_\_\_\_\_  
(name of recipient)

\_\_\_\_\_  
(address)

("Recipient" herein) hereby assures the U. S. Department of Agriculture that Recipient is in compliance with and will continue to comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d et. seq.), 7 CFR Part 15, and Rural Housing Service, Rural Business-Cooperative Service, Rural Utilities Service, or the Farm Service Agency, (hereafter known as the " Agency") regulations promulgated thereunder, 7 C.F.R. §1901.202. In accordance with that Act and the regulations referred to above, Recipient agrees that in connection with any program or activity for which Recipient receives Federal financial assistance (as such term is defined in 7 C.F.R. §14.2) no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination.

1. Recipient agrees that any transfer of any aided facility, other than personal property, by sale, lease or other conveyance of contract, shall be, and shall be made expressly, subject to the obligations of this agreement and transferee's assumption thereof.
2. Recipient shall:
  - (a) Keep such records and submit to the Government such timely, complete, and accurate information as the Government may determine to be necessary to ascertain our/my compliance with this agreement and the regulations.
  - (b) Permit access by authorized employees of the Agency or the U.S. Department of Agriculture during normal business hours to such books, records, accounts and other sources of information and its facilities as may be pertinent to ascertaining such compliance.
  - (c) Make available to users, participants, beneficiaries and other interested persons such information regarding the provisions of this agreement and the regulations, and in such manner as the Agency or the U.S. Department of Agriculture finds necessary to inform such persons of the protection assured them against discrimination.
3. The obligations of this agreement shall continue:
  - (a) As to any real property, including any structure, acquired or improved with the aid of the Federal financial assistance, so long as such real property is used for the purpose for which the Federal financial assistance is made or for another purpose which affords similar services or benefits, or for as long as the Recipient retains ownership or possession of the property, whichever is longer.
  - (b) As to any personal property acquired or improved with the aid of the Federal financial assistance, so long as Recipient retains ownership or possession of the property.
  - (c) As to any other aided facility or activity, until the last advance of funds under the loan or grant has been made.
4. Upon any breach or violation this agreement the Government may, at its option:
  - (a) Terminate or refuse to render or continue financial assistance for the aid of the property, facility, project, service or activity.
  - (b) Enforce this agreement by suit for specific performance or by any other available remedy under the laws of the United States or the State in which the breach or violation occurs.

Rights and remedies provided for under this agreement shall be cumulative.

In witness whereof, \_\_\_\_\_ on this  
(name of recipient)

date has caused this agreement to be executed by its duly authorized officers and its seal affixed hereto, or, if a natural person, has hereunto executed this agreement.

(S E A L)

\_\_\_\_\_  
Recipient

\_\_\_\_\_  
Date

Attest: \_\_\_\_\_  
Title

\_\_\_\_\_  
Title

AD-3030

U.S. DEPARTMENT OF AGRICULTURE

**REPRESENTATIONS REGARDING FELONY CONVICTION  
AND TAX DELINQUENT STATUS FOR CORPORATE APPLICANTS**

**Note:** You only need to complete this form if you are a corporation. A corporation is any entity that has filed articles of incorporation in one of the 50 States, the District of Columbia, or the various territories of the United States including American Samoa, Federated States of Micronesia, Guam, Midway Islands, Northern Mariana Islands, Puerto Rico, Republic of Palau, Republic of the Marshall Islands, or the U.S. Virgin Islands. Corporations include both for profit and non-profit entities.

*The following statement is made in accordance with the Privacy Act of 1974 (5 U.S.C. 552(a), as amended). The authority for requesting the following information for USDA Agencies and staff offices is in §738 and 739 of the Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act, 2012, P.L. 112-55 and subsequent similar provisions. The information will be used to confirm applicant status concerning entity conviction of a felony criminal violation, and/or unpaid Federal tax liability status.*

*According to the Paperwork Reduction Act of 1985 an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0505-0025. The time required to complete this information collection is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.*

1. APPLICANT'S NAME	2. APPLICANT'S ADDRESS (Including Zip Code)	3. TAX ID NO. (Last 4 digits)
---------------------	---	----------------------------------

- 4A. Has the Applicant been convicted of a felony criminal violation under Federal or State law in the 24 months preceding the date of application?  YES  NO
- 4B. Has any officer or agent of Applicant been convicted of a felony criminal violation for actions taken on behalf of Applicant under Federal or State law in the 24 months preceding the date of application?  YES  NO
- 4C. Does the Applicant have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability?  YES  NO

Providing the requested information is voluntary. However, failure to furnish the requested information will make the applicant ineligible to enter into a contract, memorandum of understanding, grant, loan, loan guarantee, or cooperative agreement with USDA.

**PART B – SIGNATURE**

5A. APPLICANT'S SIGNATURE (BY)	5B. TITLE/RELATIONSHIP OF THE INDIVIDUAL IF SIGNING IN A REPRESENTATIVE CAPACITY	5C. DATE SIGNED (MM-DD-YYYY)
--------------------------------	--	---------------------------------

*The U.S. Department of Agriculture (USDA) prohibits discrimination in all of its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, political beliefs, genetic information, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Assistant Secretary for Civil Rights, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, S.W., Stop 9410, Washington, DC 20250-9410, or call toll-free at (866) 632-9992 (English) or (800) 877-8339 (TDD) or (866) 377-8642 (English Federal-relay) or (800) 845-6136 (Spanish Federal-relay). USDA is an equal opportunity provider and employer.*



**Tab C**  
Divider Page

**Legal Organizational Documents** 4280.116 (b) (1) (iii)

	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

Please list type of entity/organization & include copy of document.

**Tab D**  
Divider Page

<b>Project Summary</b> 4280.116 (b) (3) (i) through (v)		
Title of the project		
Applicant Eligibility (as per 4280.109 & 4280.112)	<input type="checkbox"/>	
Project Eligibility (as per 4280.113)	<input type="checkbox"/>	
Operation Description	<input type="checkbox"/>	
Financial Information for Size Determination	<input type="checkbox"/>	
IRS forms	<b>D-1</b>	<input type="checkbox"/>
NAICS code information – if applying as a small business <i>(if applicable)</i>	<b>D-2</b>	<input type="checkbox"/>
Documentation of commercially available or pre-commercial technology	<b>D-3</b>	<input type="checkbox"/>
Third party contracts for management and maintenance <i>(if applicable)</i>	<b>D-4</b>	<input type="checkbox"/>
Evidence of site control	<b>D-5</b>	<input type="checkbox"/>

*An agricultural producer is an individual or entity directly engaged in the production of agricultural products, including crops (including farming); Livestock (including ranching); forestry products; hydroponics; nursery stock; or aquaculture, whereby **50% or greater of their gross income** is derived from the operations.*

*An entity is considered a small business in accordance with the Small Business Administrations (SBA) small business size standards by NAICS found in Title 13 CFR part 121. A private entity including a sole proprietorship, partnership, corporation, cooperative (including a cooperative qualified under section 501(c)(12) of the Internal Revenue Code), and an electric utility including a Tribal or governmental electric utility that provides service to rural consumers on a cost of service basis without support from public funds or subsidy from the government authority establishing the district, provided such utilities meet SBA's definition of small business. These entities must operate independent of direct Government control. With the exception of the entities described above, all other non-profit entities are excluded.*

## Rural Energy for America Program (REAP) Project Summary

**Name of Applicant:**

**i. Title of Project:**

**ii. Applicant Eligibility (4280.109 & 4280.112)**

*(For any not applicable, mark N/A):*

1.  **If applying as an Agricultural Producer** – more than 50% of the applicant’s income is from agricultural production. *Documentation is attached to show more than 50% of gross income is from the farming operation – first page of previous year income tax return and schedule F.*

**If applying as a Rural Small Business** – the applicant’s business meets SBA small business size Standards <http://sba.gov/size/index.html>

The NAICS code for my business is \_\_\_\_\_.

The limitations of the NAICS code are \_\_\_\_\_.

How my business meets those limitations \_\_\_\_\_.

*Documentation is attached to show how my business meets those limitations – if business size is based on annual sales one of the following:*

IRS 1040 Schedule F

IRS 1040 Schedule C

IRS Form 1120

IRS Form 1120S

IRS Form 1065

2.  The applicant has no outstanding judgment obtained from the U.S. in a Federal court (other than in United States Tax Court), is not delinquent in the payment of federal income taxes or a federal debt, and has not been debarred from receiving federal assistance. (Answer yes or no).

3. The applicant  does or  does not have a known relationship or association with an Agency employee. If applicable, name and relationship of employee: \_\_\_\_\_

**iii. Project Eligibility (4280.113)**

*(For any not applicable, mark N/A)*

1. Type of Technology  Renewable Energy or  Energy Efficiency

The project description is:

\_\_\_\_\_

\_\_\_\_\_

2.  If this is a Flexible Fuel Pump project, is it a retail pump that combines and dispenses or dispenses a blended liquid transportation fuel? (Answer yes or no). How does the blended liquid transportation fuel, composed of one or more fuel type, meet the Renewable Fuel Standard? \_\_\_\_\_  
How does the blended liquid transportation fuel result in a blended fuel that exceeds the Federal or State requirements, whichever are higher? \_\_\_\_\_

3. The project is for  Commercially available and replicable technology  
 Pre-Commercial and replicable technology

**Pre-commercial technology** – Technologies that have emerged through the research and development process and have technical and economic potential for commercial application, but are not yet commercially available.  
**Commercially available** - A system that has a proven operating history specific to the proposed application. Such a system is based on established design, and installation procedures and practice. Professional service providers, trades, large construction equipment providers, and labor are familiar with installation procedures and practices. Proprietary and balance of system equipment and spare parts are readily available. Service is readily available to properly maintain and operate system. An established warranty exists for parts, labor, and performance.

*Documentation is attached to support the commercial availability of the technology in my application.*

4. \_\_\_\_\_ Does the project have technical merit? (*Answer yes or no*).
5. \_\_\_\_\_ Is the project located in a rural area, as defined in 4280.103? (*Answer yes or no*).  
 The Project's address is \_\_\_\_\_.  
 The most recent decennial population census of the project location is \_\_\_\_\_.  
 The project  is or  is not located in an urbanized area.

The facility for which the project is being proposed must be located in a rural area, as defined in § 4280.103, in a State if the type of applicant is a rural small business, or in a rural or non-rural area in a State if the type of applicant is an agricultural producer. If the agricultural producer's facility is in a non-rural area, then the application can only be for renewable energy systems or energy efficiency improvements on integral components of or that are directly related to the facility, such as vertically integrated operations, and are part of and co-located with the agriculture production operation.

5. \_\_\_\_\_ Does the applicant have a place of business in a State? (*Answer yes or no*.)
6. The owner of the project is \_\_\_\_\_.  
 Is the owner of the project the same entity as the applicant? \_\_\_\_\_ (*Answer yes or no*.)  
 Is a third party going to be under contract to control revenues and expenditures and operate/maintain the project?  
 \_\_\_\_\_ (*Answer yes or no*.)
7. \_\_\_\_\_ Will the applicant control the site where the project will be located for the financing term of any associated Federal loans or loan guarantees? (*Answer yes or no*.)  
*Documentation is attached of this control.*
8. \_\_\_\_\_ Does the applicant have satisfactory sources of revenue in an amount sufficient to provide for the operation, management, maintenance, and debt service of the project – for the life of the project (*answer yes or no*).
9. \_\_\_\_\_ If this is a hydropower project, is its rated power of 30 megawatts or less, commonly referred to as “micro-hydropower” and “minihydropower”? (*Answer yes or no*.)
10. \_\_\_\_\_ Does the project have demonstrated technical feasibility? (*Answer yes or no*.)
11. \_\_\_\_\_ Will the renewable energy system or energy efficiency improvement, or portion thereof, be used for any residential purpose, including any residential portion of a farm, ranch, agricultural facility, or rural small business? (*Answer yes or no*.)

An applicant may apply for funding for the installation of a second meter or provide certification in the application that any excess power generated by the renewable energy system will be sold to the grid and will not be used by the applicant for residential purposes.

#### iv. Operation Description

1. Describe the applicant's total farm/ranch/business operation and the relationship of the proposed project to the applicant's total farm/ranch/business operation.
2. Provide a description of the ownership of the applicant, including a list of individuals and/or entities with ownership interest, names of any corporate parents, affiliates, and subsidiaries, as well as a description of the relationship, including products, between these entities.

**v. Financial Information for Gross Income or Size Determination**

(For any not applicable, mark N/A)

Attached is financial information to allow the Agency to determine the applicant's size. All information submitted under this paragraph has been substantiated by authoritative records. Financial size will determine the number of points the applicant is eligible for – for scoring criteria #6 – Small agricultural producer – or – Very Small Business. Voluntarily providing tax returns is one means of satisfying this requirement and providing documentation for scoring criteria #6.

**(A) Rural small businesses** must provide sufficient information to determine total annual receipts for and number of employees of the business and any parent, subsidiary, or affiliates at other locations. The information provided must be sufficient for the Agency to make a determination of business size as defined by SBA.

Total Annual Receipts – The total income or gross income (sole proprietorship) plus cost of goods sold.

IRS forms submitted are as follows (please check as applicable) Used to determine business size

IRS form 1120 – Corporation – (figures based on 11)       IRS Schedule C – Business –(figures based on line 7)

IRS form 1120 S – “S” Corporation – (figures based on line 6)       IRS Schedule F – Farming – lines 11

IRS form 1065 – Partnership – (figures based on line 8)

1. The applicants determination of business size is as follows(average the 3 most recent tax returns)

Annual receipts Year 1 \$

Annual receipts Year 2 \$

Annual receipts Year 3 \$

**Average annual receipts \$ \_\_\_\_\_**

Documentation as to the number of employees is as follows:

The applicant has one rural location (answer yes or no)

If the applicant has more than one location, please list the physical address of each location, the number of employees at each location, and the average annual receipts over the past three years at each location in the chart below:

Address of each location	Number of Employees	Annual Receipts Year 1	Annual Receipts Year 2	Annual Receipts Year 3	Average Annual Receipts
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$
		\$	\$	\$	\$

**or**

**(B) Agricultural producers:** Provide the gross market value of your agricultural products, gross agricultural income, and gross non-farm income of the applicant for the calendar year preceding the year in which you submit your application.

The applicant's determination of business size is as follows:

IRS form 1120 – Corporation – line 1a       IRS Schedule C – Business – line 1

IRS form 1120 S – “S” Corporation – line 1a       IRS Schedule F – Farming – lines 3 & 4 (pre 2011)  
lines 1e +2b (2011+)

IRS form 1065 – Partnership – line 1a

Line 22 of IRS form 1040 + line 28 and 30 from Schedule C (gross non-farm income)

**vi. Capacity of Energy Efficiency Improvements**

*(If not applicable, mark N/A)*

For energy efficiency improvements - if the proposed improvement has a greater capacity than the existing equipment, the Agency will pro-rate the energy efficiency improvement's total eligible project costs based on the capacity of the existing equipment. Calculation: existing capacity / proposed capacity = % of the energy efficiency improvement's eligible project costs.

\_\_\_\_\_ Existing capacity / \_\_\_\_\_ Proposed capacity = \_\_\_\_\_% of the eligible project costs

\_\_\_\_\_ % of eligible project cost X \_\_\_\_\_ total project costs = \_\_\_\_\_ eligible project costs

\_\_\_\_\_ Eligible project costs x 25% = \_\_\_\_\_ maximum grant award (should match SF 424)

Example. A business plans to build a new production line with a capacity of 625 units per hour to replace an existing production line that produces 500 units per hour. The total project costs of the new production line is \$20,000, of which \$15,000 would otherwise qualify as eligible project costs. However, because the new production line has a greater production capacity than the existing line (625 units per hour versus 500 units per hour), only a portion of the \$15,000 of otherwise eligible project costs would be used in determining total eligible project cost and the maximum grant assistance available. In this example, because the original capacity (500 units per hour) is 80 percent of the new capacity (625 units per hour), only 80 percent of the \$15,000 of otherwise eligible project costs associated with the new production line (*i.e.*, \$12,000) will be considered as total eligible project cost to be financed under this subpart. The maximum grant award in this example would be \$3,000, which is equal to \$12,000 x 25 percent.

The Applicant certifies that the statements made in this Project Summary are true to the best of their knowledge and has executed this certification on the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Printed Name of Authorized Representative of Applicant

\_\_\_\_\_  
Signature of Authorized Representative of Applicant

# Tab E

Divider Page

## Financial Information

*4280.116 (b) (4) (i) through (iii)*

**A financial statement typically includes an income statement and balance sheet.**

Financial information is required on the total operation of the agricultural producer/rural small business and its parent, subsidiary, or affiliates at other locations. All information submitted under this paragraph must be substantiated by authoritative records.

3 year Historical financial statements

**Historical financial statements** prepared in accordance with Generally Accepted Accounting Practices (GAAP) for the past 3 years, including income statements and balance sheets. If agricultural producers are unable to present this information in accordance with GAAP, they may instead present financial information for the past years in the format that is generally required by commercial agriculture lenders.

Current year financial statement

**Current balance sheet and income statement** – Provide a current balance sheet and income statement prepared in accordance with generally accepted accounting principles (GAAP) and dated within 90 days of the application. Agricultural producers should present financial information in the format that is generally required by commercial agriculture lenders.

Bal Sheet

Income Stmt

3 year pro forma financial statements

**Pro Forma balance sheet** – Provide pro forma balance sheet at startup of the agricultural producer's/rural small business' business that reflects the use of the loan proceeds or grant award; and 3 additional years, indicating the necessary start-up capital, operating capital, and short-term credit; and projected cash flow and income statements for 3 years supported by a list of assumptions showing the basis for the projections.

Start Up Year

Year 1

Year 2

Year 3

**Tab F**  
Divider Page

**Matching Funds Documentation 4280.116 (b) (5)**

<p>A <b>spreadsheet</b> identifying <b>sources of matching funds, amounts</b> and <b>status</b> of matching funds. The spreadsheet will also include a directory of matching funds source contact information.</p>	<input type="checkbox"/>
<p><b>Attach</b> any applications, correspondence, or other written communication between applicant and matching fund source.</p> <p>The matching funds letter is not a letter of intent. <b>It should be a <u>commitment</u> to the project for a specific amount of dollars.</b></p>	<input type="checkbox"/>

Without specific statutory authority, other Federal grant awards and applicant in-kind contributions cannot be used to meet the matching fund requirement.

Passive third party equity contributions are acceptable for renewable energy system projects, including those that are eligible for Federal production tax credits, provided the applicant meets the requirements of Section 4280.107 (applicant eligibility).



## Matching Funds Commitment Documentation Spreadsheet

	Source of Funds	Contact Name Phone, Fax Address	Dollars	Commitment Letter attached	
1	Section REAP Grant	Area Office Location	\$	Pending Award of Grant	
2	Guaranteed REAP Loan	Area Office Location	\$	Pending Award of G-loan	
3	Applicant funds	Applicant Name	\$		
4	Lending Institution Loan		\$		
5	Investor funds		\$		
6			\$		
7			\$		
			Total Project Cost	\$	(Should match total project cost on SF 424C located behind Tab A)

**Tab G**  
Divider Page

**Self Evaluation Score** 4280.116 (b) (6)

Self-score the project using the evaluation criteria 4280.117 (c).  
Guide 4 follows this divider page.

To justify the score, submit the total score along with appropriate calculations and attach documentation, or specific cross- references to information elsewhere in the application.

**Rural Energy for America Program  
Evaluation Criteria Scoring Guideline  
Per Interim Rule - 4280.117 (c)**

**Name of Applicant:** \_\_\_\_\_  
**Type of Technology:** \_\_\_\_\_  
**Funding Request:** \_\_\_\_\_

**Final Grant Score (sum of Categories 1-9):**

**(1) Quantity of Energy Replaced, Produced, or Saved.**

Points may only be awarded for one category (A, B, C or D).

**(i) Energy replacement**

If the proposed renewable energy system is intended primarily for self use by the agricultural producer or rural small business, and will provide energy replacement of:

Greater than 0 but equal to or less than 25%, <b>award 5 points.</b>	<b>Points</b>
Greater than 25%, but equal to or less than 50%, <b>award 10 points.</b>	
Greater than 50%, <b>award 15 points.</b>	
Determine energy replacement by dividing the estimated quantity of renewable energy to be generated over a 12 month period by the estimated quantity of energy consumed over the same 12 month period during the previous year by the applicable energy application. The estimated quantities of energy must be converted to British thermal units (BTU's), Watts, or similar energy equivalents to facilitate scoring. If the estimated energy produced equals more than 150% of the energy requirements of the applicable process(es), score the project as an energy generation project.	

*Documentation in the file to substantiate the score for this category.*

**or**

**(ii) Energy Savings (include additional 5 points if applicable)**

**(1)** If the estimated energy expected to be saved by the installation of the energy efficiency improvements will be from:

20% up to but not including 30%, <b>award 5 points.</b>	<b>Points</b>
30% up to but not including 35%, <b>award 10 points.</b>	
35% or greater, <b>award 15 points.</b>	
Energy savings will be determined by the projections in an energy assessment or audit. If capacity changes, savings should be pro-rated to similar size of existing equipment/facility.	

**(2) Additional points.**

If the project has total eligible project costs of <u>\$50,000 or less</u> AND opts to obtain a professional energy audit, <b>award an additional 5 points.</b>	<b>Points</b>
---	---------------

*Documentation in the file to substantiate the score for this category.*

**or**

**(iii) Energy generation**

If the proposed renewable energy system is intended primarily for production of energy for sale, <b>award 10 points.</b>	<b>Points</b>
--	---------------

*Documentation in the file to substantiate the score for this category.*

**or**

#### (iv) Flexible Fuel Pump(s)

If the proposed project is for one or more flexible fuel pumps, points will be awarded based on the overall percentage of proposed flexible fuel pumps to the applicant's total retail pump inventory at the facility. If the proposed flexible fuel pump percentage is:

5% or below, <b>award 5 points.</b>	<b>Points</b>
Above 5% and up to but not including 10%, <b>award 10 points.</b>	
10% or greater, <b>award 15 points.</b>	
The percentage of proposed flexible fuel pumps shall be calculated using the following equation: <b>Equation: FFP% = (FFPx/ TP) x 100</b> FFP% = Proposed flexible fuel pump(s) percentage. FFPx = Number of proposed flexible fuel pumps to be installed at applicants facility. TP = Number of proposed pumps to be installed plus the number of pumps installed and operating at the facility.	

*Documentation in the file to substantiate the score for this category.*

#### (2) Environmental benefits

If the purpose of the proposed system contributes to the environmental goals and objectives of other Federal, State, or local programs, <b>award 10 points.</b>	<b>Points</b>
Award points only if the applicant provides documentation from an appropriate authority supporting this claim.	

*Documentation in the file to substantiate the score for this category.*

#### (3) Commercial availability

If the proposed system or improvement is currently commercially available and replicable, <b>award 5 points.</b>	<b>Points</b>
If the proposed system or improvement is commercially available and replicable and is also provided with a <u>5 year or longer warranty</u> providing the purchaser protection against system degradation or breakdown or component breakdown, <b>award 10 points.</b>	

*Documentation in the file to substantiate the score for this category.*

#### (4) Technical Merit (To be completed by the Agency or NREL)

Carry forward score from technical review sheet. Maximum score possible is 35 points.	<b>Points</b>
---	---------------

#### (5) Readiness

If the applicant has written commitments, prior to the Agency receiving the complete application, from the source(s) confirming commitment of:

50% up to but not including 75% of the matching funds, <b>award 5 points.</b>	<b>Points</b>
75% up to but not including 100% of the matching funds, <b>award 10 points.</b>	
100% of the matching funds, <b>award 15 points.</b>	

*Documentation in the file to substantiate the score for this category.*

**(6) Small Agricultural Producer/Very Small Rural Business**

If the applicant is an agricultural producer producing agricultural products with a gross market value of:

less than \$600,000 in the preceding year, <b>award 5 points.</b>	<b>Points</b>
less than \$200,000 in the preceding year, <b>OR</b>	
is a Very Small Rural Business as defined in 4280.103 (a business with less than 15 employees and less than \$1 million in annual receipts), <b>award 10 points.</b>	

*Documentation in the file to substantiate the score for this category.*

**(7) Simplified application**

If an applicant is eligible for and uses the simplified application process or if the project has total eligible project costs of \$200,000 or less, <b>award 5 points.</b>	<b>Points</b>
---	---------------

*Documentation in the file to substantiate the score for this category.*

**(8) Previous grantees and borrowers**

If the applicant has not been awarded a grant or loan under this program within the 2 previous Federal fiscal years, <b>award 5 points.</b>	<b>Points</b>
---	---------------

*Documentation in the file to substantiate the score for this category.*

**(9) Simplified Payback**

A maximum of 15 points will be awarded for either renewable energy systems or energy efficiency improvements; points will not be awarded for more than one category.

(i) Renewable energy systems, including flexible fuel pumps - if the simple payback of the proposed project is:

Less than 10 years, <b>award 15 points.</b>	<b>Points</b>
10 years up to but not including 15 years, <b>award 10 points.</b>	
15 years up to and including 20 years, <b>award 5 points.</b>	
Longer than 20 year, <b>award 0 points.</b>	

*Documentation in the file to substantiate the score for this category (see 4/14/11 Interim Rule, 4280.103 Definitions, for complete Simple Payback criteria & calculations)*

For **energy generation** projects, the calculation for simple payback is as follows =  
 Total Project Costs (including REAP Grant) of \$ \_\_\_\_\_ divided by (\* Sum of ANI+ Int+ Depr \$ \_\_\_\_\_ ) = **yrs simple payback**  
 \*(Average Net Income (ANI) \$ \_\_\_\_\_ + Interest Expense \$ \_\_\_\_\_ + Depreciation Expense for the project \$ \_\_\_\_\_ = \$ \_\_\_\_\_ )

For **energy replacement**, the calculation for simple payback is as follows =  
 Total Project Costs (including REAP Grant) of \$ \_\_\_\_\_ divided by Dollar Value of Energy Generated \$ \_\_\_\_\_ ) = **yrs simple payback**

For **flexible fuel pumps**, the calculation for simple payback is as follows =  
 Total Project Costs (including REAP Grant) of \$ \_\_\_\_\_ divided by (\* Sum of INI+ Int+ Depr \$ \_\_\_\_\_ ) = **yrs simple payback**  
 \*(Increase in Net Income (INI) \$ \_\_\_\_\_ + Interest Expense \$ \_\_\_\_\_ + Depreciation Expense for the project \$ \_\_\_\_\_ = \$ \_\_\_\_\_ )

**Or**

(ii) Energy efficiency improvements - if the simple payback of the proposed project is:

If the proposed project will return the cost of investment in

Less than 4 years, <b>award 15 points.</b>	<b>Points</b>
4 years up to but not including 8 years, <b>award 10 points.</b>	
8 years up to 12 years, <b>award 5 points.</b>	
Longer than 12 years, <b>award 0 points.</b>	

*Documentation in the file to substantiate the score for this category (see 4/14/11 Interim Rule, 4280.103 Definitions, for complete Simple Payback criteria & calculations)*

For **energy efficiency improvement projects**, the calculation for simple payback is as follows =  

$$\text{Total Project Costs (including REAP Grant) of \$} \quad \text{divided by Dollar Value of Energy Saved \$} \quad = \quad \text{yrs simple payback}$$

*Note: EEI projects calculate savings based on similar size capacity. If capacity changes, savings pro-rated to similar size of existing equipment/facility.*

*See 4/14/11 Interim Rule, 4280.103 Definitions, for complete Simple Payback criteria & calculations.*

**(10) State Director and Administrator priorities and points.**

State Director, for its State allocation under this subpart, or the Administrator, for making awards from the National Office reserve may <b>award up 10 points.</b>	<b>Points</b>
Points may be awarded if the application is for an underrepresented technology or for flexible fuel pumps or if selecting the application would help achieve geographic diversity. In no case shall an application receive more than 10 points under this criterion.	

# Tab H

Divider Page

## Energy Audit (for Energy Efficiency Projects Only) 4280.116(b)(7)(ii)(B)

For energy efficiency improvement projects with total eligible project costs greater than \$50,000, **an energy audit must be conducted by or reviewed and certified by an energy auditor.**

**Energy audit** – A report conducted by a Certified Energy Manager or Professional Engineer that focuses on potential capital-intensive projects and involves detailed gathering of field data and engineering analysis. The report will provide detailed project cost and savings information with a high level of confidence sufficient for major capital investment decisions. It will estimate costs, expected energy savings from the subject improvements, and dollars saved per year. The report will estimate weighted-average payback period in years.

# Tab I

## Divider Page

### Technical Report (required of every project) 4280.116 (b)(7)(ii)(A) and (C)

<p>The Technical Report must be prepared in accordance with <b>Appendix B</b>, for projects with <u>total eligible project costs exceeding \$200,000</u>.</p> <p>The Technical report must demonstrate that the renewable energy system or energy efficiency improvement project can be installed and perform as intended in a reliable, safe, cost effective, and legally compliant manner.</p> <p>The services of a <b>professional engineer</b> (P.E.) or team of licensed PE's are required</p> <ul style="list-style-type: none"> <li>- on <b>renewable energy</b> projects with total eligible projects costs <b>exceeding \$400,000</b>.</li> <li>- and for <b>energy efficiency</b> projects with total eligible project costs <b>exceeding \$200,000</b>.</li> </ul> <p>Services include a design review, installation monitoring, testing prior to commercial operation and project completion certification.</p> <p>Projects exceeding total eligible costs of <b>\$1,200,000</b>, the technical report must be reviewed and include an opinion and recommendation by an independent qualified consultant.</p>	<div style="text-align: center;"> <input style="width: 30px; height: 30px; border: 1px solid blue; margin-bottom: 20px;" type="checkbox"/>  <input style="width: 30px; height: 30px; border: 1px solid orange;" type="checkbox"/> </div>
<b>Technical Report Requirements – Please consult Appendix B guidelines at <a href="http://www.rurdev.usda.gov/SupportDocuments/4280b.pdf">http://www.rurdev.usda.gov/SupportDocuments/4280b.pdf</a></b>	
<p>(1) <b>Qualifications of the project team</b> -The applicant has described the project team service providers, their professional credentials, and relevant experience. The description supports that the project team service, equipment, and installation providers have the necessary professional credentials, licenses, certifications, or relevant experience to develop the proposed project.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(2) <b>Agreements and Permits</b> -The applicant has described the necessary agreements and permits required for the project and the schedule for securing those agreements and permits.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(3) <b>Energy or Resource Assessment</b> -The applicant has described the quality and availability of a suitable renewable resource, or an assessment of expected energy savings for the proposed system.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(4) <b>Design and Engineering</b> -The applicant has described the design, engineering, and testing needed for the proposed project. The description supports that the system will be designed, engineered, tested so as to meet its intended purpose, ensure public safety, and comply with applicable laws, regulations, agreements, permits, codes, and standards.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(5) <b>Project Development Schedule</b>-The applicant has described the development method including the key project development activities and the proposed schedule for each activity. The description identifies each significant task, its beginning and end, and its relationship to the time needed to initiate and carry the project through to successful completion. The description addresses grantee or borrower project development cash flow requirements.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(6) <b>Project Economic Assessment</b>-The applicant has described the financial performance of the proposed project, including the calculation of simple payback. The description addresses project costs and revenues, such as applicable investment and production incentives and other information to allow the assessment of the project's cost effectiveness.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(7) <b>Equipment Procurement</b> - The applicant has described the availability of the equipment required by the system. The description supports that the required equipment is available, and can be procured and delivered within the proposed project development schedule.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(8) <b>Equipment Installation</b> -The applicant has described the plan for site development and system installation.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(9) <b>Operations and Maintenance</b> -The applicant has described the operations and maintenance requirements of the system necessary for the system to operate as designed over the design life.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>
<p>(10) <b>Dismantling and disposal of project components</b> -The applicant has described the plan for dismantling and disposing of project components at the end of their useful lives and associated wastes.</p>	<input style="width: 30px; height: 30px;" type="checkbox"/>





*Committed to the Future of Rural Communities*

## **4280-B APPENDIX B HYDROGEN**

### **TECHNICAL REPORTS FOR PROJECTS WITH TOTAL ELIGIBLE PROJECT COSTS GREATER THAN \$200,000**

The Technical Report for projects with total eligible project costs greater than \$200,000 (and for any other project that must submit a Technical Report under this appendix) must demonstrate that the project design, procurement, installation, startup, operation, and maintenance of the renewable energy system or energy efficiency improvement will operate or perform as specified over its design life in a reliable and a cost-effective manner. The Technical Report must also identify all necessary project agreements, demonstrate that those agreements will be in place, and that necessary project equipment and services are available over the design life.

All technical information provided must follow the format specified in Sections 1 through 10 of this appendix. Supporting information may be submitted in other formats. Design drawings and process flowcharts are encouraged as exhibits. A discussion of each topic is not necessary if the topic is not applicable to the specific project. Questions identified in the Agency's technical review of the project must be answered to the Agency's satisfaction before the application will be approved. The applicant must submit the original technical report plus one copy to the Rural Development State Office. Renewable energy projects with total eligible project costs greater than \$400,000 and for energy efficiency improvement projects with total eligible project costs greater than \$200,000 require the services of a licensed professional engineer (PE) or team of PEs. Depending on the level of engineering required for the specific project or if necessary to ensure public safety, the services of a licensed PE or a team of licensed PEs may be required for smaller projects.

### **Section 5. Hydrogen Projects**

The technical requirements specified in this section apply to hydrogen projects, which are, as defined in § 4280.103, renewable energy systems that produce hydrogen or, a renewable energy system that uses mechanical or electric power or thermal energy from a renewable resource using hydrogen as an energy transport medium.

(a) Qualifications of project team. The hydrogen project team will vary according to the complexity and scale of the project. For engineered systems, the project team should consist of a system designer, a project manager, an equipment supplier, a project engineer, a construction contractor or system installer, and a system operator and maintainer. One individual or entity may serve more than one role. The project team must have demonstrated expertise in similar hydrogen systems development, engineering, installation, and maintenance. Authoritative evidence that project team service providers have the necessary professional credentials or relevant experience to perform the required services must be provided. Authoritative evidence that vendors of proprietary components can provide necessary equipment and spare parts for the system to operate over its design life must also be provided. The application must:

(1) Discuss the proposed project delivery method. Such methods include a design, bid, build where a separate engineering firm may design the project and prepare a request for bids and the successful bidder constructs the project at the applicant's risk, and a design/build method, often referred to as turnkey, where the applicant establishes the specifications for the project and secures the services of a developer who will design and build the project at the developer's risk;

(2) Discuss the hydrogen system equipment manufacturers of major components for the hydrogen system being considered in terms of the length of time in the business and the number of units installed at the capacity and scale being considered;

(3) Discuss the project manager, equipment supplier, system designer, project engineer, and construction contractor qualifications for engineering, designing, and installing hydrogen systems, including any relevant certifications by recognized organizations. Provide a list of the same or similar projects designed, installed, or supplied and currently operating with references, if available; and

(4) Describe the system operator's qualifications and experience for servicing, operating, and maintaining hydrogen system equipment or projects. Provide a list of the same or similar projects designed, installed, or supplied and currently operating with references, if available.

(b) Agreements, permits, and certifications. Identify all necessary agreements and permits required for the project and the status and schedule for securing those agreements and permits, including the items specified in paragraphs (b) (1) through (8).

(1) Identify zoning and building code issues, and required permits and the anticipated schedule for meeting those requirements and securing those permits.

(2) Identify licenses where required and the schedule for obtaining those licenses.

(3) Identify land use agreements required for the project and the anticipated schedule for securing the agreements and the term of those agreements.

(4) Identify any permits or agreements required for solid, liquid, and gaseous emissions or effluents and the anticipated schedule for securing those permits and agreements.

(5) Identify available component warranties for the specific project location and size.

(6) For systems planning to interconnect with a utility, describe the utility's system interconnection requirements, power purchase arrangements, or licenses where required and the anticipated schedule for meeting those requirements and obtaining those agreements. This is required even if the system is installed on the customer side of the utility meter. For systems planning to utilize a local net metering

program as their interconnection agreement, describe the applicable local net metering program.

(7) Identify all environmental issues, including environmental compliance issues, associated with the project on Form RD 1940-20, "Request for Environmental Information," and in compliance with 7 CFR part 1940, subpart G, of this title.

(8) Submit a statement certifying that the project will be installed in accordance with applicable local, State, and national codes and regulations.

(c) Resource assessment. Provide adequate and appropriate data to demonstrate the amount of renewable resource available. Indicate the type, quantity, quality, and seasonality of the biomass resource. For solar, wind, or geothermal sources of energy used to generate hydrogen, indicate the local renewable resource where the hydrogen system is to be installed. Local resource maps may be used as an acceptable preliminary source of renewable resource data. For proposed projects with an established renewable resource, provide a summary of the resource.

(d) Design and engineering. Provide authoritative evidence that the system will be designed and engineered so as to meet its intended purpose, will ensure public safety, and will comply with applicable laws, regulations, agreements, permits, codes, and standards. Projects shall be engineered by a qualified party. Systems must be engineered as a complete, integrated system with matched components. The engineering must be comprehensive, including site selection, system and component selection, and system monitoring equipment. Systems must be constructed by a qualified party.

(1) Provide a concise but complete description of the hydrogen project, including location of the project, resource characteristics, system specifications, electric power system interconnection equipment, and monitoring equipment. Identify possible vendors and models of major system components. Describe the expected electric power, fuel production, or thermal energy production of the proposed system. Address performance on a monthly and annual basis. Describe the uses of or the market for electricity, heat, or fuel produced by the system. Discuss the impact of reduced or interrupted resource availability on the system process.

(2) Describe the project site and address issues such as site access, foundations, backup equipment when applicable, and any environmental and safety concerns with emphasis on land use, air quality, water quality, and safety hazards. Identify any unique construction and installation issues.

(e) Project development schedule. Identify each significant task, its beginning and end, and its relationship to the time needed to initiate and carry the project through startup and shakedown. Provide a detailed description of the project timeline, including resource assessment, system and site design, permits and agreements, equipment procurement, and system installation from excavation through startup and shakedown.

(f) Project economic assessment. Provide a study that describes the costs and revenues of the proposed project to demonstrate the financial performance

of the project, including the calculation of simple payback. Provide a detailed analysis and description of project costs, including project management, resource assessment, project design and engineering, project permitting, land agreements, equipment, site preparation, system installation, startup and shakedown, warranties, insurance, financing, professional services, and operations and maintenance costs. Provide a detailed analysis and description of annual project revenues and expenses. Provide a detailed description of applicable investment incentives, productivity incentives, loans, and grants. In addition, provide other information necessary to assess the project's cost effectiveness.

(g) Equipment procurement. Demonstrate that equipment required by the system is available and can be procured and delivered within the proposed project development schedule. Hydrogen systems may be constructed of components manufactured in more than one location. Provide a description of any unique equipment procurement issues, such as scheduling and timing of component manufacture and delivery, ordering, warranties, shipping, and receiving, and on-site storage or inventory. Identify all the major equipment that is proprietary and justify how this unique equipment is needed to meet the requirements of the proposed design. Include a statement from the applicant certifying that "open and free" competition will be used for the procurement of project components in a manner consistent with the requirements of 7 CFR part 3015 of this title.

(h) Equipment installation. Describe fully the management of and plan for site development and system installation, provide details regarding the scheduling of major installation equipment needed for project construction, and provide a description of the startup and shakedown specifications and process and the conditions required for startup and shakedown for each equipment item individually and for the system as a whole. Include a statement from the applicant certifying that equipment installation will be made in accordance with all applicable safety and work rules.

(i) Operations and maintenance. Identify the operations and maintenance requirements of the system necessary for the system to operate as designed over the design life. The application must:

- (1) Provide information regarding system warranties and availability of spare parts;
- (2) Describe the routine operations and maintenance requirements of the proposed project, including maintenance of the reformer, electrolyzer, or fuel cell as appropriate, and other mechanical, piping, and electrical systems and system monitoring and control requirements;
- (3) Provide information that supports expected design life of the system and timing of major component replacement or rebuilds;
- (4) Provide and discuss the risk management plan for handling large, potential failures of major components. Include in the discussion, costs and labor associated with the operation and maintenance of the system, and plans for in-sourcing or out-sourcing; and
- (5) Describe opportunities for technology transfer for long-term project operations and maintenance by a local entity or owner/operator.

(j) Dismantling and disposal of project components. Describe a plan for dismantling and disposing of project components and associated wastes at the end of their useful lives. Describe the budget for and any unique concerns associated with the dismantling and disposal of project components and their wastes.

**Tab J**  
Divider Page

**Feasibility Study**  
*4280.116 (b) (8)*  
**(required for only renewable energy projects  
which exceed \$200,000 in total eligible costs)**

For each application for a renewable energy system project, with total eligible project costs <u>greater than \$200,000</u> , a business-level feasibility study is required,	<input type="checkbox"/>
---	--------------------------

An independent qualified consultant <b>will be required</b> by the Agency for start-up businesses or existing businesses when the project will significantly affect the applicant's operations.	<input type="checkbox"/>
---	--------------------------

An acceptable business-level feasibility study must conform to the requirements of an acceptable feasibility study as specified in Appendix E of the interim rule 4280-B.	<input type="checkbox"/>
---	--------------------------

APPENDIX B – RENEWABLE ENERGY SYSTEM FEASIBILITY STUDY  
*MUST BE COMPLETED BY 3RD PART INDEPENDENT REVIEWER*

Elements in an acceptable feasibility study include, but are not necessarily limited to, the following elements:

- Executive Summary
- Economic Feasibility
- Market Feasibility
- Technical Feasibility (including the appropriate technical report)
- Financial Feasibility
- Management Feasibility
- Qualifications

As noted above, both a technical report for the project and an economic analysis of the project are required as part of the feasibility study. The technical report to be provided must conform to that required under 7 CFR part 4280, as applicable or, if the renewable energy system is a hydropower project, under this notice. The following paragraphs describe the contents that each of section that the feasibility study must contain, as applicable.

**Executive Summary** - Provide an introduction and overview of the project. In the overview, describe the nature and scope of the proposed project, including purpose, project location, design features, capacity, and estimated total capital cost. Include a summary of each of the elements of the feasibility study, including:

- Economic feasibility determinations
- Market feasibility determinations
- Technical feasibility determinations
- Financial feasibility determinations
- Management feasibility determinations

In addition, include a section on recommendations for implementation of the proposed project.

**Economic Feasibility** - Provide information regarding project site; the availability of trained or trainable labor; and the availability of infrastructure, including utilities, and rail, air and road service to the site. Discuss feedstock source management, including feedstock collection, pre-treatment, transportation, and storage, and provide estimates of feedstock volumes and costs. Discuss the proposed project's potential impacts on existing manufacturing plants or other facilities that use similar feedstock if the proposed technology is adopted. Provide projected impacts of the proposed project on resource

conservation, public health, and the environment. Provide an overall economic impact of the project including any additional markets created (e.g., for agricultural and forestry products and agricultural waste material) and potential for rural economic development. Provide feasibility/plans of project to work with producer associations or cooperatives including estimated amount of annual feedstock and biofuel and byproduct dollars from producer associations and cooperatives.

**Market Feasibility** - Provide information on the sales organization and management. Discuss the nature and extent of market and market area and provide marketing plans for sale of projected output, including both the principle products and the by-products. Discuss the extent of competition including other similar facilities in the market area. Provide projected total supply and projected competitive demand of raw materials. Describe the procurement plan, including projected procurement costs and the form of commitment of raw materials (marketing agreements, etc.). Identify commitments from customers or brokers for both the principle products and the by-products. Discuss all risks related to the industry, including industry status.

**Technical Feasibility** - The technical feasibility report shall be based upon verifiable data and contain sufficient information and analysis so that a determination may be made on the technical feasibility of achieving the levels of income or production that are projected in the financial statements. The Project engineer or architect is considered an independent party provided neither the principals of the firm nor any individual of the firm who participates in the technical feasibility report has a financial interest in the project. If no other individual or firm with the expertise necessary to make such a determination is reasonably available to perform the function, an individual or firm that is not independent may be used.

Identify any constraints or limitations in the financial projections and any other facility or design-related factors that might affect the success of the enterprise. Identify and estimate project operation and development costs and specify the level of accuracy of these estimates and the assumptions on which these estimates have been based.

Discuss all risks related to construction of the project and regulation and governmental action as they affect the technical feasibility of the project.



**Financial Feasibility** - Discuss the reliability of the financial projections and assumptions on which the financial statements are based including all sources of project capital both private and public, such as Federal funds. Provide three years (minimum) projected Balance Sheets and Income Statements and cash flow projections for the life of the project. Discuss the ability of the business to achieve the projected income and cash flow. Provide an assessment of the cost accounting system. Discuss the availability of short-term credit or other means to meet reasonable business costs and the adequacy of raw materials and supplies. Provide a sensitivity analysis, including feedstock and energy costs. Discuss all risks related to the project, borrower financing plan, the operational units, and tax issues.

**Management Feasibility** - Discuss the continuity and adequacy of management. Identify borrower and/or management's previous experience concerning the receipt of federal financial assistance, including amount of funding, date received, purpose, and outcome. Discuss all risks related to the borrower as a company (e.g., borrower is at the Development-Stage) and conflicts of interest, including appearances of conflicts of interest.

**Qualifications** - Provide a resume or statement of qualifications of the author of the feasibility study, including prior experience.