

Renewable Energy and Energy Efficiency Program Grant Checklist

4280.115	<i>Rural Development Instruction 4280-B</i> http://www.rurdev.usda.gov/SupportDocuments/4280b.pdf Maximum grant – 25% of total eligible project costs (TEPC) Maximum combination grant and guaranteed loan - 75% of TEPC Original and one complete copy of the following is required:	SIMPLIFIED grant application RE or EE total eligible project costs are \$200,000 or less	FULL grant application RE or EE total eligible project costs greater than \$200,000
(1)	Forms, certifications, and agreements	4280.114	4280.116
(1) (i) A, B, C	SF 424 "Application for Federal Assistance" and SF 424C "Budget Information" and SF 424D "Assurances"	X	X
	DUNS # and Federal Tax ID # (provide on the SF424) (<i>Agency requirement</i>)	X	X
	SAM [System Award Management] Active Registration - (<i>copy included with application</i>) https://www.sam.gov (<i>Agency requirement</i>)	X	X
D	RD 1940-20, "Request for Environmental Information"	X	X
(1)(ii) A	AD 1049, "Certification Regarding a Drug-Free Workplace Requirements (Grants)"	X	X
B	AD 1048, "Lower Tier Transactions"	X	X
C	Exhibit A-1 of RD Instruction 1940-Q	N/A	X
D	SF-LLL, "Disclosure of Lobbying Activities"	X	X
E	AD 1047, "Primary Covered Transactions"	X	X
F	RD 400-1, "Equal Opportunity Agreement"	X	X
G	RD 400-4, "Assurance Agreement"	X	X
H	AD-3030, "Representations Regarding Felony Conviction and Tax Delinquent Status For Corporate Applicants"	X	X
I	AD-3031, "Assurance Regarding Felony Conviction or Tax Delinquent Status for Corporate Applicants"	X	X
J	AD-2016, "Form to Assist in Assessment of USDA Compliance With Civil Rights Laws"	X	X
K	Certification regarding known relationship or association with an Agency employee	X	X
(1) (iii)	Legal Organizational documents (<i>except for Sole Proprietors</i>)	X	X
(2)	Table of Contents - Must be included with clear pagination and chapter identification	X	X
(3)	Project Summary	X	X
(i)	Descriptive Title of the Project	X	X
(ii)(a)	Applicant Eligibility – Describe how each of the applicable criteria identified in 4280.109 and 4280.112 is met.	X	X
(ii)(b)	Making satisfactory progress on previous grants? (If applicable)	X	X
(iii)	Project Eligibility – Describe how each of the criteria in 4280.113(a) through (j), as applicable, is met. <i>State if for RE or EE and describe project</i>	X	X
(iv)	Operation description – describe farm/ranch/business operation and project relationship	X	X
(v)	Financial information for gross income or size determination	X	X
(4)	Financial Information		
i, ii, iii	3 years historical financial statements Current year financial statements 3 years pro forma financial statements	N/A	X
(5)	Matching Funds documentation – spreadsheet (sources, amounts) & attachments 4280.116	X	X
(6)	Self Evaluation Score – Appendix F - Scoring Guideline 4280.117	X	X
For all EE	Energy audit or energy assessment – Audit required for all Energy Efficiency projects with total eligible costs > \$50,000 - Conducted by energy auditor.	X	X
(7)	Technical Report – For All projects - See details below	X Appendix A	X Appendix B
	If total eligible project costs exceed \$1,200,000, the technical report must be reviewed and include an opinion by an independent qualified consultant	N/A	X
	RE project – if total eligible costs exceed \$400,000 – need Professional Engineer EE project – if total eligible costs exceed \$200,000 – need Professional Engineer	N/A	X
For RE	Business level feasibility study required for projects w/ total eligible costs > \$200,000	N/A	X
4280.114	Does the applicant meet simplified application criteria? Y / N	X	N/A
4280.119	Construction –owner can participate without compensation or serve as prime contractor/installer.	X	Participate only
Insurance	National flood insurance, if applicable, for both. Business interruption insurance?	N/A	X
Required Information and Format for Technical Reports			
Simplified Grant Application–RD Instruction 4280- B] Appendix A Total Eligible Costs of \$200,000 or less		Full Grant Application Application–RD Instruction 4280- B] Appendix B Total Eligible Costs Greater than \$200,000	
1. Qualifications of key project service providers		1. Qualifications of the project team	
2. Agreements, permits, and certifications		2. Agreements, permits, and certifications	
3. Resource assessment		3. Resource assessment	
4. Design and engineering		4. Design and Engineering	
5. Project development schedule		5. Project development schedule	
6. Project economic assessment		6. Project economic assessment	
7. Equipment procurement		7. Equipment Procurement	
8. Equipment installation		8. Equipment Installation	
9. Operations and maintenance		9. Operations and Maintenance	
10. Dismantling and disposal of project components		10. Dismantling and disposal of project components	

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