USDA-Rural Development

Section 9007
Rural Energy For America Program
Renewable Energy Systems and Energy Efficiency Improvement Grants

Full Grant Application

Title of Project: _____
Address of Project: _____

Submitted by

Applicant Name: _____
Address: _____
City: _____
County: _____
State: _____
Zip code: _____
Phone #: _____
E-mail: _____
Fax: _____

Choose One:

☐ **A Renewable Energy Systems Project (including Flex Fuels Systems)**

or

☐ **An Energy Efficiency Improvements Project**

$ _____ Grant Request
Date Submitted to RD: _____

Combo/Grant Writer Name
Phone # E-mail

Table of Contents

(Title of the Project) _____

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 Table of Contents.

	Simplified Grant Application Components	Tab
I.	**Title Page**	
II.	**Table of Contents**	
III.	**Project Specific Forms** A. SF 424 – Application B. SF 424 – Budget C. SF 424 – 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 exceeding $100,000 D. Form SF-LLL E. AD 1047 F. 400-1 G. 400-4 H. A certification indicating whether or not there is a known relationship or association with an Agency (Rural Development) employee. I. Certification of demonstrated financial need.	**B**
V.	**Legal organizational documents** (including 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 yr. historical income statement, balance sheet, and cash flow B. Current year income statement, balance sheet, and cash flow **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**	**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

Divider Page

Federal Tax ID # (If applying as a sole proprietor and operating under your SSN, use your SSN as your ID number)	
DUNS # and CCR Registration *A DUNS # is required for each REAP application:* 1. *To get a DUNS number, call 1-800-234-3867 or go to www.dunandbradstreet.com/US/duns_update/index.html* 2. Register the DUNS # with the CCR **CENTRAL CONTRACTOR REGISTRATION (CCR)** In accordance with the Federal Funding Accountability and Transparency Act (2 CFR, PART 25) Federal agencies must require applicants other than individuals, with some specific exceptions, to have Dun and Bradstreet Data Universal Numbering System (DUNS) numbers and maintain current registrations in the Central Contractor Registration (CCR) database. CCR registration must be renewed annually. Information needed to complete the CCR registration can be found at: https://www.bpn.gov/ccr/StartRegistration.aspx To begin the CCR registration process, go to: https://www.bpn.gov/ccr/default.aspx	

Project Specific Forms *4280.116 (b) (1) (i) A, B, C, D*

These forms are available in this template or at MN REAP website:

http://www.rurdev.usda.gov/MN-RBS-REAP-LoanGrant.html

Insert the forms immediately after this divider page.

SF 424 – Application for Federal Assistance	☐
SF 424C – Budget Information *To provide a more itemized breakdown of eligible and ineligible expenses, attach a separate spreadsheet*	☐
SF 424D – Assurances	☐
1940-20 – Request for Environmental Information – and documentation *The environmental documentation will vary depending on the project. Complete the 1940-20 and sign it. Consult with the Rural Development Area Office Specialist if you have questions regarding documentation needed.*	☐

APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: Application	Pre-application	**3. DATE RECEIVED BY STATE**	State Application Identifier
☐ **Construction**	☐ **Construction**	**4. DATE RECEIVED BY FEDERAL AGENCY**	Federal Identifier
☐ **Non-Construction**	☐ **Non-Construction**		

5. APPLICANT INFORMATION

Legal Name:		**Organizational Unit**:	
		Department:	
Organizational DUNS:		Division:	
Address:		**Name and telephone number of person to be contacted on matters involving this application (give area code)**	
Street:		Prefix:	First Name:
City:		Middle Name	
County:		Last Name	
State:	Zip Code	Suffix:	
Country:		Email:	
6. EMPLOYER IDENTIFICATION NUMBER *(EIN):*		Phone Number (give area code)	Fax Number (give area code)
☐☐-☐☐☐☐☐☐☐			

8. TYPE OF APPLICATION:	**7. TYPE OF APPLICANT: (**See back of form for Application Types)
☐ **New** ☐ **Continuation** ☐ **Revision**	
If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) ☐ ☐	Other (specify)
Other (specify)	**9. NAME OF FEDERAL AGENCY:**
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐	**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**
TITLE (Name of Program):	
12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*	
13. PROPOSED PROJECT	**14. CONGRESSIONAL DISTRICTS OF:**
Start Date: / Ending Date:	a. Applicant / b. Project

15. ESTIMATED FUNDING:		**16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?**
a. Federal	$ .00	a. Yes. ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON
b. Applicant	$ .00	DATE:
c. State	$ .00	
d. Local	$ .00	b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
e. Other	$ .00	☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
f. Program Income	$ .00	**17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?**
g. TOTAL	$ .00	☐ Yes If "Yes" attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Authorized Representative

Prefix	First Name	Middle Name
Last Name		Suffix
b. Title		c. Telephone Number (give area code)
d. Signature of Authorized Representative		e. Date Signed

Reset Form

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 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 (0348-0043), 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 is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15	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. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	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.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as 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.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

OMB Approval No. 0348-0041

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

FEDERAL FUNDING

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 _____% To autocalculate, press TAB key after entering percent. These instructions will not print.	$ 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.

OMB Approval No. 0348-0042

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 aquired 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 January 23, 2012

REAP Environmental Guidance

Project Example	Environmental Review	Documentation Needed
• Crop Drying Equipment • Improvements to a facility to reduce energy consumption (i.e. lights, freezers, HVAC) • Solar voltaic systems with no ground disturbance	Categorical Exclusion	1. Complete Page 1 of the following form 2. Site Photo 3. Map of Site 4. Project Statement • Details of the proposed project
• Small Wind Turbines - Less than 20kW - Hub height less than 20kW • Geothermal Heating Systems • Small Solar Projects • Anaerobic Digesters	Class I Environmental Review	1. Complete Page 1 of the following form and answer questions 1,2,13,15,16 17 of the narrative 2. Discuss any alternative sites 3. Make sure to include*: - USGS Topographic Map - Satellite Imagery - Site Photos 4. If wind project include: - Photos in all directions from the turbine site - Schematic of electrical line
• Large Solar Projects • Large Biomass (Ethanol, Biodiesel) • Large Wind Turbines	Class II Environmental Review	Complete Page 1 of 1940-20 and complete entire narrative.

* Your USDA Service Center may be able to assist you with a map of the site.

USDA
Form RD 1940-20
(Rev. 4-06)

Position 3

REQUEST FOR ENVIRONMENTAL INFORMATION

FORM APPROVED
OMB No. 0575-0094

Name of Project	
Location	

Item 1a. Has a Federal, State, of 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

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
1. Industrial……	☐	☐	☐
2. Commercial……	☑	☐	☐
3. Residential……	☐	☐	☐
4. Agricultural……	☐	☐	☐
5. Grazing……	☐	☐	☐
6. Mining, Quarrying……	☐	☐	☐
7. Forests……	☐	☐	☐
8. Recreational……	☐	☐	☐
9. Transportation……	☐	☐	☐
10. Parks……	☐	☐	☐
11. Hospital……	☐	☐	☐
12. Schools……	☐	☐	☐
13. Open spaces……	☐	☐	☐
14. Aquifer Recharge Area……	☐	☐	☐
15. Steep Slopes……	☐	☐	☐
16. Wildlife Refuge……	☐	☐	☐
17. Shoreline……	☐	☐	☐
18. Beaches……	☐	☐	☐
19. Dunes……	☐	☐	☐
20. Estuary……	☐	☐	☐
21. Wetlands……	☐	☐	☐
22. Floodplain……	☐	☐	☐
23. Wilderness…… *(designated or proposed under the Wilderness Act)*	☐	☐	☐
24. Wild or Scenic River…… *(proposed or designated under the Wild and Scenic Rivers Act)*	☐	☐	☐
25. Historical, Archaeological Site *(Listed on the National Register of Historic Places or which may be Eligible for listing)*	☐	☐	☐
26. Critical Habits…… *(endangered/threatened species)*	☐	☐	☐
27. Wildlife……	☐	☐	☐
28. Air Quality……	☐	☐	☐
29. Solid Waste Management……	☐	☐	☐
30. Energy Supplies……	☐	☐	☐
31. Natural Landmark…… *(Listed on National Registry of Natural Landmarks)*	☐	☐	☐
32. Coastal Barrier Resources System…	☐	☐	☐

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)*

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 0575-0094. The time required to complete this information collection is estimated to average 6 to 10 hours 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.

INSTRUCTIONS FOR PREPARING FORM RD 1940-20

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 Department 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 constructed 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. Some examples:

A small community center project may not require detailed information on air emissions, meteorological conditions and solid waste management.

A water resource, industrial development, or housing development project will require detailed information.

Item la - Compare the Environmental Impact Statement or Analysis that was previously prepared with the information requested in the instructions for Item lb below to be sure that every point in the information request is covered in the Environmental Impact Statement or Analysis. If any of the requested information is not covered, attach to the Environmental Impact Statement or Analysis a supplemental document that corrects any deficiencies or omissions.

Item lb - Provide responses to the following items in the order listed and attach as EXHIBIT I. In order to understand the full scope of the land uses and environmental factors that need to be considered in responding to these items, it may be helpful to complete Item 3 of the Form before completing these narrative responses. If your application is for a project that Rural Development has classified as a Class I action, complete only parts (1), (2), (13), (15), (16), and (17) of this Item. The Rural Development office from which you received this Form can tell you if your application falls within the Class I category.

(1) Primary Beneficiaries

Identify any existing businesses or major developments that will benefit from the proposal, and those which will expand or locate in the area because of the project. These businesses or major developments hereafter will be referred to as primary beneficiaries.

(2) Area Description

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 areas, and areas affected by the primary beneficiaries.
IDENTIFY THE TOWNSHIP, RANGE, AND SECTION NUMBER OF THE PROJECT LOCATION.

b. For each box checked "Yes" in item 3, describe the nature of the effect on the resources. If one or more of boxes 17 through 22 is checked "Yes" or "Unknown," contact Rural Development for instructions relating to the requirements imposed by the Floodplain Management and Wetland Protection Executive Orders.

c. Attached as Exhibit II the following: 1) a U.S. Geological Survey "15 minute" ("7 ½ minute" if available) topographic map which clearly delineates the area and the location of the project elements; 2) the Federal Emergency Management Administration's floodplain map(s) for the project area; 3) site photos; 4) if completed, a standard soil survey for the project area; and 5) if available, an aerial photograph of the site. If a floodplain map is not available, contact Rural Development for additional instructions relating to the requirements imposed by the Floodplain Management Executive Order.

(3) Air Quality

a. Provide available air quality data from the monitoring station(s) either within the project area or, if none exist nearest the project area.

b. Indicate the types and quantities of air emissions to be produced by the project facilities and its primary beneficiaries. If odors will occur, indicate who will be affected.

c. Indicate if topographical or meteorological conditions hinder the dispersal of air emissions.

d. Indicate the measures to be taken to control air emissions.

(4) Water Quality

a. Provide available data on the water quality of surface or underground water in or near the project area.

b. Indicate the source, quality, and available supply of raw water and the amount of water which the project is designed to utilize.

c. Describe all of the effluents or discharges associated with the project facilities and its primary beneficiaries. Indicate the expected composition and quantities of these discharges prior to any treatment processes that they undergo and also prior to their release into the environment.

d. Describe any treatment systems which will be used for these effluents and indicate their capabilities and their adequacy in terms of the degree and type of treatment provided. Indicate all discharges which will not be treated. Describe the receiving waters and their uses (e.g., recreational) for any sources of treated and untreated discharge.

e. If the treatment systems are or will be inadequate or overloaded, describe the steps being taken for necessary improvements and their completion dates.

f. Describe how surface runoff will be handled if not discussed in (d) above.

(5) Solid Waste Management

a. Indicate the types of quantities of solid wastes to be produced by the project facilities and its primary beneficiaries.

b. Describe the methods for disposing of these solid wastes plus the useful life of such methods.

c. Indicate if recycling or resource recovery programs are or will be used.

(6) Transportation

a. Briefly describe the available transportation facilities serving the project area.

b. Describe any new transportation patterns which will arise because of the project.

c. Indicate if any land uses, such as residential, hospitals, schools or recreational, will be affected by these new patterns.

d. Indicate of any existing capacities of these transportation facilities will be exceeded. If so, indicate the increased loads which the project will place upon these facilities, particularly in terms of car and truck traffic.

(7) Noise

a. Indicate the major sources of noise associated with the project facilities and its primary beneficiaries.

b. Indicate the land uses to be affected by this noise.

(8) Historic/Archeological Properties

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

b. Attach as EXHIBIT III any historical/archaeological survey that has been conducted for the project area.

(9) Wildlife and Endangered Species

a. Identify any known wildlife resources located in the project area or its immediate vicinity.

b. Indicate whether to your knowledge any endangered or threatened species or critical habitats have been identified in the project area or its immediate vicinity.

(10) Energy

a. Describe the energy supplies available to the project facilities and the primary beneficiaries.

b. Indicate what portion of the remaining capacities of these supplies will be utilized.

(11) Construction

a. Describe the methods which will be employed to reduce adverse impacts from construction, such as noise, soil erosion and siltation.

(12) Toxic Substances

a. Describe any toxic, hazardous, or radioactive substances which will be utilized or produced by the project facilities and its primary beneficiaries.

b. Describe the manner in which these substances will be stored, used, and disposed.

(13) Public Relation

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

b. If a public hearing has been held, attach a copy of the transcript as EXHIBIT IV. If not, certify that a hearing was not held.

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

(14) Alternatives to the Proposed Project

Provide a description of any of the following types of alternatives which were considered:

a. Alternative locations.

b. Alternative designs.

c. Alternative projects having similar benefits.

(15) Mitigation Measures

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

(16) Permits

(a) Identify any permits of an environmental nature which are needed for the project.

(b) Indicate the status of obtaining each such permit and attach as EXHIBIT V any that have been received.

(17) 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.

Item 2 - All applicants are required to provide the State Historic Preservation Officer (SHPO) with (a) a narrative description of the project's elements and its location, (b) a map of the area surrounding theproject which identifies the project site, adjacent streets and other identifiable objects, (c) line drawings or sketches of the project and (d) photographs of the affected properties if building demolition or renovation is involved. This material must be submitted to the SHPO no later than submission of this Form to Rural Development . Additionally, the SHPO must be requested to submit comments on the proposed project to the Rural Development office processing your application.

Item 3 - Self-explanatory.

Item 4 - Self-explanatory.

Tab B

Divider Page

Certifications *4280.116(b) (1) (ii) A through H*	
These forms are available in this template or at the MN REAP Website: http://www.rurdev.usda.gov/MN-RBS-REAP-LoanGrant.html. *Place the following forms behind this divider page.*	Please indicate: **X** *(enclosed)* *or* **N/A** *(not applicable)*
AD 1049 Certification Regarding Drug Free Workplace Requirements (Grants) Alternative 1 – "For Grantees other than Individuals"	☐
AD 1048 Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tiered Covered Transactions	☐
Exhibit A-1 of 1940-Q Certification for Contracts, Grants and Loans – required if the grant exceeds $100,000	☐
Form SF-LLL 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.	☐
AD 1047 Certification Regarding Debarment, Suspension, and Other Responsibility – Primary Covered Transactions	☐
Form 400-1 Equal Opportunity Agreement	☐
Form 400-4 Assurance Agreement	☐

UNITED STATES DEPARTMENT OF AGRICULTURE

CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS (GRANTS)
ALTERNATIVE I - FOR GRANTEES 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 page 2)

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) Notifying the agency in writing, within ten 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;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted --

(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)

_____

_____

_____

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

_____
Organization Name

_____
Award Number or Project Name

_____
Name and Title of Authorized Representative

_____
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 known, 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 used 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 INSTRUCTIONS 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.

Organization Name **PR/Award Number or Project Name**

Name(s) and Title(s) of Authorized Representative(s)

Signature(s) **Date**

Form AD-1048 (1/92)

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.

•U. S.GPO: 1996-757-776/201 07

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action:	2. Status of Federal Action:	3. Report Type:
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year _____ quarter _____ date of last report _____

4. Name and Address of Reporting Entity:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:
☐ **Prime** ☐ **Subawardee** Tier _____, *if known*: **Congressional District**, *if known*: 4c	**Congressional District**, *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known*:	**9. Award Amount,** *if known*: $
10. a. Name and Address of Lobbying Registrant (*if individual, last name, first name, MI*):	**b. Individuals Performing Services** (*including address if different from No. 10a*) (*last name, first name, MI*):
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

PRINT

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 employeeof a Member of Congress in connection with a covered Federal action. 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 organizationallevel 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 registrant under the Lobbying Disclosure Act of 1995 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. 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 10 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.

Organization Name | PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s) | Date

Clear Form

Form AD-1047 (1/92)

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.

Form RD 400-1
(Rev 5-00)

UNITED STATES DEPARTMENT OF AGRICULTURE

FORM APPROVED
OMB No. 0575-0018

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 (g) 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

_____
Recipient

(CORPORATE SEAL)

_____
Name of Corporate Recipient

Attest:

_____
Secretary

By _____
President

Position 3

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

FORM APPROVED
OMB No. 0575-0018

ASSURANCE AGREEMENT

(Under Title VI, Civil Rights Act of 1964)

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.

_____
Recipient

(S E A L)

_____
Date

Attest: _____
Title

_____
Title

According to the Paperwork Reduction Act of 1995, 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 0570-0018. The time required to complete this information 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.

Tab C

Divider Page

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

Except for sole proprietors, each applicant must submit copies of legal organizational documents.

Tab D

Divider Page

Project Summary *4280.116 (b) (3) (i) through (v)*

Title of the project	
Applicant Eligibility (as per 4280.112)	
Project Eligibility (as per 4280.113)	
Operation Description	
Financial Information for Size Determination	

IRS Forms	**D-1**	
NAICS code information if applicable	**D-2**	
Documentation of commercially available	**D-3**	
Third party contracts for management and maintenance *(if applicable)*	**D-4**	
Evidence of site control	**D-5**	

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. 50% or greater of gross income is determined as follows:

Line 11 of IRS form Schedule F divided by
(Line 22 IRS form 1040) + (Line 35 of IRS form Schedule F) + (Line 28 and 30 from Schedule C)

Attached are previous year IRS forms to confirm the computation (Exhibit D-1).

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 except for Tribal business formed as Section 17 Corporations as determined by the Secretary of the Interior or other Tribal business entities that have similar structures and relationships with their Tribal governments as determined by the Agency. The Agency shall determine the small business status of such a Tribal entity without regard to the resources of the Tribal government. With the exception of the entities described above, all other non-profit entities are excluded. With the exception of the entities described above, all other non-profit entities are excluded. See this website for SBA's size standards and for more information: http://sba.gov/content/table-small-business-size-standards/

Guide 5 Section 9007 RURAL ENERGY FOR AMERICA Program Applicant & Project Eligibility

Applicant Name: _____

Title of Project:

Type of Technology: ☐ Renewable Energy (including Flex Fuel Systems) or ☐ Energy Efficiency

Applicant Eligibility (4280.112)

WHEREAS, _____ herein called the "Grantee/Applicant", intends to obtain assistance from the United States of America, acting through the U.S. Department of Agriculture, herein called the "Government", acting under the provisions of the Section 9007 Rural Energy for America Program.

NOW THEREFORE, in consideration of the premises, the Grantee hereby certifies to their applicant eligibility as follows (for any not applicable, mark N/A):

1. ☐ **If applying** as an Agricultural Producer – more than 50% of the grantee'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 grantee's business meets SBA small business size Standards http://sba.gov/content/table-small-business-size-standards/

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. _____ *(Answer True or False)* The grantee has no outstanding judgment from Federal Court, is not delinquent in federal income taxes or federal debt, and has not been debarred from receiving federal assistance.

3. _____ *(Answer True or False)* I have received a Section 9006 or 9007 grant in prior years.

If the answer is *true* – please indicate the year _____ and type of project _____.

The grantee ☐ does or ☐ does not have a known relationship or association with an Agency employee. If applicable, name and relationship of employee:

_____

IN WITNESS WHEREOF, I have executed this certification on this _____ day of _____, 20 .

_____
Name of Applicant/Grantee

_____
Printed Name of Authorized Representative of Applicant/Grantee

_____
Signature of Authorized Representative of Applicant/Grantee

Project Eligibility (4280.113)

WHEREAS, _____ herein called the "Grantee/Applicant", intends to obtain assistance from the United States of America, acting through the U.S. Department of Agriculture, herein called the "Government", acting under the provisions of the Section 9007 Rural Energy for America Program.

NOW THEREFORE, in consideration of the premises, the Grantee hereby certifies to their project eligibility as follows (for any not applicable, mark N/A):

1. Type of Technology: ☐ Renewable Energy (including Flex Fuel Systems) or ☐ Energy Efficiency
   The project description is: _____

2. 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.

3. _____ The project has technical merit *(Answer yes or no).*

4. _____ The project is located in a rural area, as defined in 4280.103 *(Answer yes or no).*
   The project will be located in _____.
   The address is _____.
   The most recent decennial population census of the project location is _____.
   The project ☐ **is** or ☐ **is not** located in an urbanized area.
   If applicant is an agriculture producer and the facility is located in a non rural area, the subject renewable installation or efficiency improvement are an integral component of or are directly related to the facility, such as vertically integrated operation, and are part of and co-located with the agriculture production operation. (Yes or No)

5. 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).*

6. ☐ I will control the site where the project will be located – for the useful life of the proposed technology.
   ☐ *Attached is documentation of this control.*

7. _____ I 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).*

IN WITNESS WHEREOF, I have executed this certification on this _____ day of _____, 20 .

_____
Name of Applicant/Grantee

_____
Printed Name of Authorized Representative of Applicant/Grantee

_____
Signature of Authorized Representative of Applicant/Grantee

D. 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.

E. Financial Information for Size Determination

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 (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.

IRS forms submitted are as follows (please check as applicable):

- ☐ IRS form 1120 – Corporation
- ☐ IRS form 1120S – "S" corporation
- ☐ IRS form 1065 – Partnership
- ☐ IRS Schedule F – Farming
- ☐ IRS Schedule C – Business
- ☐ IRS Form 1040

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.

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

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

_____ IRS form 1120 – Corporation – line 11
_____ IRS form 1120 S – "S" Corporation – line 6
_____ IRS form 1065 – Partnership – line 8
_____ IRS Schedule C – Business – line 7
_____ IRS Schedule F – Farming – line 11

Documentation as to the number of employees is as follows:

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.

_____IRS form 1120 – Corporation – Line 1a
_____IRS form 1120 S – "S" Corporation – Line 1a
_____ IRS form 1065 – Partnership – Line 1a
_____ IRS Schedule C – Business – Line 1
_____IRS Schedule F – Farming – Line 11

*Line 11 of IRS form Schedule F **divided** by*
(Line 22 IRS form 1040) + (Line 35 of IRS form Schedule F) + (Line 28 and 30 from Schedule C (gross non-farm income)

Tab E

Divider Page

Financial Information

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

A financial statement typically includes an income statement, balance sheet and cash flow statement.

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 yr. 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 Practices (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.	☐
3 yr. pro forma financial statements **Pro forma balance sheet** – Provide pro forma balance sheet at start-up 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.	☐

Tab F Divider Page	
Matching Funds Documentation *4280.116 (b) (5)*	
A **spreadsheet** identifying **sources of matching funds, amounts** and **status** of matching funds. The spreadsheet must also include a directory of matching funds source contact information.	☐
Attach any applications, correspondence, or other written communication between applicant and matching fund source.	☐
The matching funds letter is not a letter of intent. **It is a <u>commitment</u> to the project for a specific amount of dollars.**	☐

- If financial resources come from the **grantee**, the grantee will submit documentation in the form of a bank statement that demonstrates availability of funds.

- If a **lender** is providing financial assistance, then a commitment letter, signed by an authorized bank official would be needed. The letter must be:
  - Specific to the project,
  - Outline the amount of the loan, rates and terms.

  - A letter of intent or a pre-qualification letter would not be acceptable.
  - Letters that condition the funding on bank approval or other underwriting requirements is not acceptable.
  - An acceptable condition may be based on the receipt of the REAP grant or an appraisal of property being completed.

Without specific statutory authority, other Federal grant funds 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 4280.112 (applicant eligibility).

Applicant Name: _____
Matching Funds Documentation Spreadsheet
Title of Project: _____
Total Cost $ _____

	Source of Funds	Contact: Name Address Business Phone Fax	Dollars	Status of funds	Attachments to verify status
1	**Section 9007 Grant**	**Area Office:**	$	Pending award of grant	No
2	**Guaranteed 9007 Loan**	**Applicant**: Ph: ( ) - Fax: ( ) -	$	Pending award	
3	**Applicant Funds**	 Ph: ( ) - Fax: ( ) -	$	Committed	Applicant letter of commitment or bank statement
4	**Lending Institution Loan**	 Ph: ( ) - Fax: ( ) -	$		
5		 Ph: ( ) - Fax: ( ) -	$		
6		 Ph: ( ) - Fax: ( ) -	$		
7	**Investor Funds**	 Ph: ( ) - Fax: ( ) -	$		
		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).	☐
Use Appendix F to 4280-B or Guide 4 – Scoring Guideline to complete.	Guide 4 follows this divider page.
To justify the score, submit the total score along with appropriate calculations and attached documentation, or specific cross-references to information elsewhere in the application. Tab the documentation attached to the score sheet to match the scoring criteria number. For example: Scoring criteria #1 – tab the documentation #1 Scoring criteria #7—**attach bids outlining total project costs**, tab as #7	

Renewable Energy and Energy Efficiency Improvement Program
Evaluation Criteria Scoring Guideline
Per 4280-B Regulation – 4280.117 (c)

Name of Applicant: _____

Type of Technology: _____

Funding Request: _____

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

List the maximum points the applicant is eligible for under each of the following ten categories, sum the individual scores, and place the total in the above box under "Final Total Score."

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

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

(A) 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:

	Points
Greater than 0 but equal to or less than 25%, **award 5 points**.	
Greater than 25%, but equal to or less than 50%, **award 10 points**.	
Greater than 50%, **award 15 points**.	
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 to substantiate the score for this category:

OR

(B) 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:

	Points
20% up to but not including 30%, **award 5 points.**	
30% up to but not including 35%, **award 10 points.**	
35% or greater, **award 15 points.**	

Energy savings will be determined by the projections in an energy assessment or audit.

(2) Additional points.

	Points
If the project has total eligible project costs of $50,000 or less AND opts to obtain a professional energy audit, **award an additional 5 points**.	

Documentation to substantiate the score for this category:

OR

(C) Energy generation

	Points
If the proposed renewable energy system is intended primarily for production of energy for sale, **award 10 points.**	

Documentation to substantiate the score for this category:

OR

(D) Flexible fuel system(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.

	Points
If the proposed flexible fuel pump percentage calculated is 5% or below, **award 5 points**	
If the proposed flexible fuel pump percentage calculated is above 5% and up to, but not including 10%, **award 10 points**	
If the proposed flexible fuel pump percentage calculated is 10 percent and above, **award 15 points**	
The percentage of proposed flexible fuel systems shall be calculated using the following equation: ***Equation: FFP% = (FFPx / TP) x 100*** *FFP% = Proposed flexible fuel system(s), percentage.* *FFPx = Number of proposed flexible fuel pump(s) 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 to substantiate the score for this category below.

(2) Environmental benefits

	Points
If the purpose of the proposed system contributes to the environmental goals and objectives of other Federal, State, or local programs, **award 10 points**.	

Documentation to substantiate the score for this category:

(3) Commercial availability

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

Documentation to substantiate the score for this category:

(4) Technical Merit

	Points
The Agency will conduct a Technical Review of your project. The total points possible for Technical Merit are 35. Please ensure that the applicable technical report is completed in detail.	

(5) Readiness

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

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

Documentation 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:

	Points
less than $600,000 in the preceding year, **award 5 points.** less than $200,000 in the preceding year, **award 10 points.**	

OR

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), **award 10 points.**	

Documentation to substantiate the score for this category:

(7) Simplified application/low cost projects

	Points
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, **award 5 points.**	

Documentation to substantiate the score for this category:

(8) Previous grantees and borrowers

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

Documentation to substantiate the score for this category:

(9) Simple 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.

(A) Renewable energy systems (including flexible fuel pumps)

If the simple payback of the proposed project is:

	Points
Less than 10 years, **award 15 points.**	
10 years up to but not including 15 years, **award 10 points.**	
15 years up to and including 20 years, **award 5 points.**	
Longer than 20 years, **award 0 points.**	

Documentation to substantiate the score for this category

For energy generation projects, the calculation for simple payback is as follows=
Total Project Costs (including REAP grant) of $ **divided** by {Average Net Income* + Interest Expense + Depreciation Expense (for the project)} of $ = simple payback (years)

**Average Net Income:*

- All energy related revenue streams which include monetary benefits from Production Tax Credits (PTC), Renewable Energy Credit, Carbon Credits, revenue from byproducts produced by the energy system and other incentives that be annualized.
- Is income remaining after all project obligations are paid (operating and maintenance), expect interest and depreciation
- Should be based on the project's typical year income (which is after the project is operating and stabilized) projections at the time of application submittal.
- Does not include Investment Tax Credits, State tax incentives or other one-time construction and investment related benefits that cannot be annualized to be included as income or reduce total eligible project costs.

For energy generation project, the calculation for simple payback is as follows=
Total Project Cost (including REAP Grant) of $ ***divided*** *by Dollar Value of Energy Generated* $ = Simple Payback (Years)*

**Dollar Value of Energy Produced or Saved* incorporates the following:

- All energy related revenue streams which include monetary benefits from Production Tax Credit (PTC), Renewable Energy Credit, Carbon Credits, revenue from byproducts produced by the energy system and, other monetary incentives that can be annualized.
- Does not allow energy efficiency improvements to monetize benefits other than the dollar amount of the energy savings the agricultural producer or rural small business may realize as a result of the improvement.
- Does not allow Investment Tax Credits, State tax incentives or other one time construction and investment related benefits that cannot be annualized to be included as income or reduce total eligible project costs.
- Energy saved or replaced should be calculated on quantity (BTU) and converted to a monetary value using a constant value or price of energy. Original building & equipment energy use in 12 months prior to application should be compared to the projected quantity of annual energy use for the same size or capacity as original. For equipment if capacity differs, projected energy used for the new equipment should be adjusted to the ratio of the capacity of the replaced equipment to the new.

For flexible fuel pumps, the calculation for simple payback is as follows=
Total Project Costs (including REAP Grant)of $ ***divided by*** *(Increase in Net Income* + Interest Expense + Depreciation Expense (for the project) of $ = Simple Payback (years)*

**Increase in Net Income:*

- Is based on all flexible fuel pump related net income (the projected increase in annual net income resulting by the installation of the project), which includes monetary benefits from Tax Credits and other credits or incentives that can be annualized.
- Is based on income remaining after all project obligations are paid (operating and maintenance), except interest and depreciation as noted above.
- Is based on the Agency's review and acceptance of the project's typical year income (which is after the project is operating and stabilized) projections at the time of application submittal.
- Does not allow State tax incentives or other one-time construction and investment related benefits that cannot be annualized to be included as income or reduce total eligible project costs.

(B) Energy efficiency improvements

If the simple payback of the proposed project is:	**Points**
Less than 4 years, **award 15 points**.	
4 years up to but not including 8 years**, award 10 points**.	
8 years up to and including 12 years, **award 5 points**.	
Longer than 12 years, **award 0 points**.	

For energy generation project, the calculation for simple payback is as follows=
Total Project Cost (including REAP Grant) of $ ***divided*** *by Dollar Value of Energy Generated**
$ = Simple Payback (Years)

**Dollar Value of Energy Produced or Saved* incorporates the following:

- All energy related revenue streams which include monetary benefits from Production Tax Credit (PTC), Renewable Energy Credit, Carbon Credits, revenue from byproducts produced by the energy system and, other monetary incentives that can be annualized.
- Does not allow energy efficiency improvements to monetize benefits other than the dollar amount of the energy savings the agricultural producer or rural small business may realize as a result of the improvement.
- Does not allow Investment Tax Credits, State tax incentives or other one time construction and investment related benefits that cannot be annualized to be included as income or reduce total eligible project costs.
- Energy saved or replaced should be calculated on quantity (BTU) and converted to a monetary value using a constant value or price of energy. Original building & equipment energy use in 12 months prior to application should be compared to the projected quantity of annual energy use for the same size or capacity as original. For equipment if capacity differs, projected energy used for the new equipment should be adjusted to the ratio of the capacity of the replaced equipment to the new.

(10) State Director and Administrator priorities and points

	Points
State Director, for its State Allocation under this subpart, or the Administrator, for making awards from the National Office reserve may award 10 points.	

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.

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Energy Audit
(for Energy Efficiency Projects Only) *4280.116 (b) (7) (i) (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 and 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

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

The Technical Report must be prepared in accordance with **Appendix B**, for projects with total eligible project costs exceeding $200,000.	
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.	
The services of a **professional engineer** (P.E.) or team of licensed PE's are required on -**renewable energy** projects with total eligible project costs **exceeding $400,000**. -and for **energy efficiency** projects with total eligible project costs **exceeding $200,000**. Services include a design review, installation monitoring, testing prior to commercial operation and project completion certification.	
Projects exceeding total eligible costs of $1,200,000, the technical report must be reviewed and include an opinion and recommendation by an independent qualified consultant.	
All information provided in the Technical Report will be evaluated against the **requirements** provided in Appendix A of this subpart. Any Technical Report not prepared in the following format and in accordance with Appendix A, where applicable, will be penalized under scoring for technical merit.	
Technical Report Requirements – Please consult Appendix B guidelines at http://www.rurdev.usda.gov/MN-RBS-REAP-LoanGrant.html	
(1) **Qualifications of the Project Team –** 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.	
(2) **Agreements and Permits –** The applicant has described the necessary agreements and permits required for the project and the schedule for securing those agreements and permits.	
(3) **Energy or Resource Assessment –** The applicant has described the quality and availability of a suitable renewable resource, or an assessment of expected energy savings for the proposed system.	
(4) **Design and Engineering –** The applicant has described the design, engineering, and testing needed for the proposed project. The description supports that the system will be designed, engineered, and tested so as to meet its intended purpose, ensure public safety, and comply with applicable laws, regulations, agreements, permits, codes, and standards.	
(5) **Project Development Schedule –** 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.	
(6) **Project Economic Assessment** – 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.	
(7) **Equipment Procurement –** 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 development schedule.	
(8) **Equipment Installation –** The applicant has described the plan for site development and system installation.	
(9) **Operations and Maintenance –** The applicant has described the operations and maintenance requirements of the system necessary for the system to operate as designed over the design life.	
(10) **Dismantling and Disposal of Project Components –** The applicant has described the plan for dismantling and disposing of project components at the end of their useful lives and associated wastes.	

Tab J

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Feasibility Study
4280.103 (b) (8)
(required for renewable energy projects only which exceed $200,000 in total eligible costs)

For each application for a renewable energy system project, with total eligible project costs greater than $200,000, a business-level feasibility study is required.	☐
An independent qualified consultant will be required by the Agency for start-up businesses or existing businesses when the project will significantly affect the applicant's operations.	☐
An acceptable business-level feasibility study must at least include an evaluation of economic, market, technical, financial, and management feasibility.	☐