

Water and Wastewater Program

APPLICATION GUIDE

Committed to the
future of rural
communities

United States
Department of Agriculture
Rural Development
Nevada



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S:\COMMUNITY PROGRAMS\Internal to the State Office\Administrative\Master Documents for

Follow the steps shown in this guide to complete an application package under USDA Rural Development's Water and Wastewater Programs.

APPLICABLE PROGRAMS

This application guide is designated for the following programs:

- **Water and Waste Disposal Loan and Grant Program**
- **Emergency and Imminent Community Water Assistance Grant**
- **Native Americans—Section 306C Water and Waste Disposal Grants**

Counties	Contact Name and Number
Clark, Elko, Esmeralda, Eureka, Lincoln, Nye, White Pine	<i>Cheryl Couch</i> 775-887-1222 ext. 113 Cheryl.couch@nv.usda.gov
Humboldt, Lander, Pershing, Storey	<i>Barbara Allen</i> 775-887-1222 ext. 111 Barbara.allen@nv.usda.gov
Churchill, Douglas, Lyon, Mineral, Washoe	<i>Lisa Goodfellow</i> 775-887-1222 ext. 114 Lisa.goodfellow@nv.usda.gov
General Information	<i>Jeff Goldsberry</i> 775-887-1222 ext. 104 Jeff.goldsberry@nv.usda.gov

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DEADLINES

Applications can be submitted at any time and will be processed on a first come, first served basis, based on funding availability.

APPLICATION GUIDE

Applicants are encouraged to contact USDA Rural Development early in the project development process to discuss project financing on an informal basis. USDA Rural Development will typically conduct a site visit with the applicant to discuss the project. After initial discussion with USDA Rural Development Staff, entity submits application, Preliminary Engineering Report (PER), Environmental Report (ER), financial feasibility (including project overview), construction budget, and short lived assets. For assistance, please see contact information on page one.

Upon receipt of an application, USDA Rural Development will complete an overall review of the financial, environmental, and engineering components of the project. This includes an evaluation of applicant for eligibility, ability to obtain credit elsewhere, evaluation of the proposed project, and debt service capability. An environmental review will be conducted to determine what environmental impacts the proposed project will have, if any. During this stage of the project, the preliminary engineering and environmental components are heavily emphasized as they are critical to development of the application and normally take the most time to complete. USDA Rural Development advises against taking any actions or incurring any obligations which would either limit the range of the alternatives to be considered or have an adverse effect on the environment.

If the application is given further consideration by the approval official, USDA Rural Development (RD) will issue a Letter of Conditions to the applicant outlining the conditions of approval that must be met prior to receiving funds.

There are three levels of interest rates available (poverty, intermediate, and market) each on a fixed basis. Eligibility for these different interest rates is determined by the median household income (MHI) of the area being served and the type of project. Poverty rate is based on **documented** health and/or sanitary violations. This documentation should come from a regulatory agency. To obtain the current interest rate, please call 775-887-1222, ext. 104.

Loans are made based on the applicant's authority and the life expectancy of the system's project, which may be up to the maximum of 40 years.

For loans over \$500,000, USDA RD may require the applicant to obtain a construction loan to complete the project. Applicant and other leveraged funds are used first, then USDA RD Loan funds, and finally, USDA RD grant funds.

USDA RD loan payments must be made by automatic debits (electronic funds transfer) from the borrower's account. **RD loans have no pre-payment penalties and if the borrower would like to make extra payments they are free to do so.**

The borrower is subject to routine periodic servicing actions – review of financial records, civil rights compliance reviews, and security inspections throughout the life of the loan.

All loans are subject to graduation reviews. If it appears that the borrower can obtain financing at reasonable rates and terms in the future, without causing user rates to rise beyond what is reasonable for similar communities, the borrower **may be** required to refinance their debt through other credit.

APPLICATION CHECKLIST

Send the original application items to USDA-RD

A **complete** Rural Development application consists of the following items:

- Completed Standard Forms (SF) 424, 424-C, 424-D - *Application for Federal Assistance, construction budget and assurances*, see pages 6-15.**

NOTE: in block 10 of SF 424, insert the appropriate Catalog of Federal Domestic Assistance (CFDA) number as follows:

Water and Waste Disposal Loan and Grant Program -	10.760
Emergency and Imminent Community Water Assistance Grant -	10.763
Native Americans Section 306C Grants -	10.770

- DUNS and CCR:** in block 5 of SF 424, DUNS stands for “Data Universal Numbering System.” It is a unique nine-character number that identifies your organization. It is a tool of the Federal government to track how Federal money is distributed. Most large organizations that receive Federal funds already have a DUNS number. If your organization does not have a DUNS number, call 866-705-5711 or use the following Dun & Bradstreet (D&B) online registration web link to receive one free of charge at: <http://fedgov.dnb.com/webform/displayHomePage.do>.

In addition to having a DUNS, applicants must be registered in the Central Contractor Registration (CCR) prior to submitting an application. Registration information can be found at <https://www.bpn.gov/ccr/>. Completing the CCR registration process takes up to five business days, and applicants are strongly encourage to begin the process early.

The CCR registration must remain active, with current information, at all times during which an entity has an application under consideration by an agency or has an active Federal Award. To remain registered in the CCR database after the initial registration, the applicant is required to review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR database to ensure it is current, accurate and complete.

- Credit Elsewhere**, to qualify, applicants must be unable to obtain the financing from other sources at rates and terms they can afford and/or from their own resources – see item 3, page 16.
- Water and Wastewater Application Certification**, see page 16.
- Existing Debt and Proposed Loan Security**, see page 17.
- Operating Budget**, current and projected revenues and expenses for facility being financed, including proposed decreases/increases in operational costs. Applicants may use own form or budget submitted to the Department of Taxation, or Form RD 442-7, which can be found at <http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD442-7.PDF>. Budget must be signed.
- CURRENT Balance Sheet** – within the last 90 days. Applicants may use own form or Form RD 442-3, found at <http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD442-3.PDF>. Balance sheet must be signed.

- Audits and/or Financial Statements** – copy of most recent annual audit or Financial Statements.

- Organizational information on applicant**, see page 18.
- Notice of Intent to File Application**, see page 19.
- Ensure the following are included in your preliminary engineering report**, instructions for which can be found at http://www.rurdev.usda.gov/RDU_bulletins_water_and_environmental.html.
 - **Information on health or sanitation factors.** Attach copies of any violation notices received.
 - **Information on what percentage of users are full-time users, part-time users?**
 - **Copy of water audit/usage** – number of EDUs – Equivalent Dwelling Units
 - **List of users**, by name, expected to use over 20,000 gallons per month
 - **Legal description and/or location (address) of project, including map(s).**
 - **A schedule of Short Lived Assets (0-15 years) related to facility being financed.**
 - **Information on land to be purchased, rights-of-way or easements to be obtained and associated costs.**
 - **Copy of rules of operation, current rate schedule (all fees charged for all services), date of last rate change and amount of last rate change.**
- Information on how the consulting engineer was selected.**
- Copies of all agendas, and meeting minutes where your project was discussed**, in particular discussions to apply to USDA Rural Development for funding.
- If you own an electric utility please provide certification of no “tying” requirements** – this means that a water or sewer customer is not required to connect to the electric utility in order to obtain water or sewer service.

Required Forms and Information

- AD 1047 – Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions;
<http://www.usda.gov/rus/water/forms/ad1047.pdf>
- AD 1049 – Drug Free Workplace; <http://www.usda.gov/rus/water/forms/ad1049.pdf>
- RD 400-1 Equal Opportunity Agreement;
<http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD400-1.PDF>
- RD 400-4 Assurance Agreement;
<http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD400-4.PDF>
- RD 442-3 Balance Sheet;
<http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD442-3.PDF>
- RD 442-7 Operating Budget;
<http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD442-7.PDF>.
- RD 1910-11 Federal Collection Policies;
<http://forms.sc.egov.usda.gov/efcommon/eFileServices/eForms/RD1910-11.PDF>.

- RD 1940-Q EX A-1; see page 20.
- SF LLL Disclosure of Lobbying; <http://www.rurdev.usda.gov/SupportDocuments/SFLLL.pdf>
- SF 424 Application with Instructions, included in packet after page 6.
- SF 424 C Budget Construction, included in packet.
- SF 424 D-V1.1 Assurances Construction, included in packet.

RUS Instruction 1780 is available on line at: http://www.rurdev.usda.gov/RDU_regulations_utilities.html

and the RUS Preliminary Engineering Bulletins 1780-2, 1780-3, 1780-4 and 1780-5 are available on-line at http://www.rurdev.usda.gov/RDU_bulletins_water_and_environmental.html .

RUS Environmental Bulletin 1794A-602 - Guide for Preparing the Environmental Report for Water and Environmental Program Proposals is also available on-line at:
http://www.rurdev.usda.gov/RDU_bulletins_water_and_environmental.html

Forms are available on-line at the following site: <http://forms.sc.egov.usda.gov/eForms/welcomeAction.do?Home?>.



INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 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 (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina's 103 rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions: a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.		
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website	18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).	19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the		

	assistance activity, if applicable.		State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State																								
	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.	20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. 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. If yes, include an explanation on the continuation sheet.																								
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.	21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)																								
	<table border="1"> <tr> <td>A. State Government</td> <td>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td>B. County Government</td> <td>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Private Institution of Higher Education</td> </tr> <tr> <td>D. Special District Government</td> <td>P. Individual</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Small Business</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Hispanic-serving Institution</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Non-domestic (non-US) Entity</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td>X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)		
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Application for Federal Assistance SF-424	
*1. Type of Submission <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	*2. Type of Application *If Revision, select appropriate letter (s) <input type="checkbox"/> New <input type="checkbox"/> Continuation Other (Specify) <input type="checkbox"/> Revision _____
3. Date Received (M/D/YYYY)	4. Applicant Identifier
5a. Federal Entity Identifier N/A	*5b. Federal Award Identifier: N/A
State Use Only:	
6. Date Received by State: N/A	7. State Application Identifier: N/A
8. Applicant Information	
*a. Legal Name: _____	
*b. Employer/Taxpayer Identification Number (EIN/TIN): _____	*c. Organizational DUNS: _____
d. Address:	
*Street 1: _____ Street 2: _____ *City: _____ County: _____ *State: _____ NV _____ Province: _____ *Country: _____ *Zip/Postal Code: _____	
e. Organizational Unit	
Department Name: _____	Division Name: _____
f. Name and contact information of person to be contacted on matters involving this application:	
Prefix: _____	*First Name: _____
Middle Name: _____	
*Last Name: _____	
Suffix: _____	
Title: _____	
Organizational Affiliation: _____	
*Telephone Number: _____	Fax Number: _____
*Email: _____	

Application for Federal Assistance SF-424

***9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other: (Specify):

***10. Name of Federal Agency:**

USDA Rural Development

11. Catalog of Federal Domestic Assistance Number:

CFDA Title

***Funding Opportunity Number:**

N/A

*Title

N/A

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

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

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
*a. Applicant: _____	*b. Program/Project: _____
17. Proposed Project:	
*a. Start Date: _____	*b. End Date: _____
18. Estimated Funding (\$):	
*Federal	
*b. Applicant	
*c. State	
*d. Local	
*e. Other	
*f. Program Income	
*g. TOTAL	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input type="checkbox"/> c. Program is not covered by E.O. 12372	
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation on following page.)	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>21. * By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)</p> <input type="checkbox"/> ** I AGREE	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions	
Authorized Representative:	
Prefix: _____	*First Name: _____
Middle Name: _____	
*Last Name: _____	
Suffix: _____	
*Title: _____	
*Telephone Number: _____	Fax Number: _____
*Email: _____	
*Signature of Authorized Representative	*Date Signed:

Application for Federal Assistance SF-424

Applicant Federal Debt Delinquency Explanation

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

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.

Line 6 - Enter estimated engineering inspection costs.

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."

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

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."

Line 9 - Enter estimated cost of the construction contract.

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.

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.

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.

Line 11 - Enter estimated miscellaneous costs.

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

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 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 16 - Subtract line 15 from line 14.

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

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.

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.

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 Costs	b. Costs not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses			
2. Land, structures, rights-of-way, appraisals, etc.			
3. Relocation expenses and payments			
4. Architectural and engineering fees			
5. Other architectural and engineering fees			
6. Project inspection fees			
7. Site work			
8. Demolition and removal			
9. Construction			
10. Equipment			
11. Miscellaneous			
12. SUBTOTAL (sum of lines 1-11)			
13. Contingencies			
14. SUBTOTAL			
15. Project (program) income			
16. TOTAL PROJECT COSTS (subtract #15 from #14)			
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 16	Multiply X	%

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 (0348-0040), 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 awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination 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 nondiscrimination. 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.

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).

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.

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.

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.

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.).

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.

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."

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.

19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	*TITLE
*APPLICANT ORGANIZATION	*DATE SUBMITTED

APPLICATION CERTIFICATION FOR WATER AND WASTEWATER PROJECTS

The undersigned certifies that:

-
1. The organization is aware of and in compliance with Federal, State, and Local requirements including but not limited to:
 - a. Section 504 of the Rehabilitation Act of 1973.
 - b. Civil Rights Act of 1964.
 - c. The Americans with Disabilities Act (ADA) of 1990.
 - d. Age Discrimination Act of 1975.
 - e. Special laws and regulations
 - f. State Pollution Control or Environmental Protection Agency standards.
 - g. Consistency with other development plans of the area.
 - h. Title IX of the Education Amendments of 1972.
 - i. A-133 audit requirements.
-

2. The organization has no known relatives or close associates that are current USDA Rural Development employees. Immediate family, other relatives, or close associates who are USDA-Rural Development employees, if any, are listed below:

-

3. The organization is unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms for the following reasons:

_____.

The following Lenders were contacted concerning borrowing the financial assistance needed to _____.

We asked for a loan in the amount of _____. Their responses are attached. Listed are the rates and terms offered: _____

_____.

4. No outstanding judgment has been obtained and recorded by the United States of America in a Federal Court (other than in the United States Tax Court).
-

Name of Organization

Signature of Authorized Official

Date

EXISTING DEBT AND PROPOSED LOAN SECURITY AND REPAYMENT SOURCE

1. Provide the following information for all existing long-term debt (bonds, notes, contracts) on the facility:

Lender:

Original Principal:

Original Date:

Current Principal Balance:

Interest Rate:

Original Term:

Annual Payment:

(principal and interest)

Lender:

Original Principal:

Original Date:

Current Principal Balance:

Interest Rate:

Original Term:

Annual Payment:

(principal and interest)

Lender:

Original Principal:

Original Date:

Current Principal Balance:

Interest Rate:

Original Term:

Annual Payment:

(principal and interest)

Indicate the type of debt instrument that will be offered as security and potential sources of revenue for the loan:

General Obligation Bond

Real Estate Mortgage

Revenue Bond

UCC Financing Statement

Special Assessment Bond

Assignment of Income

Promissory Note

Other

The source of revenue to be used for repayment will be:

ORGANIZATIONAL DOCUMENTS

1. Documents:

- a. **Public Bodies – Attach a copy of documents evidencing your organization and indicating the Nevada Revised Statutes and City Charters (if applicable) under which your entity was formed.**
 - b. **Tribal Governments and Organizations – Provide a copy of the Tribal Organization’s Constitution under which your entity was formed.**
 - c. **Nonprofit organizations – Provide a copy of your current By-Laws and Articles of Incorporation, with Secretary of State Certificate of Good Standing. See <http://nvsos.gov/index.aspx?page=7>.**
2. **A list of current board members, their respective positions, and when their terms expire.**
 3. **A list of key staff related to proposed project with contact information.**
 4. **Attach a copy of a map that shows the boundaries of the facility’s service area.**

This notice must be published within 60 days of filing an application so that the proposed USDA financing is discussed at a public meeting. The applicant will be required, at least 10 days prior to the meeting, to publish a notice of the meeting in a newspaper of general circulation in the service area, to post a public notice at the applicant's principal office, and to notify the Agency. The applicant will provide the Agency a copy of the published notice and minutes of the public meeting.

SAMPLE

Notice of Intent to File Application

The (Name of entity) has filed a loan/grant application with the USDA-Rural Development utilities programs for the purpose of financing a (type of project) to meet the present and future needs of the (water or waste water) demands of the (service area). (description of the area; can be legal description or boundaries of servicing area)

The total cost of the project is approximately \$ and the projected loan amount is approximately \$_____. This matter will be scheduled for public discussion and comments at the (City Council, GID, Nonprofit, etc.) board meeting on (date, time and place).

Questions concerning the project can be directed to (contact person), (title), at (phone number).

CERTIFICATION FOR CONTRACTS, GRANTS AND LOANS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant or Federal loan, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant or loan.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant or loan, the undersigned shall complete and submit Standard Form - LLL, 'Disclosure of Lobbying Activities,' in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subcontracts, and subgrants under grants and loans) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into.

Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(name)

(date)

(title)