

RENEWABLE ENERGY & ENERGY EFFICIENCY PROGRAM GRANT APPLICATION PROCESS

Application Documentation (RD Instruction 4280.111)

- (1) Table of Contents
- (2) Project Summary which includes:
 - a. Project Title
 - b. Applicant eligibility (RD Instruction 4280.107)
 - c. Project eligibility (RD Instruction 4280.108)
 - d. Operation Description (describe applicants operation)
 - e. Financial Information for size determination. (narrative form and financial records/ tax records)
- (3) Financial Information *(N/A for Simplified applications)*
 - a. Prepared in accordance with GAAP or Ag Producers – prepared as would be accepted by commercial lender.
 - b. 3 years historical financial information income statements and balance sheets
 - c. Current income statement and balance sheet (< 90 days)
 - d. Proforma Financial Statements
 - i. Day of loan/grant closing, reflecting use of proceeds
 - ii. 3 years projected financial statements
- (4) Demonstrate Financial Need *(Simplified applications require certification)*
- (5) Matching funds – include source, amounts, and status of funding (applied for or approve/awarded. Attach documentation received from or submitted to funding source)
- (6) Self-Evaluation Scoring – include calculations, cross- references within application or attached documentation to support
- (7) Technical report (Appendix A or B of RD Instruction 4280)
 - a. Renewable Energy select one of nine technologies
 - i. Energy Efficiency projects \$50,000 or less Energy Audit or Energy Assessment required
 - ii. Energy Efficiency projects greater than \$50,000 Energy Audit required
 - iii. Projects \$200,000 or less - Appendix A of RD Instruction 4280
 - iv. Projects greater than \$200,000 – Appendix B of RD Instruction 4280
 - v. Renewable Energy projects greater than \$400,000 and Energy Efficiency project greater than \$200,000 require services of a licensed professional engineer(s)
 - vi. Any project greater than \$1,200,000 require the technical report to be reviewed and include an opinion and recommendation by an independent qualified consultant.
- (8) Feasibility Study for renewable energy systems \$200,000 or more.

A project may consist of costs associated with: post application construction, post application equipment purchase and installation, energy audit and assessments, permit and license fees, professional service fee (except application preparation), feasibility studies, technical reports, and business plans

Forms, Certifications, and Agreements (RD Instruction 4280.111)

- (1) Form SF-424 A, “Application for Federal Assistance” with:
- (2) DUNS Number, self-request line: 1-866-705-5711
- (3) SF-424 C, “Budget Information” and
- (4) SF-424 D, “Assurances”
- (5) Form RD-1940-20, “Request for Environmental Information”
- (6) Form AD-1049, “Certification Regarding Drug-Free Workplace” **OR** Form AD-1050, “Certification Regarding Drug-Free Workplace Requirements (Grant) Alternative II – For Grantees Who Are Individuals”
- (7) Form AD-1048, “Certification Regarding Debarment – Lower Tiered Transactions
- (8) Exhibit A-1 of RD Instruction 1940-Q, “Certification for Contract Grants and Loans” or
- (9) Form SF-LLL “Disclosure of Lobbying Activities”
- (10) AD-1047, “Certification Regarding Debarment “
- (11) Form RD 400-1 “Equal Opportunity Agreement”
- (12) Form RD 400-4 “Assurance Agreement”
- (13) Applicant Certification indicating relationship or association with USDA Rural Development employee
- (14) Applicant Certification they meet the definition of demonstrated financial need.
- (15) Organizational Document (except Sole Proprietorships)

Simplified Applications (RD Instruction 4280.109)

- (1) Be an eligible applicant and project
- (2) Project cost of less than \$200,000
- (3) Must be *Commercially Available* technology
- (4) Construction completed within 24 months
- (5) Funds disbursed after construction and testing complete