

[(SPECIFY) RENEWABLE ENERGY OR ENERGY EFFICIENCY]

APPLICATION FOR FEDERAL ASSISTANCE

UNITED STATES DEPARTMENT OF AGRICULTURE

RURAL DEVELOPMENT

**RENEWABLE ENERGY SYSTEMS AND ENERGY EFFICIENCY
IMPROVEMENTS PROGRAM**

[TITLE OF THE PROJECT]

SUBMITTED BY:

NAME

BUSINESS NAME

ADDRESS

CITY, STATE, ZIP

TELEPHONE

DATE

SIMPLIFIED APPLICATION FORMAT

COMMERCIALY AVAILABLE PROJECTS LESS THAN \$200,000

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Prior to submission, delete or replace all text in italic type.

(1) 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 (should be no fee for this)
- (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" (For other than Individuals)
or
- (7) Form AD-1050, "Certification Regarding Drug-Free Workplace Requirements" (For Individuals)
- (8) Form AD-1048, "Certification Regarding Debarment – Lower Tiered Transactions (**Not signed by applicant**, but by the contractor or engineer, receiving \$25,000 or more of federal funds for the project)
- (9) Exhibit A-1 of RD Instruction 1940-Q, "Certification for Contract Grants and Loans"
or
- (10) Form SF-LLL "Disclosure of Lobbying Activities"
- (11) AD-1047, "Certification Regarding Debarment "
- (12) Form RD 400-1 "Equal Opportunity Agreement"
- (13) Form RD 400-4 "Assurance Agreement"

(2) Project Summary

This application is for a renewable energy system OR to make energy efficiency improvements. <delete one>

Title of the project:

Applicant Eligibility: *Provide evidence why you are eligible to apply (e.g., full-time farmer, small business located in rural area). Be sure to provide statement of citizenship status (projects must be 51% owned by U.S. citizens) and statement that there are no outstanding Federal fines or judgments against you. Also provide demonstration of financial need (you can self-certify this demonstration of financial need, by signing the certification which are at the end of this document). Finally, if you have received a previous 9006 grant, provide evidence of progress towards completion of the previous project.*

Project Eligibility: *Provide brief description of proposed project, explaining whether it is for renewable energy or energy efficiency system and why it is eligible for funding under the program guidelines. Include evidence that project is for commercial or pre-commercial technology and that project is located in a rural area based on USDA definitions.*

Operation Description: *Describe your total farm/ranch/small business operation and the relationship of this project to the operation (for example, "this project will be sited on my farmland and will be used to produce income through the sale of wind-generated electricity"). Also, provide listing and breakdown of ownership*

interests in the operation and/or proposed project. Describe ownership, 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 (for example, if multiple investors, list the investors with each investor's ownership interest).

Financial Information and Size Determination: *Provide statement and documentation for verifying the size (gross receipts) of your operation. For Agricultural Producers, this would be Page 1 and Schedule F of your previous year's tax return. For businesses, provide sufficient information such as your tax returns and number of employees.*

(3) Financial Information

Financial Information is not required for simplified applications. You can, however, provide evidence of your farming enterprise or business revenues which can be used to claim points as a small agricultural producer or very small rural business.

(4) Matching Funds Information

Attach spreadsheet showing all sources of capital for completing the project. See attached Excel template. This template can be edited by double clicking on it and working in it directly.

Matching Funds Worksheet
Section 9006 Grant Application
Project Applicant

Source of Funding:	Amount (\$)	Contact Information for Lenders
<i>Total Project Cost</i>	\$500,000	
<i>Applicant</i>	\$60,000	
<i>Other Equity Investors</i>		Bob Smith, 100 Main Street, Rural, WI 50000, 507-222-2222
<i>Investor A</i>	\$40,000	
<i>Investor B</i>		
<i>Investor C</i>		
<i>Total Equity</i>	\$100,000	
<i>Lender A</i>	\$250,000	
<i>Lender B</i>		
<i>Total Debt</i>	\$250,000	
<i>In-Kind Contributions</i>	\$50,000	
<i>USDA Grant</i>	\$100,000	
<i>As Percentage of Project Cost</i>	20%	

Also attach letters from lenders documenting loan commitment.

(5) Self-Evaluation Scoring Worksheet

Use the attached worksheet to self-score your project. USDA and the National Renewable Energy Laboratory will make final determinations of project scoring.

Scoring Criteria	Total Points Available	Points Assigned to Project	Explanation/Justification and Application Page Reference
Quantity of Energy Replaced/Produced/Saved <i>(delete what doesn't apply)</i>	15		
Environmental Benefits	10		Letter from Focus on Energy and Renew Wisconsin
Commercial Availability	10		(include copy of Warranty)
Technical Merit (from technical report content).	35	35	<i>To be scored by NREL</i>
Commitments of Matching Funds	15		
Small Ag Producer/Very Small Rural Business	10		
Use of Simplified Application	5		
Not a previous grantee or borrower	5		
Return on Investment	10		
Total Project Score (sum of above)			

Self Scoring Guide

Scoring Criteria #1 (One of the following)

- Energy replacement for farm/business
 - Less than 25% - 5 Points
 - 25% to 49% - 10 Points
 - 50% or greater - 15 Points
 - Greater than 150% - Energy Generation
- Energy Savings per Energy Audit/Assessment
 - 20% to 29% - 5 Points
 - 30% to 34% - 10 Points
 - 35% or greater - 15 Points
 - Project less \$50,000 Total Cost 5 Bonus Points
- Energy Generation - 10 Points

Scoring Criteria #2

- Meets an Environmental Goal - 10 Points
 - Meets a Local, State or National requirement
 - Provide Documentation
 - Wisconsin has a Renewable Portfolio Standard
 - 2.2% by 2012 passed in 1999

Scoring Criteria #3

- Technology is
 - Commercially Available - 5 Points
 - C/A with 5 year+ warranty - 10 Points (include copy of Warranty)
 - Pre-commercial Technology - 0 Points

Scoring Criteria #5

- Financial Readiness
 - **Provide documentation of ALL other funding involved in the project**
 - 50% to 74% of documentation provided - 5 pts
 - 75% to 99% of documentation provided - 10 pts
 - 100% of documentation provided - 15pts

Scoring Criteria #6

- Small Ag Producer (Line 11 Schedule F)
 - Less than \$600,000 - 5 Points
 - Less than \$200,000 - 10 Points
- Small Business - 10 Points
 - Less than 15 employees
 - Less than \$1 million annual receipts

Scoring Criteria #7

- Simplified Application 5 Points

Scoring Criteria #8

- Has not received a grant under 9006 in 2006 or 2005 5 Points

Scoring Criteria #9

- Simple Payback Calculation
 - Less than 4 years - 10 Points
 - 4 years to 7 years - 4 Points
 - 8 years to 11 years - 2 Point

(6) Energy Assessment or Energy Audit (Energy Efficiency Only)

Attach report from third party energy assessor or energy auditor regarding energy savings potential of proposed project.

Note: An energy audit from a certified energy auditor is required for projects with total costs greater than \$50,000. It is optional for projects less than \$50,000. However, a documented energy assessment is required.

Energy assessor. An individual or entity that conducts an energy assessment.

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 costs 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.

(7) Technical Report *(Attach technical report here.)*

Technical reports for specific technologies should follow the format and answer questions for the applicable technology as listed in Appendix A of final program rules outlined in RD Instruction 4280-B.

Technical Report Worksheets will address this part of the application. You do not need to include sections that are not relevant to the project.

(A) Project Team Qualifications

*Describe the qualifications (and **attach resumes** or other documentation) of project managers, key consultants and sub-contractors. Note: It is not necessary to utilize a licensed engineer for projects under \$200,000 unless technical complexity warrants one.*

(B) Agreements and Permits

Identify all agreements and permits required to construct the project and their current status

(C) Energy or Resource Assessment

Describe the resources being used (quality and quantity) to produce the renewable energy or expected energy savings through energy efficiency

(D) Design and Engineering

Describe the design, engineering, testing and monitoring required for the project.

(E) Project Development Schedule

Provide detailed project timeline with key milestones

(F) Project Economic Assessment

Describe financial performance of the project. Attach or refer to project financial statements attached above.

(G) Equipment Procurement Plan

Describe source and availability of the required equipment for the project. (include a copy of the manufactures equipment sheet)

(H) Equipment Installation Plan

Describe the plan for site preparation and equipment installation.

(I) Operations and Maintenance Plan

Describe operations and maintenance requirements, major rebuild requirements and major component warranties.

(J) Project Decommissioning Plan

Describe plans for dismantling project at end of the project's economically useful life.

RENEWABLE ENERGY SYSTEMS AND
ENERGY EFFICIENCY IMPROVEMENTS
GRANT CERTIFICATIONS and
Applicant Eligibility

WHEREAS, _____
herein called the “Grantee”, 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 Renewable Energy Systems and Energy Efficiency Improvements Grant 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. (contact Rural Development office to find this out or look online at <http://sba.gov/size.html>).

2. _____ If applying as an individual for a renewable energy/energy efficiency project, the individual(s) are citizens of the U.S. or reside in the U.S. after being legally admitted for permanent residence.

3. _____ If applying as an entity for a renewable energy/energy efficiency project, the entity is at least 51 percent owned, directly or indirectly, by individuals who are either citizens of the United States or reside in the United States after being legally admitted for permanent residence.

4. _____ 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.

5. _____ The grantee certifies they meet the definition of demonstrated financial need as per 4280.103.

Definition -The demonstration by an applicant that the applicant is unable to finance the project from its own and commercially available resources without grant assistance, or that the project proposed by the applicant cannot achieve the income and cash flows to sustain it financially over the long term without grant

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____

Grantee

Grantee

**Certification Regarding Qualification
For Simplified Grant Applications
4280.109**

WHEREAS, _____
herein called the “Grantee”, 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 Renewable Energy Systems and Energy Efficiency Improvements Grant Program 4280-B regulations.

NOW THEREFORE, the Grantee hereby certifies the following simplified application criteria have been or will be met:

- (1) The grantee (applicant) is eligible in accordance with 4280.107.
- (2) The project is eligible in accordance with 4280.108.
- (3) Total eligible project costs are \$200,000 or less. The total eligible project cost of my project is _____.
- (4) The proposed project will use commercially available renewable energy systems or energy efficiency improvements.
- (5) Construction planning and performing development will be performed in compliance with 4280.115. The grantee or the grantee’s prime contractor will assume all risks and responsibilities of project development.
- (6) The grantee or the grantee’s prime contractor is responsible for all interim financing.
- (7) The proposed project is scheduled to be completed within 24 months after entering into a grant agreement. The Agency may extend this period if the Agency determines, at its sole discretion, that the applicant is unable to complete the project for reasons beyond the applicant’s control.
- (8) The grantee agrees not to request reimbursement from funds obligated under this program until after project completion, including all operational testing and certifications acceptable to the Agency.

IN ADDITION, the Grantee hereby certifies the following application processing and administration requirements have been met and/or are agreed to:

(1) Applications documents have been submitted in accordance with 4280.111, or if applying for a combined grant and loan, also in accordance with 4280.193 (c).

(2) The grantee has certified that it meets the definition of demonstrated financial need, as defined in 4280.103. The Agency reserves the right to request additional information.

(3) The grantee certifies that project development will follow 4280.115, except as follows:

_____ (i) The grantee will participate in project development without direct compensation subject to approval in writing by the prime contractor. All applicable construction practices, manufacturer instructions, and all safety codes and standards will be followed during construction and testing, and the work product must meet all applicable manufacture specifications, and all applicable codes and standards. The prime contractor will be responsible for the overall successful completion of the project including any work done by the grantee,

or

_____ (ii) The grantee can demonstrate to the Agency that the grantee has the necessary experience and other resources to successfully complete the project and may serve as the prime contractor/installer. Projects where the grantee serves as the prime contractor will secure the services of an independent, professionally responsible, qualified consultant to certify testing specifications, procedures, and testing results.

(4) The project is complete when the grantee has provided a written final project development, testing, and performance report acceptable to the Agency. Upon notification of receipt of an acceptable project completion report, the grantee may request grant reimbursement. The Agency reserves the right to observe the testing.

(5) National flood insurance is required, if applicable. Business interruption insurance is not required.

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

Grantee

Grantee