

**USDA-Rural Development**  
**Section 9007**  
**Rural Energy for America Program**

**Simplified Grant Application**

**Title of Project:** \_\_\_\_\_

**Submitted by**

**Applicant Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_

**County:** \_\_\_\_\_

**State:** \_\_\_\_\_

**Zip code:** \_\_\_\_\_

**Phone #:** \_\_\_\_\_

**E-mail:** \_\_\_\_\_

**Fax:** \_\_\_\_\_

**Choose one:**

**A Renewable Energy Systems Project**

**or**

**An Energy Efficiency Improvements Project**

**\$ \_\_\_\_\_ Grant Request**

**Combo/Grant Writer Name** \_\_\_\_\_

**Phone #** \_\_\_\_\_ **E-mail** \_\_\_\_\_

**Date Submitted to RD** \_\_\_\_\_

**APPLICATION FOR  
FEDERAL ASSISTANCE**

Version 7/03

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		Pre-application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	<b>2. DATE SUBMITTED</b>	Applicant Identifier
			<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
			<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>				
Legal Name:		<b>Organizational Unit:</b> Department:		
Organizational DUNS:		Division:		
<b>Address:</b> Street:		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b> Prefix: First Name:		
City:		Middle Name		
County:		Last Name		
State:	Zip Code	Suffix:		
Country:		Email:		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □□-□□□□□□□□		Phone Number (give area code)		Fax Number (give area code)
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types) Other (specify)		
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> TITLE (Name of Program):      □□-□□□□		<b>9. NAME OF FEDERAL AGENCY:</b>		
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b>		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>		
<b>13. PROPOSED PROJECT</b> Start Date:      Ending Date:		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant      b. Project		
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>		
a. Federal	\$	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON		
b. Applicant	\$	DATE:		
c. State	\$	b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372		
d. Local	\$	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
e. Other	\$	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>		
f. Program Income	\$	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No		
g. TOTAL	\$			
<b>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.</b>				
<b>a. Authorized Representative</b>				
Prefix	First Name		Middle Name	
Last Name		Suffix		
b. Title		c. Telephone Number (give area code)		
d. Signature of Authorized Representative		e. Date Signed		

**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 _____%		\$ 0.00

**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 acquired 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

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

Applicant Name \_\_\_\_\_

Title of Project \_\_\_\_\_

Type of Technology  Renewable Energy or  Energy Efficiency

**Applicant Eligibility (4280.107)**

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/size/index.html>

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 Form 1120S

IRS 1040 Schedule C  
 IRS Form 1065

IRS Form 1120

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.

\_\_\_\_\_ **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.

3. \_\_\_\_\_ (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.

4. \_\_\_\_\_ (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 \_\_\_\_\_.

5. \_\_\_\_\_ I certify my application meets demonstrated financial need as per 4280.107 (a) (5), 4280.109 (b) (2), and 4280.193 (a).

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 (4280.108)

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 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 (circle one) is or is not located in an urbanized area.

**Definition of rural:** Any area other than a city or town that has a population of greater than 50,000 inhabitants and the urbanized area contiguous and adjacent to such a city or town according to the latest decennial census of the U.S.

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



Applicant Name  
 Matching Funds Commitment Documentation Spreadsheet  
 Title of Project  
 Total Cost \$ \_ \_

	Source of Funds	Contact Name Phone, Fax Address	Dollars	Commitment Letter attached
1	Section 9007 Grant		\$	
2	Guaranteed 9007 Loan		\$	
3	Applicant funds		\$	
4	Lending Institution Loan		\$	
5			\$	
6			\$	
7	Investor funds		\$	
		Total Project Cost	\$	(Should match)

## 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. (Guide 5)
- (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\_\_\_\_\_.

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Authorized representative of Applicant