

United States Department of Agriculture Rural Development

Rural Energy for America Program

Energy Audits & Renewable Energy Development Assistance

The Energy Audits (EA) and Renewable Energy Development Assistance (REDA) grant application guide – on the following pages – provides a cover page, table of contents and a framework of divider pages to organize the grant application for submission to USDA-Rural Development. Each divider page will list the documents to be filed directly behind it. Please tab the divider pages as indicated.

The original application must be received in the State Office by **4:30 PM local time on January 31, 2018** to complete for Fiscal Year Funding. For contact information, view the State Energy Coordinator list found at:

http://www.rd.usda.gov/files/RBS_StateEnergyCoordinators.pdf

All applicants must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number, which can be obtained at no cost via a toll free request line at 1-866-705-5711 or at <http://fedgov.dnb.com/webform> .

All applicants must also register the DUNS number through the System for Award Management (SAM) process and obtain a Commercial and Government Entity (CAGE) code. Go to www.sam.gov to register your DUNS number.

This guide is designed for training and education and does not replace the 4280-B Regulation.

USDA-Rural Development
Rural Energy for America Program

**Energy Audits and Renewable Energy Development Assistance
Grant Application Guide**

Title of Project: _____

Submitted by

Applicant Name: _____

Address: _____

City: _____

County: _____

State: _____

Zip code: _____

Phone #: _____

E-mail: _____

Fax: _____

Indicate the purpose of your grant request:

Renewable Energy Development Assistance (REDA)

Energy Audits (EA)

No combination (EA and REDA) applications will be accepted.

**Applicants may only submit one EA & one REDA application per Fiscal year (FY).
Maximum aggregate amount awarded to applicant cannot exceed \$100,000 in a FY**

\$_____ Grant Request

Grant Writer Name
Phone #

E-mail

Date Submitted to RD _____

Energy Audits and Renewable Energy Development Assistance Grant Application

Table of Contents

Applicant Name _____

Application and Submission Information - Applicants must submit an original application to the Rural Development State Office in which the applicant’s principal office is located. Applicants must submit complete applications, consisting of the following elements, in order to be considered.

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Tab A

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Civil Rights Information

The purpose of these questions is to gather race, ethnicity, and gender information about persons who apply and participate in this USDA program. The information provided will not be used when reviewing the application or when determining eligibility to participate in this program. The answers provided are voluntary and are not required to be considered a complete application. The information provided will be used to improve the operation of this program, to help USDA design additional opportunities for program participation, and to monitor enforcement of laws that require equal access to this program for eligible persons. For entities, check all that apply. The information will be kept private to the extent permitted by law.

What is the Applicant's race (check all that apply)? :

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or
Other Pacific Islander
- White

What is the Applicant's Gender? :

- Male
- Female

What is the Applicant's Ethnicity? :

- Hispanic or Latino
- Not Hispanic or Latino

Tab B

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| Tab B Divider Page | |
| Project Specific Forms | |
| Federal Tax ID # | |
| DUNS # To get a DUNS number, call 1-866-705-5711 or go to http://fedgov.dnb.com/webform <i>Also Insert DUNS number on SF424 Form</i> | |
| System for Award Management (SAM) (CAGE code) <u>All applicants must also register their DUNS # in the System for Award Management and obtain a CAGE code prior to submitting an application. Registration in SAM must remain active during all times during which an active Federal award or application is under consideration.</u> For information on what is required to register with SAM, go to: https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf To begin the SAM registration process, go to: http://www.sam.gov/portal/public/SAM/ | CAGE Code Expiration Date |
| <p style="text-align: center;">Project Specific Forms</p> <p>Forms can be found by typing in the form name (ie SF 424) in the “Form Number” column via this website: http://forms.sc.egov.usda.gov/eForms/searchAction.do?pageAction=BrowseForms& MenuAction=Yes</p> <p>Some forms can also be found at this website: https://www.rd.usda.gov/programs-services/rural-energy-america-program-energy-audit-renewable-energy-development-assistance</p> <p><i>Insert the executed forms immediately after this divider page.</i></p> | |
| SF 424 – Application for Federal Assistance | |
| SF 424A – Budget Information | |
| SF 424B – Assurances | |
| AD 3030 - Representations regarding felony convictions and tax delinquent status for corporate applicants | |
| Applicant eligibility and project eligibility certification/determination (Certifications on following pages) | |

Energy Audits and Renewable Energy Development Assistance Grant Program

Applicant Eligibility and Project Eligibility Certification/Determination Form

Per 4280.186 - Applicant Eligibility

| | |
|---|---|
| (A) Type of applicant. The eligible applicant must be one of the following: | Applicant Certification: (Please Check 1) |
| (i) a unit of State, tribal or local government | |
| (ii) a land-grant college, a university, or another institution of higher education | |
| (iii) a rural electric cooperative, or | |
| (iv) a public power entity <i>Is defined using the definition of state utility as defined in section 217(A)(4) of the Federal Power Act (16 U.S.C. 824q(a)(4). As of this writing, the definition means a State or any political subdivision of a State, or any agency, authority, or Instrumentality of any one of more of the foregoing, or a corporation that is wholly owned, directly or indirectly, by any one or more of the foregoing, competent to carry on the business of developing, transmitting, utilizing, or distributing power.</i> | |
| (v) an instrumentality of a State, tribal or local government <i>An instrumentality is an organization recognized, established, and controlled by a State, tribal, or local government, for a public purpose or to carry out special purposes.</i> | |
| (vi) a council <i>As defined in 16 U.S.C. 3451 Resource Conservation and Development Districts are eligible councils</i> | |

(B) Capacity to perform. The applicant must have sufficient capacity to perform (or contract) the activities proposed in the application to ensure success. The Agency will make this assessment based on the information provided in the application.

The applicant's summary of information submitted to show sufficient capacity to perform the activities proposed in the application to ensure success is:

(C) Legal entity in good standing. Each applicant must certify that it is a legal entity in good standing (as applicable), and operating in accordance with the laws of the State(s) or Tribe where the Applicant has a place of business.

Are you (the applicant) a legal entity in good standing in accordance with the laws of the State(s) or Tribe where you have a place of business?

Yes No

List the State or Tribe where you have a place of business?

(D) Legal authority and responsibility. Each applicant must have, or obtain, the legal authority necessary to carry out the purpose of the grant.

The applicant's evidence of legal authority to carry out the purpose of the grant is

(E) Place of business. The applicant must have a place of business in a state.

The applicant's business is located in :

(F) Know relationship with Agency Employee. The Applicant must identify whether or not there is a known relationship or association with a Rural Development Employee. If there is a known relationship, identify each employee with whom you have a relationship.

The applicant has a known relationship with a Rural Development employee? Yes No

If Yes, identify the name of each employee:

(G) Ineligible applicants. Consistent with Department regulations, an applicant is ineligible if it is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs.

Have you (the applicant) ever been debarred or determined ineligible for participation in Federal assistance programs?

Applicant certification:

Yes No

Applicants will also be considered ineligible for a grant if they have an outstanding Federal judgment (other than one obtained in the U.S. Tax Court), are delinquent on the payment of Federal income taxes, or are delinquent on Federal debt.

Do you (the applicant) have any outstanding federal judgment, or are you delinquent on federal income tax or delinquent on any federal debt?

Applicant certification:

Yes No

The Agency will review prior EA/REDA awards to determine satisfactory progress. To be eligible for additional funding, at least 50 percent of previous awards must be expended at the time the Agency makes its eligibility determination.

Per 4280.187 - Project eligibility.

To be eligible for an energy audit or a renewable energy development assistance grant, the grant funds for a project must be used by the grant recipient to assist agricultural producers or rural small businesses in one or both of the purposes specified in paragraphs (1) and (2) and shall also comply with paragraphs (3) through (6), as applicable.

| Project eligibility questions for the applicant | Yes | No |
|--|------------|-----------|
| 1. Is the proposal for a grant to conduct and promote energy audits? | | |
| 2. Is the proposal for a grant to conduct and promote renewable energy development assistance? | | |
| 3. For eligible small businesses, will the assistance you provide be for facilities located in a rural area? (less than 50,000 population) | | |
| 4. If the agricultural producer's facility is in a non-rural area, will the energy audit or renewable energy development assistance only be for a renewable energy system or energy efficiency improvement on integral components of or directly related to the facility, that are part of and co-located with the agriculture production operation? | | |
| 5. Will the Energy Audit or REDA assistance be provided to a recipient in a state? | | |
| 6. If applicable, are small hydropower projects to be assisted with energy audits or renewable energy development assistance rated at 30 megawatts or less? | | |

Applicant and Project Eligibility answers provided by:

Applicant Name :

Authorized Representative Name:

Authorized Representative Signature:

Title:

Date:

Tab C

Divider Page

Scope of Work

Include a description of the proposed project, details of the proposed activities to be accomplished and timeframes for completion of each task, the duration of the project (number of months), and the estimated time it will take from grant approval to beginning of project implementation. A **written narrative** to be used as the scope of work includes, at a minimum, the following items:

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| Executive Summary (including descriptive project title) ; | 1 |
| The goals of the proposed project; | 2 |
| The geographic scope or service area of the proposed project and rationale used to select the service area; | 3 |
| <p>Identification of the specific needs for the service area and the target audience to be served.</p> <p>Must include:</p> <ul style="list-style-type: none"> a) the number of Ag Producers and/or Rural Small Business to be served, b) identify (if available) the name and contact information for the Ag Producers or Rural Small Business, c) method and rationale used to select the Ag Producers and Rural Small Businesses <div style="border: 1px solid black; background-color: yellow; padding: 5px; margin-top: 10px;"> <p><i>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 those products.</i></p> </div> <div style="border: 1px solid black; background-color: #f0d0d0; padding: 5px; margin-top: 10px;"> <p>An entity is considered a small business in accordance with the Small Business Administration's (SBA) small business size standards by the North American Industry Classification System (NAICS) found in 13 CFR part 121.301(a) or (b). A private for-profit 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. These entities must operate independent of direct Government control except for Tribal business entities chartered under Section 17 of the Indian Reorganization Act 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.</p> </div> | 4 |
| <p>Timeline describing proposed tasks to be accomplished and the schedule for implementation of each task, including whether organizational staff, consultants, or contractors will be used to perform each task.</p> <p>Discuss applicant's resources, including personnel, finances, and technology, to complete what is proposed. <i>If a project is located in multiple states, resources must be sufficient to complete all projects.</i></p> | 5 |

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| Marketing strategies to include a discussion on how the Applicant will be marketing and providing outreach activities to the proposed service area, ensuring that Ag Producers and Rural Small Businesses are served. | 6 |
| <p>Applicant's experience as follows:</p> <ul style="list-style-type: none"> a) If applying for a REDA grant, applicant's experience in completing similar REDA activities. Include number of similar projects performed and number of years performing the similar service. b) If applying for an EA grant, the number of energy audits and energy assessments the Applicant has completed and the number of years the Applicant has been performing those services. c) For all Applicants, the amount of experience in administrating Energy Audit, REDA, or similar activities as applicable to the purpose of the proposed project. <ul style="list-style-type: none"> (i) Include discussion on any existing programs to demonstrate achievement of energy savings or energy generation with clients served. (ii) Identify awards received within the last 5 years in recognition of the applicant's renewable energy, energy savings, or energy-based technical assistance. (iii) Identify the achievement noting origin of award (local, state/regional, national/international award). | 7 |
| <p>An itemized budget. Provide a detailed description of the tasks to be performed and the associated budget for each item. Identify the intended use of grant, matching and other funds.</p> <p><i>Grant funds awarded for energy audits and renewable energy development assistance projects may be used only to pay eligible project costs.</i></p> <p><u>Eligible project costs are post application expenses directly related to conducting and promoting energy audits and renewable energy development assistance, which include but are not limited to:</u></p> <ul style="list-style-type: none"> (i) Salaries directly or indirectly related to the project; (ii) Travel expenses directly related to conducting and promoting energy audits or renewable energy development assistance; (iii) Office supplies (e.g. paper, pens, file folders); and (iv) Administrative expenses up to a maximum of 5% of the grant, which include but are not limited to: (A) Utilities (B) Office space; and (C) Operation expenses of office and other project-related equipment (ex: computers, cameras, printers, copiers, scanners); <p><u>Ineligible grant purposes- grant funds may not used for:</u></p> <ul style="list-style-type: none"> (i) Pay for any construction-related activities; (ii) Purchase equipment; (iii) Pay any costs of preparing the application package for funding under this Notice; (iv) Pay any costs of the project incurred prior to the application date of the grant made under this Notice; (v) Fund political or lobbying activities; (vi) Pay any judgment or debt owed to the U.S. <p><u>The maximum aggregate grant amount to any one recipient cannot exceed \$100,000 per federal fiscal year.</u></p> <p>A recipient of a grant under this Notice that conducts an energy audit <u>shall require</u> that, as a condition of the energy audit, the agricultural producer or rural small business pay at least 25% of the cost of the energy audit.</p> <p>Further, the amount paid by the agricultural producer or rural small business <u>will be retained</u> by the recipient as a contribution towards the cost of the energy audit.</p> | 8 |

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| <p>Identify leveraging and commitment of other sources of funding being brought to the project (<i>in addition to the required 25% contribution from the agricultural producer or rural small business for the cost of an energy audit</i>).</p> <p>Leveraged funds should be <u>clearly identified and listed by source</u>. <u>Written documentation/confirmation</u> from the party committing a specific amount of leveraged funds is required at the time of application;</p> <ul style="list-style-type: none">a) If financial resources are coming from the applicant, provide documentation in the form of a bank statement demonstrating the availability of funds.b) If a third party is providing financial assistance to the project, a commitment letter signed by an authorized official of the third party must be submitted. It must be specific to the project and identify the dollar amount being provided. | 9 |
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