



United States Department of Agriculture
Rural Development
Vermont/New Hampshire

**RURAL DEVELOPMENT VERMONT
COMMUNITY FACILITY LOAN AND/OR GRANT
PRE-APPLICATION GUIDE**

This Guide is provided for the purpose of informing applicants of the items to be included in a Community Facility Loan and/or Grant Pre-Application.

You are advised against incurring obligations which would limit the range of alternatives to be considered, or which cannot be fulfilled without USDA Rural Development funds until the funds are actually made available. Therefore, you should refrain from such actions as initiating final engineering, architectural or legal work, taking actions which would have an adverse effect on the environment, taking options on land rights, developing detailed plans and specifications, or soliciting for or hiring a contractor until you are notified by USDA Rural Development to do so.

1. **Pre-Application for Federal Assistance, SF-424.** This form requires signatures in two places, the front page and at the conclusion of the Assurances Acknowledgment. The pre-application should be signed by the Chair of the Select Board (town applicants) or the President of the Board of Directors (non-profit applicants). If the Board has authorized a specific individual (such as executive director or town clerk) to apply for the federal funds, attach a certified copy of the Board's resolution – minutes and vote authorizing this.

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- **Organizational DUNS:** All applicants applying for Federal funds are required to provide a DUNS number. This unique nine-character identification number is assigned by the commercial company Dun & Bradstreet. There is no charge for this number. Please call 1-800-333-0505 to register for a number. Applicants can go to http://www.grants.gov/applicants/org_step1.jsp for more information on how to obtain a DUNS number or how to verify your organization's number
- **Catalog Number of "Federal Domestic Assistance Number"** –Use 10.766
- **"Areas affected by project"** - List the towns & cities served by the project.
- **"Program is covered by E.O. 12372"** (Item 16 on SF 424) See #12 for guidance.

2. **Applicant's Narrative** - form enclosed. **Please complete ALL sections. Please do not use N/A.** It will delay the processing of your application.
Other Credit. Applicants must certify that other funding from their own resources or through commercial credit is not available to finance this project. Provide a summary of **specific** attempts made to obtain financing. Describe your project to the commercial lender and ask what financing is available. Advise the lender that you intend to submit an application to Rural Development. Let the lender know Rural Development can partner with them to finance your project through the Communities Facilities Guaranteed Loan Program. If your organization has cash reserves, please explain if these are not available to support the project.

3. **Financial Information.**

For Grant Application, please provide a Statement of Financial Position (Balance Sheet), Statement of Activities (Revenues and Expenses) and Statement of Cash Flow for the previous 3 years and projections for the first full year. Preference is to complete RD Forms 442-3 and 442-7. *We accept audits or financials kept in recognized professional business software.*

For Loan or Loan/Grant Combination Application, please provide a Statement of Financial Position (Balance Sheet), Statement of Activities (Revenues and Expenses) and Statement of Cash Flow for the previous 5 years. Forms 442-3 and 442-7 are preferred. If you have independently prepared financial reports (audits, compilations, reviews) they will be accepted.

Please provide financial projections for the next 3 years. Explain all assumptions used in preparing the projections including changes in usage, rate structure and depreciation. Certain large loan requests and/or projects that require an organization to change its scope of business will be required to obtain an independent financial feasibility report. Please contact your area office for guidance.

4. **Include a schedule of outstanding debts and obligations** – Provide a list of any outstanding long term debts such as a mortgage, UCC financing statement, promissory note. **Please use Attachment A of the Applicant's Narrative.**

5. **Evidence of Organization.** For non-profit corporations, a copy of the Articles of Incorporation and By-Laws should be attached. For public bodies, complete the attached State Guide Certificate of Organization.

6. **Request for Environmental Information.** (Use RD Form 1940-20 or the Short Form.) If your project involves new construction or renovations to a building that is over 50 years old, it may be subject to review by the Vermont State Historic Preservation Office. Your local Area Office will consult with the State Historic Preservation Office on your behalf. ***If for any reason you have already consulted with Vermont State Historic Preservation Office, please indicate so on this form.*** Non-construction (equipment, furnishings, vehicle, etc.) projects can use the Short Form. If your project involves

construction, the RD Form 1940-20 is needed. As the need for completion of the RD Form 1940-20 varies depending on the level of environmental assessment, please call your local Rural Development Area Office to discuss this form.

7. **Preliminary Architectural Feasibility Report Guide 6.** If your project involves Construction, a Preliminary Architectural Feasibility Report Guide 6 is required. Regardless of the construction project's size, please have your architect contact this office to discuss Rural Development design, procurement, and construction requirements.
8. **Public Information Meeting.** All applicants must hold at least one public information meeting. The public meeting must be held after the preapplication is filed and not later than loan/grant approval. The meeting must give the citizenry an opportunity to become acquainted with the proposed project and to comment on such items as economic and environmental impacts, service area, alternatives to the project or any other issue identified by Rural Development. 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 Rural Development. The applicant will provide Rural Development a copy of the published notice and minutes of the public meeting. If a municipal applicant is bonding for a portion of the project, the public meeting associated with obtaining bond approval will meet this requirement.
9. **Evidence of local community support.** (Non-Profit Applicants Only) Please have the enclosed form filled out by the Select Board in the community where the facility will be located.
- ❖ **Survey on Ensuring Equal Opportunity for Applicants.** (Non-Profit Applicants Only). Upon completion of the survey, please place it in an envelope and include with your application package.
- ❖ **Form AD-3030, Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants.** Complete and sign. (Non-Profit Applicants Only)
12. **System for Award Management (SAM) Registration (www.sam.gov)**
For an application to be considered complete, SAM registration is required.
It is important to begin this registration immediately. It usually takes 3-5 days for registration to be completed.
Please click on the SAM Quick Start Guide
<https://www.rd.usda.gov/files/SAMQuickStartGuide.pdf>

**USDA Rural Economic Area Partnership (REAP) Zone Partnership
Northeast Kingdom Collaborative**

- ❖ **If your project is located in Caledonia, Essex or Orleans County, it is a requirement that all pre-applications originating from these counties complete a Benchmark form and be assigned a Benchmark number.** This is administered by Northeastern VT Development Association (NVDA).

Please go to <http://www.nekcollaborative.org> and click on **Overview. Go to the **USDA REAP Zone Partnership** section. Click on [New Project Information](#) form. Please complete the form and include it with your USDA application. It must also be sent to NVDA per the instructions on the form.**

Please forward your completed package to:

U.S. Department of Agriculture, Rural Development
Montpelier Area Office
P.O. Box 249
87 State Street, Suite 304
Montpelier, VT 05601
802-828-6012

USDA is an equal opportunity provider and employer.

If you wish to file a Civil Rights program complaint of discrimination, complete the USDA Program Discrimination Complaint Form, found online at http://www.ascr.usda.gov/complaint_filing_cust.html, or at any USDA office, or call (866) 632-9992 to request the form. You may also write a letter containing all of the information requested in the form. Send your completed complaint form or letter to us by mail at U.S. Department of Agriculture, Director, Office of Adjudication, 1400 Independence Avenue, S.W., Washington, D.C. 20250-9410, by fax (202) 690-7442 or email at program.intake@usda.gov.