



Follow the steps in this guide to complete a pre-application package for the Community Facilities Program.

[Applicable Programs:](#) This guide is intended for applicants who want to apply for the Community Facility Direct Loan or Community Facility Direct Loan and Grant Program.

[Deadlines:](#) Pre-applications can be submitted at any time and will be processed on a first come, first served basis.

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For more information call or visit the USDA Rural Development office near you or visit our website at: <http://www.rd.usda.gov/ca>

You can also call our USDA State Office at (530) 792-5800 for help in finding your nearest local office.

**Rural Development • California State Office**

430 G Street, AGCY 4169 • Davis, CA 95616

Voice (530) 792-5800 • Fax (530) 792-5838

TDD (530) 792-5848

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 (PDF), found online at [http://www.ascr.usda.gov/complaint\\_filing\\_cust.html](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](mailto:program.intake@usda.gov).

## APPLICATION PROCESS

Applicants are encouraged to contact USDA Rural Development early in the project development process to discuss project financing on an informal basis. USDA Rural Development will typically conduct a site visit with the applicant to discuss the project.

USDA Rural Development advises prospective applicants against taking any actions or incurring any obligations which would either limit the range of the alternatives to be considered or have an adverse effect on the environment. USDA Rural Development is required to identify potentially significant environmental impacts on the human environment prior to approval of a loan or grant. An environmental review will be conducted by USDA Rural Development personnel to determine what environmental impacts the proposed project will have, if any.

USDA Rural Development uses a two-part application process for selecting projects to receive funding under the Community Facility Direct Loan program. First, a pre-application (See page 3, for Pre-application Contents) is used to assess the applicant's eligibility, priority to compete with similar pre-applications, and advises applicants of the availability of funds. This saves you time and money by allowing USDA Rural Development to review the proposed project and provide you with an eligibility determination at an early stage.

If the applicant's pre-application is determined eligible, an application conference is held and then the Agency will invite an application to be submitted. An application checklist will be provided at this meeting. The application will require more detailed information to be submitted. During this stage of the project, the preliminary architectural, feasibility and environmental components are heavily emphasized as they are critical to the development of the application and normally take the most time to complete.

Upon receipt of a complete application, USDA Rural Development will complete an overall review of the financial, environmental, and architectural/engineering components of the project. If the application is given further consideration by the approval official, USDA Rural Development will issue a Letter of Conditions outlining the conditions of approval that must be met prior to receiving funds. Once the applicant agrees to the conditions, funding is officially reserved for the project and a formal approval is delivered to the applicant.

Funds will be advanced once it has been determined that all of the conditions in the Letter of Conditions have been met.

## PRE-APPLICATION PROCEDURE

### **Send the original pre-application items and one copy to the appropriate USDA Rural Development office.**

Applicants must submit an original and one copy of the pre-application information required by this guide and any additional information that is requested. Send it to the USDA Rural Development office serving your area as shown on page 13. Note also that you can call in advance and get personal assistance from your local USDA Rural Development office.

## REQUIRED PRE-APPLICATION ITEMS

All of the following items need to be properly completed before being submitted to USDA Rural Development:

1. Standard Form (SF) 424, Application for Federal Assistance,

NOTE in block 8(c) of SF 424, DUNS stands for "Data Universal Numbering System." It is a unique nine character number that identifies your organization. It is a tool for the Federal Government to track how Federal money is distributed. Most large organizations that receive Federal funds already have a DUNS number. If your organization does not have a DUNS number, use the following Duns & Bradstreet (D&B) online registration website to receive one free of charge. <http://fedgov.dnb.com/webform/displayHomePage.do>

NOTE in block 11 of SF 424, insert Catalog of Federal Domestic Assistance (CFDA) number 10.766, Community Facilities Loans and Grants. This information can also be found at <https://www.cfda.gov/>

NOTE in block 19 of SF 424, [Executive Order 12372](#), "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function.

The answer for the Community Facility Program is always yes, as that program is under review. Insert the date that the required information was provide to the State and Local Clearinghouse(s). List is on page 12.

2. SF 424-C, Budget Information (Only for Construction Projects),
3. SF 424-D, Assurances-Construction Programs,
4. CF Pre-application Certification,

5. Financial Information,
6. Form RD 1942-54, Applicant's Feasibility Report (Narrative),
7. Loan Security to be offered,
8. Evidence that the State and Local Clearinghouses have been notified. You will need to file a Notice of Intent with the State Clearinghouse and Local Clearinghouse in your area by forwarding a copy of Form SF 424. A list of Clearinghouses is on page 12,
9. Entity's three most recent fiscal year audits and current year to date financial statements, current fiscal year operating budget and next year's proposed fiscal year budget. Form RD 442-2, "Statement of Budget, Income, and Equity," may be used for next fiscal year's proposed operating budget,
10. Go to [www.sam.gov](http://www.sam.gov) and register the entity. Provide proof of registration with the CAGE number and expiration date,
11. Map showing the service area boundary, and
12. List of Board/Council Members, their terms and résumé or CV's.

## ADDITIONAL ITEMS TO BE SUBMITTED ONLY BY NON-PROFIT ORGANIZATIONS

13. Survey on Ensuring Equal Opportunity for Applicants (optional),
14. Form AD 3030, Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants,
15. Form AD 3031, Assurance Regarding Felony Conviction or Tax Delinquent Status for Corporate Applicants, and
16. Copy of current By-laws (certified by Corporate Secretary) and Articles of Incorporation (with Secretary of State Reproduction Certification).

## OPTIONAL PRE-APPLICATION ITEMS (Only if Available)

17. California Environmental Quality Act (CEQA) information, and/or
18. Preliminary Architectural Feasibility Report (or renderings).



## COMMUNITY FACILITIES PRE-APPLICATION CERTIFICATION

The undersigned certifies that:

1. The organization is aware of and in compliance with other Federal statute requirements including but not limited to:
  - a. Section 504 of the Rehabilitation Act of 1973.
  - b. Civil Rights Act of 1964.
  - c. The Americans with Disabilities Act (ADA) of 1990.
  - d. Age Discrimination Act of 1975.
2. The organization is unable to finance the proposed project from its own resources or through commercial credit at reasonable rates and terms.
3. The organization has no known relatives or close associates that are current USDA Rural Development employees.
4. Prior to USDA Rural Development approval, you will not take action (e.g., initiation of construction) or incur obligations which would limit the range of alternatives to be considered or which would have an adverse effect on the environment.

\_\_\_\_\_ County of Nevada \_\_\_\_\_  
Name of Organization

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

## FINANCIAL INFORMATION

1. Attach a copy of your most recent annual audit or financial statements, (including balance sheet and income statement).
2. Provide the following information for all existing long-term debt (bonds, notes, contracts) on the facility:

Lender:\_\_\_\_\_

Original Principal:\$\_\_\_\_\_ Original Date:\_\_\_\_\_

Current Principal Balance:\$\_\_\_\_\_

Interest Rate:\_\_\_\_\_ Original Term:\_\_\_\_\_

Annual Payment:\$\_\_\_\_\_ (principal and interest)

Lender:\_\_\_\_\_

Original Principal:\$\_\_\_\_\_ Original Date:\_\_\_\_\_

Current Principal Balance:\$\_\_\_\_\_

Interest Rate:\_\_\_\_\_ Original Term:\_\_\_\_\_

Annual Payment:\$\_\_\_\_\_ (principal and interest)

Lender:\_\_\_\_\_

Original Principal:\$\_\_\_\_\_ Original Date:\_\_\_\_\_

Current Principal Balance:\$\_\_\_\_\_

Interest Rate:\_\_\_\_\_ Original Term:\_\_\_\_\_

Annual Payment:\$\_\_\_\_\_ (principal and interest)

## LOAN SECURITY

Indicate the type of debt instrument that will be offered as security for the loan:

Public Bodies:

- ☐ General Obligation Bond
- ☒ Revenue Bond
- ☐ Special Assessment Bond
- ☐ Certificates of Participation (COP)

Nonprofits:

- ☐ Real Estate Mortgage
- ☐ Promissory Note
- ☐ UCC Financing Statement
- ☐ Assignment of Income
- ☐ Other

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## APPLICANT'S FEASIBILITY REPORT

1. **Existing Facility.** Briefly describe what facilities you currently have or how service is currently provided.

2. **Proposed Facility.** Describe what you want to purchase or construct. Indicate what the facility will be used for, approximate size, and expected method of procurement. For buildings indicate location, basic materials or type of construction, and attach a sketch or working drawings. For items of major equipment, indicate new or used, existing or custom-built, and any special features.

3. **Need for the Facility.** Indicate why the proposed facility is needed.

4. **Service Area.** Indicate what area the proposed facility will serve and, if known, the population or number of families served.

Public reporting burden for this collection of information is estimated to average 3 hours per response, including the 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 this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to U.S. Department of Agriculture, Clearance Officer, OIRM AG Box 7630, Washington, D. C. 20250; and to the Office Management and Budget, Paperwork Reduction Project (OMB No. 0575-0120), Washington, D. C. 20503. Please DO NOT RETURN this form to this address. Forward to the local USDA office only.



5. **Cost Estimate.**

Development and construction.....	\$ _____
Land and rights.....	_____
Legal fees.....	_____
Architect and Engineer.....	_____
Equipment.....	_____
Refinancing.....	_____
Other (describe) .....	_____
Total.....	_____

6. **Income.** List the sources and estimate the amount of expected revenue for a typical year.

7. **Other Funds.** List the sources and amount of funds that may be available other than from USDA, to fund part of the project (such as applicant's contributions, commercial loans, or loans or grants from other government agencies).

8. **Operating History.** If you have operated a similar facility, attach audits, financial statements, or lists of income and expenses for the past five years.

9. Signature and Title of Applicant Official	Date
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# SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 02/28/09

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

**Federal Program:** \_\_\_\_\_ **CFDA Number:** \_\_\_\_\_

1. Has the applicant ever received a grant or contract from the Federal government?

☐ Yes

☐ No

2. Is the applicant a faith-based organization?

☐ Yes

☐ No

3. Is the applicant a secular organization?

☐ Yes

☐ No

4. Does the applicant have 501(c)(3) status?

☐ Yes

☐ No

5. Is the applicant a local affiliate of a national organization?

☐ Yes

☐ No

6. How many full-time equivalent employees does the applicant have? *(Check only one box).*

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-14

☐ over 100

7. What is the size of the applicant's annual budget?  
*(Check only one box.)*

☐ Less Than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

## **Survey Instructions on Ensuring Equal Opportunity for Applicants**

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.



## Rural Development

Applicants must submit a copy of the front page of Form SF 424 along with a cover letter requesting a review under Executive Order 12372 to the appropriate Clearinghouse listed below:

California State Clearinghouse 1400 10 <sup>th</sup> Street Sacramento, CA 95814 Phone: (916) 445-0613	All Counties  Fax: (916) 323-3018	Merced County Association of Governments (MCAG) 369 W. 18 <sup>th</sup> St. Merced, CA 95340 Phone: (209) 723-3153	Merced  Fax: (209) 723-0322
Association of Bay Area Governments (ABAG) 101 8 <sup>th</sup> St. Metro Center Oakland, CA 94607 Phone: (510) 464-7900	Alameda, Marin, Santa Clara, Solano, Sonoma, San Mateo, Contra Costa, Napa Fax: (510) 464-7985	Sacramento Area COG 1415 L St., Ste. 300 Sacramento, CA 95814 Phone: (916) 321-9000	El Dorado, Placer, Sacramento, Sutter, Yolo, Yuba Fax: (916) 321-9551
Association of Monterey Bay Area Governments (AMBAG) P.O. Box 809 Marina, CA 93933-0809 Phone: (831) 883-3750	Monterey, Santa Cruz, San Benito  Fax: (831) 883-3755	San Diego Association of governments 401 B St., Ste. 800 San Diego, CA 92101 Phone: (619) 699-1900	San Diego  Fax: (619) 699-1905
Council of Fresno County Governments 2035 Tulare St., Ste. 201 Fresno, CA 93721 Phone: (559) 233-4148	Fresno  Fax: (559) 233-9645	San Joaquin County COG 555 E. Weber Ave. Stockton, CA 95202 Phone: (209) 235-0600	San Joaquin  Fax: (209) 235-0438
Kern Council of Governments 1401 19 <sup>th</sup> St., Ste. 300 Bakersfield, CA 93301 Phone: (661) 861-2191	Kern  Fax: (661) 324-8215	Santa Barbara County Association of Governments 260 N. San Antonio Rd., Ste. B Santa Barbara, CA 93110 Phone: (805) 961-8900	Santa Barbara  Fax: (805) 961-8901
Southern California Association of Governments (SCAG) 818 West 7 <sup>th</sup> St., 12th Fl. Los Angeles, CA 90017 Phone: (213) 236-1800	Imperial, Orange, Los Angeles, San Bernardino, Riverside, Ventura Fax: (213) 236-1963	Sierra Planning Organization 560 Wall St., Ste. F Auburn, CA 95603 Phone: (530) 823-4703	Sierra, Nevada, Yolo El Dorado, Lassen, Placer, Plumas, Modoc, Sacramento Fax: (530) 823-4142
Tulare County Association of Governments (TCAG) 210 N. Church St., Ste. B Visalia, CA 93291 Phone: (559) 623-0450	Tulare  Fax: (559) 733-6720	Stanislaus Area Association of Governments (SAAG) 1111 I St. Ste. 308 Modesto, CA 95354 Phone: (209) 525-4600	Stanislaus  Fax: (209) 558-7833
Kings County Community Development Agency 1400 W. Lacey Blvd., Bldg. #6 Hanford, CA 93230 Phone: (559) 852-2670	Kings  Fax: (559) 584- 8989		

# Community Facilities Programs

## About the Programs

USDA Rural Development offers a variety of **loan and grant programs** to help develop and improve public services and facilities in rural communities with populations of 20,000 or less. Applications are accepted year-round by any of our local staff listed below.

## Meet the California Team

We have a committed group of staff across the state ready to help make deals happen. Find your county representative and learn how Rural Development can help support your community facility project.

### Anita Lopez, Community Facilities Program Director

[anita.lopez@ca.usda.gov](mailto:anita.lopez@ca.usda.gov) | (530) 792-5822

### Katie Schmitt, Community Facilities Senior Specialist

[kaitlin.schmitt@ca.usda.gov](mailto:kaitlin.schmitt@ca.usda.gov) | (530) 792-5827

#### Lassen, Modoc, Plumas, Shasta & Tehama Counties

##### Mike Colbert, Alturas

[mike.colbert@ca.usda.gov](mailto:mike.colbert@ca.usda.gov) | (530) 233-4137 ext.112

##### Angela Cross, Alturas

[angela.cross@ca.usda.gov](mailto:angela.cross@ca.usda.gov) | (530) 233-4137 ext.113

#### Siskiyou & Trinity Counties

##### Kevin DeMers, Yreka

[kevin.demers@ca.usda.gov](mailto:kevin.demers@ca.usda.gov) | (530) 572-3126

#### Butte, Colusa, Glenn & Sutter Counties

##### Colleen Crowden, Davis

[colleen.crowden@ca.usda.gov](mailto:colleen.crowden@ca.usda.gov) | (530) 792-5833

#### Alameda, Alpine, Amador, Contra Costa, Mono, San Mateo, Santa Clara & Santa Cruz Counties

##### Andy Jacobs, Davis

[andrew.jacobs@ca.usda.gov](mailto:andrew.jacobs@ca.usda.gov) | (530) 792-5824

#### El Dorado, Sacramento, San Joaquin, Solano & Yolo Counties

##### Doug Colucci, Woodbridge

[doug.colucci@ca.usda.gov](mailto:doug.colucci@ca.usda.gov) | (916) 212-5088

##### Tenna Hungate, Davis

[Tenna.Hungate@ca.usda.gov](mailto:Tenna.Hungate@ca.usda.gov) | (530) 792-5815

#### Nevada, Placer, Sierra & Yuba Counties

##### Michael Velez, Auburn

[michael.velez@ca.usda.gov](mailto:michael.velez@ca.usda.gov) | (530) 885-6505 ext. 101

#### Del Norte, Humboldt, Lake, Marin, Mendocino, Napa & Sonoma Counties

##### Reef Atwell, Santa Rosa

[reef.atwell@ca.usda.gov](mailto:reef.atwell@ca.usda.gov) | (707) 536-0246

##### Quinn Donovan, Santa Rosa

[quinn.donovan@ca.usda.gov](mailto:quinn.donovan@ca.usda.gov) | (707) 536-0248

#### Calaveras, Mariposa, Merced, Stanislaus & Tuolumne Counties

##### Jose Guardado, Modesto

[jose.guardado@ca.usda.gov](mailto:jose.guardado@ca.usda.gov) | (209) 538-3783

##### Tonja Galentine, Modesto

[tonja.galentine@ca.usda.gov](mailto:tonja.galentine@ca.usda.gov) | (209) 491-9320 ext.101

#### Fresno County

##### Sally Tripp, Fresno

[sally.tripp@ca.usda.gov](mailto:sally.tripp@ca.usda.gov) | (559) 490-8029

#### Inyo, Kern & Madera Counties

##### Antonio Ybarra, Fresno

[antonio.ybarra@ca.usda.gov](mailto:antonio.ybarra@ca.usda.gov) | (559) 490-8035

#### Kings & Tulare Counties

##### Lisa Butler, Visalia

[lisa.butler@ca.usda.gov](mailto:lisa.butler@ca.usda.gov) | (559) 754-3146

#### San Luis Obispo, Santa Barbara & Ventura Counties

##### Al Correale, Santa Maria

[al.correale@ca.usda.gov](mailto:al.correale@ca.usda.gov) | (805) 928-9269 ext.119

#### Imperial, Orange, Riverside & San Diego Counties

##### Daniel Cardona, Imperial

[daniel.cardona@ca.usda.gov](mailto:daniel.cardona@ca.usda.gov) | (760) 355-2208 ext. 107

#### Monterey & San Benito Counties

##### Esther De La Cruz, Salinas

[Esther.DeLaCruz@ca.usda.gov](mailto:Esther.DeLaCruz@ca.usda.gov) | (831) 975-7736

#### Los Angeles & San Bernardino Counties

##### Christina Swegles, Phelan

[Christina.Swegles@ca.usda.gov](mailto:Christina.Swegles@ca.usda.gov) | (760) 948-4138