

Applicant:

Project:

Form/Action	Responsible Party	File Position	Date	
			Received	Approved

APPLICATION: Meet with each applicant to discuss proposed project and deliver pre-application materials.

1. SF 424-2	Applicant	3		
2. Council of Government Contact	Applicant	3 & Env. File		
3. Certification of Inability to Obtain Credit.	Applicant	3		
4. Last Audit/Management Report	Applicant	1		
5. Organizational Documents	Applicant	5 *		
6. Map of Service Area	Applicant	1		
7. AD-1047	Applicant	3		
8. 1942-A, Guide 26	RD Local Office	3		
9. Recommendation	RD Local Office	3		
Check Debarment List	RD Local Office	3 **		
File to State Office	RD Local Office	4		
10. AD 622 (to local office)	RD State Office	3		
11. Meet with Applicant	RD Local Office	3		
to deliver AD 622 inviting application and provide all forms, guides and information required for a complete application. Document in Running Case Record.				
10. 1942-54 Feasibility Study	Applicant	3		
11. Public Information Meeting	Applicant	3		

APPLICATION

12. SF 424-2 application	Applicant	3		
Amount of request should match cost estimate submitted by architect!				
13. Last 5 years Audit/Mgmt Reports	Applicant	1		
14. Feasibility Study (Guide 5)	Applicant	3		
15. Management Agreement (Guide 24)	Applicant	3		

16. Public Information Meeting	Applicant	3		
17. Letters of Commitment	Applicant	3		
18. Environmental Assessment	App./RDLO	Separate File *		
19. Architectural Agreement with Guide 27	Applicant	6 **		
Preliminary Architectural Report/Plans	App./Architect	6		
Specifications with detailed cost estimate (Guide 6)				
20. 442-7 Proposed Budget	App./RDLO	3		
21. 1942-43 Project Summary	RD Local Office	3		
22. 1942-14 Fund Analysis	RD Local Office	3		

FILES TO STATE OFFICE

23. Letter of Conditions	RD State Office	3		
24. 3570-1 Project Selection Priority	RD State Office	3 (GRANT)		
25. 3570-2 Grant Worksheet	RD State Office	3 (GRANT)		
26. Meet with Applicant to deliver Letter of Conditions and provide all of the following forms for signature:				
26a. CAIVRS	RDLO	3 **		
27. 1942-46 Letter Of Intent to Meet Conditions	RDLO/App.	2		
28. 1940-1 Obligation	RDLO/App.	2 **		
(Send to S/O for approval immediately!)				
29. 1910-11 Applicant Certification	RDLO/App.	3		

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30. SF LLL/1040-Q	RDLO/App.	3		
31. AD-1 049 Drug-Free Workplace Certification	RDLO/App.	3		
32. 400-1 Equal Opportunity Agreement	RDLO/App.	6		
33. 400-4 Assurance Agreement	RDLO/App.	3		
34. 1942-9 Loan Resolution or 1942-47 for Public Bodies	RDLO/App.	5		

This is to certify that I have met with the applicant, delivered/explained the Letter of Conditions and provided all of the completed forms for the applicant's signature. I also provided the necessary guidance and documents to be completed in order to request closing instructions. I also explained the requirements for submissions of the final plans, specifications and contract documents. The applicant was also advised not to go out for construction bids until they receive authorization from USDA Rural Development to do so.

DATE _____

Signature

IF CONSTRUCTION

35. Design Development Plans Specifications & Unexecuted contract documents Send Plans, Specifications and Unexecuted Contract Documents to State Architect	Architect/RD	6		
36. Final Plans and Specifications	Architect/RD	6		
37. Final Contract Documents Send Plans, Specifications and Executed Contract Documents to State Architect	Architect/RD	6		
38. Memo of Approval for items 35 & 36	RD State Architect	6		By LSC
39. Approval of Plans	Regulatory Agency	6		By LSC

IF EQUIPMENT

40. Equipment Specifications	Applicant	6		
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INFO FOR CLOSING INSTRUCTIONS

41. Legal Agreement, Guide 14	App./RD	5		
42. Lien Search from Secretary of State	Applicant	1		
43. Title Commitment or Preliminary Title Opinion for real estate. "United States of America acting through the Rural Housing Service and its successors" listed as proposed mortgagee.	Applicant	5		
44. 1942-9 Loan Resolution or 1942-47 for Public Bodies	RDLO/App.	5	Executed/Adopted	
45. Grant Resolution	RDLO/App.	5	Executed/Adopted	
46. Engagement Letter & Legal Agreement	App/Bond Council	5	(GRANT)	
47. Proposed (1) Bond Ordinance with (2) Preliminary Approving Opinion (3) Final Approving Opinion	App/Bond Council	5		

FILE TO STATE OFFICE REQUESTING CLOSING INSTRUCTIONS

48. OGC Closing Instructions Issued	S/O to L/O	5		
49. Authorization to go out for bids	RD Local Office	6		
So. EFT/ADPS information input.	App/RDLO	2		

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Bid Opening	RD Local Office	6		
51. Bid Tabs to State Office	RD Local Office	6		
52. Executed Contract Documents to S/O	S/O RDLO	6		
53. Concurrence in Contract Award	State Office	6		
54.400-8 Pre-Loan Closing Compliance Review	RDLO/App.	3		
<u>LOAN CLOSING</u>				
55. Close loan in accordance with OGC Closing Instructions	RDLO/App.	5 **		
56.1924-16 Preconstruction Conference	Arch/RD/Cont.	6		
57. Final Opinion	RDLO/SO	5 **		

* Applicable Guide attached!

** Update RDAPTS

*** Additional Information if requested on AD 622.

Community Facilities Guides

These guides are to assist the applicant and the local office in providing complete information for application processing. They are not intended to address every application and in some instances will not be applicable (i.e. a Class II assessment will be required.) Refer to Instruction 3575-A, and consult with your Area Director or the State Office if assistance is needed.

***Item 5. Organizational Documents**

Public Bodies: City, Town, County, District, Indian Tribe -

Provide a legal reference and date of establishment along with a copy of the authorizing legislation (if applicable.)

Non-Prorit Corporation: The majority of the Board of Directors and membership must be from the local area to be served, which will control the corporation. Board Members with voting rights cannot serve in a remunerated capacity, and "Conflict of Interest Policies" must be addressed in-the By-Laws to protect the integrity of the public service organization. By-Laws should comply with the intent and purpose of the "Texas Open Records and Open Meetings Act." If the Corporation has no members, the Board of Directors must be appointed by the local community (i.e. city, county, and/or civic organizations.)

Required Documents

1. Articles of Incorporation (file-marked copy) along with a written statement that these Articles are still current.
2. Certificate of Incorporation issued by Secretary of State.
3. By-Laws with a written statement that these are still current along with a copy of the adopting resolution.
4. Provide any amendments to the Articles and By-Laws with filing certificates and statements as applicable.
5. Copy of certificate of good standing from the Secretary of State (if available.)
6. Written statement from Comptroller of public accounts as to franchise tax exemption and good standing (if available.)
7. Internal Revenue Service statement concerning corporation's exemption from federal income taxes (if available.)

***Item 12 (Guarantee), 13 (Fire & Rescue), & 17 (Direct) Environmental Assessment**

Categorical Exclusion: Form 1940 -22 Environmental Checklist for Categorical Exclusions
& Form 2006-38 Civil Rights Impact Analysis

Class I Assessment: (Separate File)

1. ___ Form 1940-20 Request For Environmental Information Complete items (1), (**2), (13), (15), (16), and (17).
 2. ___ Letters to County/State Historical contacts (send with site/topographical map early in process.)
 3. ___ State Historic Preservation Officer authorization to proceed.
 4. ___ 2006-38, Civil Rights impact Analysis.
 5. ___ FEMA Form 81-93, Standard Flood Hazard Determination. **
 6. ___ Form 1940-21, Environmental Assessment for Class I Action
 7. ___ File to State Office for review & approval
 8. ___ Finding of No Significant Impact (FONSI) (original in main application file & copy in Environmental file.)
- **Include all required maps!

Class II Assessment: Utilize the State Environmental Coordinator's Checklist.

***Item 14. Loan Agreement (Guaranteed Loans):** The loan agreement is a document executed by the lender and borrower that as a minimum should include the following:

1. Loan Purposes.
2. Proposed term of loan and proposed fixed or variable interest rate (if variable, set adjustment period with applicable basis rate and interest rate caps.)
3. Financial reporting requirements.
4. Proposed list of all security for the loan and limitations on the sale/disposition of same.
4. Limitations on future indebtedness and restrictions on corporate mergers, consolidations, etc.