

**UNITED STATES DEPARTMENT OF AGRICULTURE  
RURAL UTILITIES SERVICE  
RUS BULLETIN 1780-6  
Rural Development-GD-2025-003**

**SUBJECT:** Water and Environmental Programs Direct Loan and Grant Processing Checklists

**TO:** Rural Development State Directors, Water and Environmental Program Directors, and Community Program Directors

**EFFECTIVE DATE:** Date of approval

**OFFICE OF PRIMARY INTEREST:** Program Operations Branch, Water and Environmental Programs (WEP), under the Rural Utilities Service (RUS), a part of Rural Development (RD), an Agency within the United States Department of Agriculture (USDA)

**INSTRUCTIONS:** This Bulletin replaces RUS Bulletin 1780-6 dated 1999.


**AVAILABILITY:** This Bulletin, as well as any instructions, regulations, or forms referenced in this Bulletin are available at USDA State Offices. The State Office staff is familiar with the use of the documents in their states and can answer specific questions on Agency requirements.

This Bulletin is available on the website: [Bulletins | Rural Development](#).

**PURPOSE:** This Bulletin provides processing checklist templates to be used by RD staff in coordination with WEP funding applicants/recipients and their professional consultants. Exhibit A – WEP Direct Processing Checklist; Exhibit B – ECWAG Processing Checklist; Exhibit C – SEARCH-PPG Processing Checklist; Exhibit D – WEP Direct Subsequent Processing Checklist; Exhibit E – CPF-CDS Processing Checklist; and Exhibit F – DEWW Disaster Processing Checklist

**The contents of this guidance document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.**

MICHELE  
BROOKS

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BROOKS  
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MICHELE BROOKS  
Assistant Administrator  
Water and Environmental Programs

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Date

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## ABBREVIATIONS

AIS – American Iron and Steel  
AO – RD Area Office  
BABA – Build America, Buy America Act  
CATEX – Categorical Exclusion  
CFR – Code of Federal Regulations  
CERT – Centralized Environmental Review Tracker  
CPAP – WEP Community Programs Application Processing System  
DNP – Do Not Pay  
ECF – Electronic Customer File  
ECWAG – Emergency and Imminent Community Water Assistance Grants  
EJCDC – Engineers Joint Contract Documents Committee  
EO – Executive Order  
FEMA – Federal Emergency Management Agency  
FONSI – Finding of No Significant Impact  
GC – General Conditions of the Construction Contract  
IIJA – Infrastructure Investment and Jobs Act  
ITB - Instructions to Bidders for Construction Contract  
NEPA – National Environmental Policy Act  
NP – Non-Profit Organization  
OGC – Office of General Counsel  
PB – Public Body  
PPG – Predevelopment Planning Grants  
PD – RD Program Director  
Pub. L. – Public Law  
RD – Rural Development  
RD Apply – Application intake system for RUS  
RPR – Resident Project Representative  
RUS – Rural Utilities Service  
SC – Supplementary Conditions of the Construction Contract  
SE – RD State Engineer  
SEARCH - Special Evaluation Assistance for Rural Communities and Households  
SI - Staff Instruction  
SO – RD State Office  
UCC – Universal Commercial Code  
UL – Unnumbered Letter  
U.S.C. – United States Code  
USDA – United States Department of Agriculture  
WEP – Water and Environmental Programs  
WWD – Water and Waste Disposal

WEP DIRECT Processing Checklist																	
								Based on 2024 ICR Guides									
APPLICANT:				AUTHORIZED REPRESENTATIVE:				ENGINEER:									
Contact:				Contact:				Contact:									
Telephone				Telephone:				Telephone:									
Email:				Email:				Email:									
Address:				Address:				Address:									
CASE#:				PROJECT DESCRIPTION:													
UEI#:																	
SAM#:																	
Expiration		1 <sup>st</sup> Year		ECF Structure Classifications:													
		2 <sup>nd</sup>		P		Processing Folder		CBP		Construction - Bidding - Procurement		S		Servicing Folder			
COUNTY:				PC		Process - Certifications						SR		Servicing - Routine			
TYPE OF FACILITY				PF		Processing - Financials		CM		Construction Monitoring		SNR		Servicing - Non Routine			
WATER				SEWER				PRDA		Processing - RD Apply		L		Legal Folder			
								PRDR		Process - RD Review		LO		Legal - Organization			
				ENV		Environmental Folder		LPR		Legal - Property Rights		CERT		Centralized Environmental Review Tracker			
				ENG		Engineering Folder		LC		Legal - Closing							
ECF Class		Document/Action & Reference (APPLICANT / CONSULTANTS)				Date		ECF Class		Document/Action & Reference (USDA – RD / OGC)				Date			
								PRDR		Initial Application Processing Conference Staff Instruction (SI) 1780-2 3 a 11 ( a)							
								PRDR		Environmental discussion / Initial Site visit (preferred) 1780.3 (e) / SI 1780-2 3 a. 11 (a)							
P/PRDA		Complete RD Apply as Necessary - Includes SF 424, Other Credit Cert, Audits/Financial Statements, Existing Debt, Drug Free Work Place (Grant)						ENG		Is there a health/sanitary violation or concern? 1780.17, SI 1780-2 3 (8)		Yes / No					
P		Notice of Intent to File App & Evidence of Public Info. Meeting. 1780.19(a)(b) (w/in 60 days of filing an App)		Notice				LO		Articles & Bylaws - OGC approval Memo (Non-Profit (NP) only) 1780.7 ( e)		AO					
				Affidavit								SO					
ENG		RB 1780-2 Preliminary Engineering Report (PER) RD 1780-2, 1780.33(c)(1),(2),(3) uploaded to RD Apply --> CPAP						PC				Other Credit Document Commercial Credit Summary 1780.7(d), 1780.33(d), SI 1780-2, 3(a)(3)		AO			
										SO							
ENV		Environmental Report RD Instruction 1970-B, Exhibit C or 1970-C, Exhibit B 1780.33(f), (uploaded to RD Apply --> CPAP--> Env Power Appl)						PRDR		Project Selection Criteria 1780.17 SI 1780-2, 3(a)(4)		RB 1780-1 WEP				Points	
PC		Mayor/Chairman/President e-sign required certifications and submit application in RD Apply (1910-11, 1940-Q Ex A-1., Prohibited Tying arrangement cert)										RB 1778-1 ECWAG (if appl)				Points	
												RB 1777-2 NatAm/Colonia (if appl)				Points	
PC		Mayor/Chairman/President e-sign required Optional certifications if applicable and submit in RD Apply (AD-1049, SF-LLL)						PRDR		DNP checked/filed - Applicant plus "Principals"							
										<a href="#">DNP at RD – Check latest DNP UL</a>							
PC								PRDR		Update DNP in CPAP							
Notes:								PRDR		Complete Application Accept or Return with comments within 15 days. Push to CPAP the same day once accepted. 1780.31(b), 1780.32 (a), 1780.33(a-h)							
Notes:								PRDR		Notice of Eligibility and Funding Availability Area Office (AO) Letter/email/documented in-person conference, 1780.32(b), SI 1780-2 & 3 (11) (b), Due within 45 days PB, and 30 Days NP from complete application							

WEP DIRECT							
Processing Checklist							
APPLICANT:			AUTHORIZED REPRESENTATIVE:		ENGINEER:		
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)		
L / SR	Professional Service Agreements - Bond Counsel/Legal & Accounting/Auditor, 1780.39(b)(2) RD Concur	Lgeal		L	Engineer Agreement - RD Review/Concur 1780.39 (b)(1) (No DNP Check)	Review	
		Bond					
		Auditor				Concur	
PF	Borrower Accounting System - RD Review & Concur and in effect - SI 1780-4 (1) (ii)						
LC	Bond Election/Decision 1780.83(l) & Public Body (PB) Preliminary Opinion Bond Counsel	Election/Decsio		ENG	PER – RD Review & concurrence 1780.33(c)(2) & (3) Upload to CPAP (within 45 days of complete application)	AO submits	
		Opinion				SE Comment	
	Resolution of Members (NP) RD 1942-8 1780.39(f)					SE approval	
P	Documentation uploaded to CPAP that applicant held at least one public meeting 1780.19 (b) (if applicable)			ENV / CERT	Imput Environmental information into CERT		
ENG	Primacy Agency Approval of PER 1780.55; 1780.57 (g) water & (h) sewer			ENV / CERT	SEC Determination letter - Acceptance or Comments on Environmental documents - RD Instruction 1970-B Exh.B (CatEx w Report) or 1970-C Exh.C (EA), (NA for CatEx only) - Update CERT		
ENG	Health/Sanitary Standard Violation or Concern EPA/DEQ or similar documentation, 1780.13(b)(1), 1780.10(c)(1), 1780.15(d), SI 1780-2 3 (8)			ENV / CERT	Standard Flood Hazard Determination (RD Instruction 1970-F) FEMA Form 81-93 (N/A if security is not real estate)		
ENV	Archeological Report (if necessary) 1970-B, Exh. C, or 1970-C, Exh. B						
ENV	Phase I Site Assessment, if secuirty taken in real estate >\$100k, TSQ if <\$100k (N/A if secuirty is not real estate)			ENV / CERT	FFRMS Floodplain Determination: Worksheet-1970-F <a href="#">FFRMS Job Aid Floodplain Determination Worksheet (fema.gov)</a>		
ENV	Preliminary Notice Important Land/ Cultural Resources - 1970.56; 1970.557; 1970-H (Exh H-2) 1970-L	Notice		ENV / CERT	No Effect Package to SHPO/THPO - SO (RD Instruction 1970-H) (NA for CatEX only)		
		Affidavit					
ENV	Notice of Availability of Environmental Assessment – 1970-C (Exh F-1) (N/A for CatEx)	Notice		ENV / CERT	Cat-Ex Form - Input into CERT RD Instruction 1970-B, Form RD 1970-1 (N/A for EA)	AO	
		Affidavit				SEC	
ENV	Final Notice Important Land/Cultural Resources 1970.556; 1970.557; 1970-H (Exh H-3) ;1970-	Notice		ENV / CERT	FONSI Recommendation Letter (SEC) - 1970-C Exh D - Input to CERT FONSI Determination (PD) - 1970-C Exb F-3 (N/A for CatEx)	PD	
		Affidavit					
ENV	Notice of FONSI 1970-C (Exh F-4)	Notice		PRDR	Commercial Credit Screen in CPAP list lenders rate/terms and data within 6 months of application 1780.7 (d); SI 1780-2 3 a. (3); SI 1780-6		
		Affidavit					
ENV	Notification to Adjacent Property Owners 1970-C Exhbit B 3.14.2	Notice		PRDR	Commercial Credit Screen- feasibility statement and comments where information is from in CPAP 1780.7 (d); SI 1780-2 3 a. (3); SI 1780-6		
		Affidavit					
L	Water/Sewer Purchase/Treatment Contract RD442-30, 1780.62, 1780.63 AO Concur			PRDR	AO Memo for State Office / Loan Committee Review CPAP must be completed following the CPAP Underwriting Guide		
PRDR	Letter of Intent to Meet Conditions RD 1942-46, 1780.41(a)(6) (Must be signed prior to obligation)			PRDR	State Office / Loan Committee – Approval Does the request meet the requirements in SI 1780-2, & 1780-5 (materiality, substantial Grant criteria, etc)		
Notes:				PRDR	Project Summary Information from CPAP 1780.41(a)(1) Narrative completed with date and initial	AO	
						SE	
						SO	
				PRDR	Submit Request to NO for Funding (If Applicable) CPAP request	SO	
						NO	
				PRDR	Issue Letter of Conditions/Amend(s) NO Template- 1780.41(a)(5)	LOC	
						Amend 1	
						Amend 2	
				PRDR	DNP checked/filed - Applicant plus "Principals" <a href="#">Do Not Pay at Rural Development</a>		
						Update DNP in CPAP (< 5 days prior to Obligation)	
				PRDR	Confirm interest rate and term in CPAP		
				PRDR	Obligation of Funds RD1940-1/ CPAP/ NITC screens 1780.41(a)(7)	approved	
						obligated	

WEP DIRECT Processing Checklist									
APPLICANT:					AUTHORIZED REPRESENTATIVE:			ENGINEER:	
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)			Date
LPR	Preliminary Title Opinion (NP) /Lot Book Report (PB) 1780.44(g)(2)(i)				PRDR	SO - Go into CAMS and verify OEA announcement infromation is correct			
LPR	Rights-of-Way Certificate w/ Map RD 442-21, 1780.44(g)(1)				PRDR	SO - Evidence Applicant Notified of Approval Letter 1780.41(b) (at least 6 business days after obligation)			
LPR	Opinion of Counsel-Rights-of Way RD 442-22, 1780.44(g)(1)(i)				LC	Draft Bond Documents RD Review 1780.94 (public bodies, some tribes)		AO SO	
LC	Applicants Proof of Insurance Gen/Liability/Auto/Workers Comp/ Flood/Property Accord Form/Policy 1780.39(g)				LC	Draft Promissory Note, Deed of Trust/Mortgage, etc. (Non- Profit, some tribes, some districts) RD 440-22, 1780.14(b), 45(a)(1)			
LC	Evidence of Fidelity or Employee Dishonesty Cert of Insurance/bond 1780.39(g)(3)				LC	UCC Lien Filed (Non Profit)		UCC-1	
						UCC Lien Search Completed (Non Profit)		UCC-11	
LC	User Agreemnt/Hookup Ord./Verification of Users (N/A if no new users) RB 1780-9 1780.39(c)(3), 44(b)				LC	Draft WEP Grant Agreement RB 1780-12, 1780.45(c) (if applicable)			
L	Water Rights 1780.44(g)(3) Letter/Docs (State Agency)				LC	Closing Instructions Memo / State Template- Required Prior to Bid 1780.44(h), 1780.83		AO SO	
	Lease Agrmnts/Permits (land use/discharge)1780.44(g)(4)						OGC		
LC	Loan Resolution/Resolution Security Agreement 1780.45(a)(2)	RB 1780-27 (bonds) RB 1780-28 (notes) Certification - Sign At Closing			LC	Processing Office discussed closing requirements with applicant, engineer, attorney and other appropriate representatives. 1780.44(h)			
LC	Commitment of other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.)				SR	Initial Compliance Review 400-8 Power App, 1901.204(e)(2), 1780.44(c), 1901-E Version 2 <a href="#">400-8 Power App</a>			
LC	Electronic Funds Transfer (EFT) Letter or SF 3881 signed by bank if possible Pledge of collatarel (non-profits - if applicable)				LC	Setup EFT NITC/ EFT screen			
ENG	Approval of Plans & Specs by Regulatory Agency 1780.57 (g) water; 1780.57 (h) sewer		contract 1 contract 2 contract 3		ENG	RD Approval of Plans & Specs State Engineer, 1780.57 Mitigation Measures in Contract Documents and/or adopted (if necessary)  Check Latest <a href="#">RB 1780-26</a> version		contract 1 contract 2 contract 3	
CBP	Interim Financing RB 1780- 10/10a, 1780.39(d)	Bank term sheet Interim Financing Letter			ENG	Consulting Engineers AIS / BABA Certification with plans & specifications (Fully Executed) if original obligation was after May 5, 2017 / May 14, 2022)		contract 1 contract 2 contract 3	
LC	WEP Grant Agreement RB 1780-12, 1780.45(c) (Execute after construction contract awarded)		APP AO		ENG	Approval to Advertise for Bids AO Specialist Letter/Email		contract 1 contract 2 contract 3	
LC	Draft Bond Documents RD Review 1780.94 (public bodies, some tribes)				ENG				
LC	Draft Promissory Note Form RD 440-22 (non-profits, some tribes)				LC	Pre-Closing Review Bond docs/note/DoT/UCC 1780.83,1780.94		AO SO	
SR	Vulnerability Assessment & Emergency Response Plan Certification(s)				LC	CPS initial/date items on LOC & Closing Instructions to verify completion			
ENG	Other - (Safe Drinking Water Plan, etc.)				LC	DNP checked/filed - Applicant plus "Principals"  <a href="#">DNP at RD – Check latest DNP UL</a>			
Notes:					LC	* Must pull prior to each draw, - if not clear do not order RD funds, include in Pay Package			
					LC	Closing Instructions to Title Co. Letter (notes)			

WEP DIRECT Processing Checklist					
APPLICANT:		AUTHORIZED REPRESENTATIVE:		ENGINEER:	
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)	Date	ECF Class	Document/Action & Reference (USDA – RD / OGC	Date
LC	Final Title Opinion Form RD 1927-10 or similar, 1780.44(g)(2) If real estate taken as security (normally non-profits)		LC / CM	If Grant Funds Ordered before Loan Funds - Document and Upload to CPAP as per 1780.45 (d)	
LC	Final Bond Documents RD Review 1780.94 (public bodies, some tribes)		LC	Grant Closing in CPAP? (Loan Grant Obligation tab)	
			POST CLOSING		
LC	Final Promissory Note Form RD 440-22		LC	Evidence Bond/Note Transmitted to Finance Memo, (original Bond/Note in Safe)	
SR	Vulnerability Assessment & Emergency Response Plan Certification(s)		LC	Evidence of PAD Transmittal to Finance Memo	
ENG	Other - (Safe Drinking Water Plan, etc.)		LC	AO Loan Closing Narrative Request for Post-Closing Review Memo	
LC	Closing Docs Bond Docs / Note, UCC, DoT/HUD1 1780.45(a)(1), 1780.83		LC	Final Closing received from SO Memo 1780.45(g)	
LC	RB 1780-27 - Loan Resolution / RB 1780-28 Loan Resolution Security Agreement Certification (executes one per loan at closing)		LC	Request OGC Post Closing Instructions 1780.45(g)	
LC	Executed PAD Agreement RD 3550-28		LC	Final Closing received from SO Memo 1780.45(g) If applicable	
LC	ALTA Title Report (Non-profit) Title Company 1780.44(g)(2) (i) or:		LC / SR	Schedule Warranty Inspection 1780-2 - 4. b. (1) (a) SI	
LC	Final Title Opinion Letter/Memo 1780.44 (g)(2) (if use attorney)		LC / SR	Schedule Operational review 2 - 4. b. (1) (b) SI 1780-	
LC	Final Opinion of Bond Counsel (Bonds) Letter/Memo 1780.83(1)		Notes:		

WEP DIRECT									
Construction Checklist									
BORROWER:			ENGINEER:			ECF Structure Classifications:			
						P - Processing Folder			
Contact:			Contact:			PC - Processing - Certifications			
Telephone:			Telephone:			PRDR - Processing RD Review			
Email:			Email:			ENV - Environmental Folder			
Address:			Address:			ENG - Engineering Folder			
CASE#:			PROJECT DESCRIPTION:			CBP - Construction - Bidding - Procurement			
Name of Contractor(s)						CM - Construction Monitoring			
#1						L - Legal			
#2						LO - Legal - Organization			
#3						LPR - Legal Property Rights			
TYPE OF FACILITY						LC - Legal - Closing			
WATER		SEWER				SR - Servicing - Routine			
						SNR - Servicing - Non-Routine			
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD)			Date
CBP	Bid Package submitted by Engineer Bid tab, low bid, bid bond, Engineers recommendation for award, Applicants recommendation for award, 1780.61(b)		Contract 1		ENG	RD Approval Resident Inspector Resume State Engineer memo/email 1780.76(c)			
			Contract 2						
			Contract 3						
CBP	Notice of Award to Contractor EJCDC C-510		Contract 1		ENG	Circular 570 on Surety Company 1780.75(c) <a href="http://www.fms.treas.gov/search.html">www.fms.treas.gov/search.html</a>			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CBP	Applicants Attorney Review Construction Documents - RD Exhibit GC 1780.61(b)		Contract 1		CBP	AO Recommendation of Award to SO Update CPAP Construction Module <i>If final contract deobligate excess funds if &gt; 10% contingency</i> SI 1780-2 3 b (4)			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CBP	Pre-Construction Conference (Engineer) – 1780.76(a)		Contract 1		ENG	SO - RD's Concurrence to Award w/ Approved Project Budget Letter 1780.61(b)			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CBP	Notice to Proceed ( Engineer) EJCDC C-550		Contract 1		CBP	SO - RD executes Construction Contract Docs Sign concurrence on RD Supplementary Cond Check Latest <a href="#">RB 1780-26</a> version			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	Owner's construction monitoring reports completed monthly during construction				CBP	Notice to Contractors RD 400-3 1780.76(a) provided at Pre-construction meeting by specialist			Contract 1
									Contract 2
									Contract 3
CM	Certificate of Substantial Completion / Punch List (Engineer) EJCDC C-625		Contract 1		CM	DNP checked/filed - Applicant plus "Principals"  <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw if >30 days - if not clear, do not order RD funds, include in Pay Package			
			Contract 2						
			Contract 3						
CM	Notice of Acceptability of Work (Engineer) EJCDC E-500 Exh. E		Contract 1		CM	UEI# Expiration Date			Year 1
			Contract 2						Year 2
			Contract 3						Year 3
CM	Contractors AIS/BABA Certification prior to final payment (Fully Executed)		Contract 1		CM	Monitor Construction - Monthly 1780.76, SI 1780-2 4 (a), 1970.16 ( c) Use CPAP Construction Module			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	Consent of Surety from Bonding Company		Contract 1		CM	AIS Site Inspection (as applicable) completed by State Engineer (if original obligation for project was on or after May 5, 2017 - and not BABA)			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	“As-Built” Plans (Engineer) delivered to owner		Contract 1		CM	Pre-Final Inspection 1780.76(f), 1970.16 ( c) Obtain copy of Consulting Engineers Inspection Report			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	O&M Manual (Engineer) delivered to owner		Contract 1		CM	Final Inspection 1780.76(g) , 1970.16 ( c) Obtain copy of Consulting Engineers Inspection Report (if final contract, deobligate remaining funds?)			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
Notes:					CM/SR	Warranty Inspection /Mitigation SI 1780-2 4 b. (1), 1970.16 ( c)			Contract 1
				Contract 2					
				Contract 3					

ECWAG Processing Checklist													
										Based on 2024 ICR Guides			
APPLICANT:				AUTHORIZED REPRESENTATIVE:				ENGINEER:					
				Contact:				Contact:					
Telephone:				Telephone:				Telephone:					
Email:				Email:				Email:					
Address:				Address:				Address:					
CASE#:				PROJECT DESCRIPTION:									
UEI#:													
SAM#:													
Expiration	1 <sup>st</sup> Year			ECF Structure Classifications:									
	2 <sup>nd</sup>			P	Processing Folder		C	Construction Folder		S	Servicing Folder		
COUNTY:				PC	Process - Certifications		CBP	Con - Bidding - Procurement		SR	Servicing - Routine*		
TYPE OF FACILITY				PF	Processing - Financials		CM	Construction Monitoring		SNR	Servicing - Non Routine*		
WATER		SEWER		PRDA	Processing - RD Apply		L	Legal Folder		* - <i>If Regular Borrower</i>			
				PRDR	Process - RD Review		LO	Legal - Organization					
				ENV	Environmental Folder		LPR	Legal - Property Rights		CERT	Centralized Environmental Review Tracker		
				ENG	Engineering Folder		LC	Legal - Closing					
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)				Date		ECF Class	Document/Action & Reference (USDA – RD / OGC)				Date	
						PRDR	Initial Application Processing Conference Staff Instruction (SI) 1780-2 3 a 11 ( a )						
						PRDR	Environmental discussion / Initial Site visit (preferred) SI 1780-2 3 a. 11 (a)						
						LO	Articles & Bylaws - SO to approve, consult OGC if necessary (Non-Profut (NP) only) 1778.6				AO		
											SO		
OGC													
PRDA	Complete RD Apply ECWAG SAP as Necessary - Includes SF 424, Org Docs Audits/Financial Statements						PRDR	Project Selection Criteria SO SI 1780-2, 3(a)(4)		RB 1778-1 ECWAG			
					RB 1777-2 NatAm								
PRDA	Simplified Engineering Report SI 1778-1 Exhibit A <u>uploaded to RD Apply</u>						PRDR	RD Letter sent to FEMA – SI 1778-1 (if applicable)					
								FEMA non-coverage documentation SI 1778-1 (If applicable)					
PRDA	Environmental Documentation RD Instruction I970-B, Exhibit C or 1778-1 Exhibit B, ( <u>uploaded to RD Apply</u> )						PRDR	DNP checked/filed - Applicant plus "Principals"					
								<a href="#">DNP at RD – Check latest DNP UL</a>					
								Update DNP in CPAP					
PRDA	Mayor/Chairman/President e-sign required certifications and submit application in RD Apply (AD-1049, 1910-11, 1940-Q Ex A-1. SF-LLL, Prohibited Tying arrangement cert)						PRDR	Complete Application Accept or Refect within 15 days. Push to CPAP the same day as accepted. SI 1778-1 (7) or (8)					
PRDA	Documentation of the Nature of the Emergency/Disaster						PRDR	Notice of Eligibility and Funding Availability Area Office (AO) Letter/email/documented in-person conference, 1780.32(b), SI 1780-2 & 3 (11) (b), Due within 45 days PB, and 30 Days NP from complete application					
Notes:						Notes:							

ECWAG Processing Checklist							
APPLICANT:			AUTHORIZED REPRESENTATIVE:		ENGINEER:		
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)		
L	Professional Service Agreements - Legal & Accounting/Auditor, 1780.39(b)(2) RD Concur	Legal		ENG	Engineer Agreement - RD Review/Concur 1780.39 (b)(1) (No DNP Check)	Review	
		Auditor				Concur	
ENG	Primacy Agency Approval of Facility Plan 1780.55			ENG	PER – RD Review & concurrence SI 1778-1 7 c (6) Upload to CPAP within 45 days of complete appl	AO submits	
PRDR	Applicants Insurance Coverage SI 1778-1, ACCORD Form					SE Comment	
	Applicant's Certification of non-coverage, Letter/email					SE approval	
PRDR	Letter of Intent to Meet Conditions RD 1942-46, 1780.41(a)(6) (must be signed prior to obligation)			ENV / CERT	Environmental Decision & Notices (if necessary) Cat-Ex Form or FONSI Input into CERT RD Instruction 1970-B, Form 1970-1, FONSI memo, etc.	AO	
						SEC	
						PD	
Notes:							
				PRDR	AO Memo for S/O or Loan Committee CPAP must be completed following the CPAP Underwriting Guide - adjusted for ECWAG		
				PRDR	Loan Committee / S/O – Approval - SI 1778-1 7 g To extent possible, approve or disapprove within 60 days of complete application		
				PRDR	Project Summary Information from CPAP 1780.41(a)(1) Narrative completed with date and initial		AO
							SE
							SO
				PRDR	Submit Request to NO for Funding CPAP request		SO
							NO
				PRDR	Issue Letter of Conditions/Amend(s) NO Template- 1780.41(a)(5)  <a href="#">WEP Home - Letter of Conditions - Docu</a>		LOC
							Amend 1
							Amend 2
				PRDR	DNP checked/filed - Applicant plus "Principals"		
					<a href="#">DNP at RD – Check latest DNP UL</a> Update DNP in CPAP (< 5 days prior to obligation)		
PRDR	Obligation of Funds RD1940-1/ CPAP/ NITC screens 1780.41(a)(7)		approved				
			obligated				

ECWAG Processing Checklist											
APPLICANT:			AUTHORIZED REPRESENTATIVE:			ENGINEER:					
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)			Date			
LPR	Preliminary Title Opinion (NP) /Lot Book Report (PB) 1780.44(g)(2)(i)			PRDR	SO - Go into CAMS and verify OEA announcement infromation is correct						
LPR	Right-of-way Certificate w/ Map RD 442-21, 1780.44(g)(1)			PRDR	SO - Evidence Applicant Notified of Approval Letter 1780.41(b) (at least 6 business days after obligation)						
LPR	Opinion of Counsel-Rights-of Way RD 442-22, 1780.44(g)(1)(i)			LC	AO Request Grant Closing Instructions from SO						
L	Water Rights 1780.44(g)(3) Letter/Docs			SR	Initial Compliance Review 400-8 Power App, 1901.204(e)(2), 1780.44(c), 1901-E						
L	Lease Agrmnts/Permits (land use/discharge)1780.44(g)(4)				Version 1	<a href="#">400-8 Power App</a>					
LC	Commitment of other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.)			LC	Setup EFT NITC/ EFT screen						
LC	Electronic Funds Transfer (EFT) Letter or SF 3881 signed by bank if possible Pledge of collatarel (non-profits - if applicable)			ENG	RD Approval of Plans & Specs State Engineer, 1780.57 Mitigation Measures in Contract Documents and/or adopted (if necessary) Check Latest <a href="#">RB 1780-26</a> version		contract 1				
							contract 2				
ENG	Approval of Plans & Specs by Regulatory Agency 1780.57	contract 1					contract 3				
ENG		contract 2		ENG	Consulting Engineers AIS/BABA Certification with plans & specifications (Fully Executed) (as applicable)		contract 1				
		contract 3					contract 2				
							contract 3				
LC	WEP ECWAG Grant Agreement, RB 1780-12, 1780.45(c (Execute after construction contract is signed)	APP		ENG	Approval to Advertise for Bids AO Specialist Letter/Email		contract 1				
		AO					contract 2				
Notes:							contract 3				
				LC	Pre-Closing Review					AO	
										SO	
				LC	CPS initial/date items on LOC & Closing Instructions to verify completion						
				LC	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw, - if not clear do not order RD funds, include in Pay Package						
				LC	Final Closing - AO Request, SO Memo to file						
LC	Grant Closing in CPAP? (Loan Grant Obligation tab)										

ECWAG Construction Checklist									
BORROWER:					ENGINEER:			ECF Structure Classifications (Portion):	
								P - Processing Folder	
					Contact:				PC - Processing - Certifications
Telephone:					Telephone:				PRDR - Processing RD Review
Email:					Email:				ENV - Environmental Folder
Address:					Address:				ENG - Engineering Folder
CASE#:			PROJECT DESCRIPTION:				CBP - Construction - Bidding - Procurement		
Name of Contractor(s)							CM - Construction Monitoring		
#1							L - Legal		
#2							LO - Legal - Organization		
#3							LPR - Legal Property Rights		
TYPE OF FACILITY							LC - Legal - Closing		
WATER		SEWER						SR - Servicing - Routine <i>(If Regular Borrower)</i>	
								SNR - Servicing - Non-Routine <i>(If Regular Borrower)</i>	
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD)			Date
CBP	Bid Package submitted by Engineer Bidtab, lowbid, bid bond, Engineers recommendation for award, Applicants recommendation for award, 1780.61(b)		Contract 1		ENG	RD Approval Resident Inspector Resume State Engineer memo/email 1780.76(c)			
			Contract 2						
			Contract 3						
CBP	Notice of Award to Contractor EJCDC C-510		Contract 1						
			Contract 2						
			Contract 3						
CBP	Applicants Attorney Review Construction Documents - RD Exhibit GC 1780.61(b)		Contract 1		CBP	Circular 570 on Surety Company 1780.75(c) <a href="http://www.fms.treas.gov/search.html">www.fms.treas.gov/search.html</a>			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CBP	Pre-Construction Conference (Engineer) – 1780.76(a)		Contract 1		ENG	AO Recommendation of Award to SO Update CPAP Construction Module <i>(If final contract - de-obligate excess funds if &gt; 10% contingency?)</i>			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CBP	Notice to Proceed ( Engineer) EJCDC C-550		Contract 1		ENG	SO - RD's Concurrence to Award w/ Approved Project Budget Letter 1780.61(b)			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	Owner's construction monitoring reports completed <b>monthly</b> during construction				CBP	SO - RD executes Construction Contract Docs Sign concurrence on RD Supplementary Cond Check Latest <a href="#">RB 1780-26</a> version			Contract 1
									Contract 2
CM	Certificate of Substantial Completion / Punch List (Engineer) EJCDC C-625		Contract 1		CBP	Notice to Contractors RD 400-3 1780.76(a) provided at Pre-construction meeting by specialist			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	Notice of Acceptability of Work (Engineer) EJCDC E-500 Exh. E		Contract 1		CM	DNP checked/filed - Applicant plus "Principals"  <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw if >30 days - if not clear, do not order RD funds, include in Pay Package			
			Contract 2						
			Contract 3						
CM	Contractors AIS/BABA Certification prior to final payment (Fully Executed) - <i>If Needed</i>		Contract 1		CM	Monitor Construction - Monthly 1780.76, SI 1780-2 4 (a), 1970.16 ( c) Use CPAP Construction Module			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	Consent of Surety from Bonding Company		Contract 1		CM	AIS Site Inspection (as applicable) completed by State Engineer (If original obligation for project was on or after May 5, 2017 -not BABA)			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	“As-Built” Plans (Engineer) delivered to owner		Contract 1		CM	Pre-Final Inspection 1780.76(f), 1794.17(b)(3) Obtain copy of Consulting Engineers Inspection Report			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
CM	O&M Manual (Engineer) delivered to owner		Contract 1		CM	Final Inspection 1780.76(g) , 1970.16 ( c) Obtain copy of Consulting Engineers Inspection Report <i>(if final contract, deobligate remaining funds?)</i>			Contract 1
			Contract 2						Contract 2
			Contract 3						Contract 3
Notes:					CM/SR	Warranty Inspection /Mitigation SI 1780-2(3.2)(a)(i)(A), 1794.17(b)(3)			Contract 1
									Contract 2
									Contract 3

SEARCH / PPG Processing Checklist												
										Based on 2024 ICR Guides		
APPLICANT:				AUTHORIZED REPRESENTATIVE:				ENGINEER:				
				Contact:				Contact:				
Telephone:				Telephone:				Telephone:				
Email:				Email:				Email:				
Address:				Address:				Address:				
CASE#:				PROJECT DESCRIPTION:								
UEI#:												
SAM#:												
Expiration	1 <sup>st</sup> Year				ECF Structure Classifications:							
	2 <sup>nd</sup>				P	Processing Folder	CBP	Construction - Bidding - Procurement		S	Servicing Folder	
COUNTY:				PC	Process - Certifications				SR	Servicing - Routine*		
TYPE OF FACILITY				PF	Processing - Financials	CM	Construction Monitoring		SNR	Servicing - Non Routine*		
WATER		SEWER		PRDA	Processing - RD Apply	L	Legal Folder		* - If Regular Borrower			
				PRDR	Process - RD Review	LO	Legal - Organization					
				ENV	Environmental Folder	LPR	Legal - Property Rights		CERT	Centralized Environmental Review Tracker		
				ENG	Engineering Folder	LC	Legal - Closing					
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)				Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)				Date	
						PRDR	Initial Application Processing Conference (Optional) Staff Instruction (SI) 1780-2 3 a 11 ( a)					
						PRDR	Environmental discussion / Initial Site visit SI 1780-2 3 a. 11 (a) (Preferred but optional to discuss level of ER needed for the proposed project - will it be a Cat Exx w/ Report or an EA?)					
						LO	Articles & Bylaws - SO to approve, consult OGC if necessary (Non-Profut (NP) only) 1778.6				AO	
											SO	
											OGC	
P/PRDA	Complete RD Apply as Necessary - Includes SF 424, Org Docs Audits/Financial Statements					PRDR	Project Selection Criteria SO SI 1780-2, 3(a)(4)		RB 1780-1 WEP			
P	Notice of Intent to File App & Evidence of Public Info. Meeting. 1780.19(a)(b) (w/in 60 days of filing an App) RD Apply	Notice		PRDR								
		Affidavit										
ENG	Engineer Agreement - Proposed agreement including budget amount											
PC	Mayor/Chairman/President e-sign required certifications and submit application in RD Apply (1910-11, 1940-Q Ex A-1., Prohibited Tying arrangement cert)					PRDR	DNP checked/filed - Applicant plus "Principals"					
							<a href="#">DNP at RD – Check latest DNP UL</a>					
PC	Mayor/Chairman/President e-sign required Optional certifications if applicable and submit in RD Apply (AD-1049, SF-LLL)					PRDR	Complete Application Accept or Refect within 15 days. Push to CPAP the same day as accepted. 1780.31(b), 1780.32 (a), 1780.33(a-h)					
							Update DNP in CPAP					
Notes:						PRDR	Notice of Eligibility and Funding Availability Area Office (AO) Letter/email/documented in-person conference, 1780.32(b), SI 1780-2 & 3 (11) (b), Due within 45 days PB, and 30 Days NP from complete application					

SEARCH / PPG Processing Checklist							
APPLICANT:		AUTHORIZED REPRESENTATIVE:		ENGINEER:			
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)	Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)		Date	
ENG	Engineer Agreement with final budget amount - submitted to RD for review		ENG	Engineer Agreement - RD Review/Concur 1780.39 (b)(1) (No DNP Check)	Review		
					Concur		
LC	Commitment of other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.)						
PRDR	Letter of Intent to Meet Conditions RD 1942-46, 1780.41(a)(6) (must be signed prior to obligation)		ENV / CERT	Input Cat Ex w/o Report into CERT			
Notes:			ENV / CERT	Complete Cat Ex W/O Report in CERT RD Instruction 1970-B, Form 1970-1	AO		
					PD		
			PRDR	AO Memo for S/O or Loan Committee must be completed following the CPAP Underwriting Guide - adjusted for SEARCH/PPG	CPAP		
			PRDR	Loan Committee / S/O – Approval			
			PRDR	Project Summary Information from CPAP 1780.41(a)(1) Narrative completed with date and initial	AO		
					SE		
					SO		
			PRDR	Submit Request to NO for Funding CPAP request	SO		
					NO		
			PRDR	Issue Letter of Conditions/Amend(s) NO Template- 1780.41(a)(5) <a href="#">WEP Home - Letter of Conditions - Docu</a>	LOC		
					Amend 1		
					Amend 2		
			PRDR	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a> Update DNP in CPAP (< 5 days prior to obligation)			
			PRDR	Obligation of Funds RD1940-1/ CPAP/ NITC screens 1780.41(a)(7)	approved		
					obligated		

SEARCH / PPG Processing Checklist									
APPLICANT:			AUTHORIZED REPRESENTATIVE:			ENGINEER:			
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)			Date	
				PRDR	SO - Go into CAMS and verify OEA announcement information is correct				
				PRDR	SO - Evidence Applicant Notified of Approval Letter 1780.41(b) (at least 6 business days after obligation)				
				LC	AO Request Grant Closing Instructions from SO				
				SR	Initial Compliance Review 400-8 Power App, 1901.204(e)(2), 1780.44(c), 1901-E				
					Version 1 or 2	<a href="#">400-8 Power App</a>			
LC	Confirmation of other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.)			LC	Setup EFT NITC/ EFT screen				
LC	Electronic Funds Transfer (EFT) Letter or SF 3881 signed by bank if possible Pledge of collatarel (non-profits - if applicable)			ENG	Preliminary Engineering Report (PER) - RD review & concurrence		AO rec/ Submits		
							SE Review		
ENG	Approval of PER / Facility Plan by Regulatory Agency 1780.57						ENG		SE Approval
				Environmental Report -		AO Rec/ Submits			
						SEC Review			
LC	WEP Grant Agreement, RB 1780-12, 1780.45(c) (Execute after engineering agreementcontract is signed)		APP				SEC Approval		
			AO						
Notes:				LC	CPS initial/date items on LOC & Request Closing Instructions from State Office				
				LC	DNP checked/filed - Applicant plus "Principals"				
					<a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw, - if not clear do not order RD funds, include in Pay Package				
				CM	Monitor Construction - Monthly 1780.76, SI 1780-2 4 (a), 1970.16 ( c ) Use CPAP Construction Module - Disburse grant funds Upload NITC/CLSS Printout				
				LC	Final Closing - AO Request, SO Memo to file				
				LC	Grant Closing in CPAP? (Loan Grant Obligation tab) Once final disbursement made, deobligate any excess, and code the SEARCH/PPG as a 492				

SUBSEQUENT - WEP DIRECT Processing Checklist																		
										Based on 2024 ICR Guides								
APPLICANT:					AUTHORIZED REPRESENTATIVE:					ENGINEER:								
Contact:					Contact:					Contact:								
Telephone					Telephone:					Telephone:								
Email:					Email:					Email:								
Address:					Address:					Address:								
CASE#:					PROJECT DESCRIPTION:													
UEI#:																		
SAM#:																		
Expiration		1 <sup>st</sup> Year					ECF Structure Classifications:											
		2 <sup>nd</sup>					P	Processing Folder		CBP	Construction - Bidding - Procurement		S	Servicing Folder				
COUNTY:					PC	Process - Certifications					SR	Servicing - Routine						
TYPE OF FACILITY					PF	Processing - Financials		CM	Construction Monitoring		SNR	Servicing - Non Routine						
WATER				SEWER				PRDA	Processing - RD Apply		L	Legal Folder						
								PRDR	Process - RD Review		LO	Legal - Organization						
					ENV	Environmental Folder		LPR	Legal - Property Rights		CERT	Centralized Environmental Review Tracker						
					ENG	Engineering Folder		LC	Legal - Closing									
ECF Class		Document/Action & Reference (APPLICANT / CONSULTANTS)					Date		ECF Class		Document/Action & Reference (USDA – RD / OGC)				Date			
Check each item, but depending on the nature of the subsequent request, many (or a few) of the entries may be "N/A"							PRDR		Subsequent Application Processing Conference Staff Instruction (SI) 1780-2 3 a 11 ( a ) & 3 (b) 3									
							PRDR		Environmental discussion / Subsequent Site visit 1780.3 (e) / SI 1780-2 3 a. 11 (a) (if necessary or "N/A" if no scope change)									
P/PRDA		Complete RD Apply as Necessary - Includes SF 424, Other Credit Cert, <b>Updated</b> Audits/Financial Statements, Existing Debt, Drug Free Work Place (Grant)							ENG		Is there a health/sanitary violation or concern still?      1780.17, SI 1780-2 3 (8)		Yes / No					
P		Notice of Intent to File App & Evidence of Public Info. Meeting. 1780.19(a)(b) (w/in 60 days of filing an App)			Notice													
					Affidavit													
ENG		Amendment to RB 1780-2 Preliminary Engineering Report (PER) if scope change or an updated cost estimate RD 1780-2, 1780.33(c)(1),(2),(3) uploaded to RD Apply --> CPAP (if necessary)							PC		Other Credit Document Commercial Credit Summary    1780.7(d), 1780.33(d), SI 1780-2, 3(a)(3) Update if 6 months or more has lapsed since original obligation else "N/A"		AO					
													SO					
ENV		Environmental Amendment if scope change or "N/A" if no scope change. RD Instruction 1970-B, Exhibit C or 1970-C, Exhibit B 1780.33(f), (uploaded to RD Apply --> CPAP--> Env Power Appl) (if necessary)							PRDR		Project Selection Criteria (If Changed) 1780.17 SI 1780-2, 3(a)(4)		RB 1780-1 WEP				Points	
											RB 1778-1 ECWAG (if appl)						Points	
											RB 1777-2 NatAm/Colonia (if appl)						Points	
PC		Mayor/Chairman/President e-sign required certifications and submit application in RD Apply (1910-11, 1940-Q Ex A-1., Prohibited Tying arrangement cert)							PRDR		DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a>							
PC		Mayor/Chairman/President e-sign required Optional certifications if applicable and submit in RD Apply (AD-1049, SF-LLL)							PRDR		Update DNP in CPAP							
Notes:							PRDR		Complete Application Accept or Return with comments within 15 days. Push to CPAP the same day once accepted. 1780.31(b), 1780.32 (a), 1780.33(a-h)									
							PRDR		Notice of Eligibility and Funding Availability Area Office (AO) Letter, 1780.32(b), SI 1780-2 & 3 (11) (b), Due within 45 days PB, and 30 Days NP from complete application									

SUBSEQUENT - WEP DIRECT									
Processing Checklist									
APPLICANT:			AUTHORIZED REPRESENTATIVE:			ENGINEER:			
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)		Date		
L / SR	Amended Professional Service Agreements - Bond Counsel/Legal & Accounting/Auditor, 1780.39(b)(2) RD Concur (If changes & if necessary, else "N/A")	Lgeal		L	Engineer Agreement Amendment- RD Review/Concur 1780.39 (b)(1) DNP Check) (No (If necessary, else "N/A"		Review		
		Bond							
		Auditor							
PF	Borrower Accounting System - RD Review & Concur and in effect - SI 1780-4 (1) (ii) (if not previously completed, else "N/A")						Concur		
LC	Bond Election/Decision 1780.83(I) & Public Body (PB) Preliminary Opinion Bond Counsel (if necessary - else "N/A"	Election/ Decsion		ENG	PER Amendment and/or– RD Review & concurrence 1780.33(c)(2) & (3) Upload to CPAP (within 45 days of complete application) If no PER update and just updated project costs based on bids, SE must confirm no change of scope		AO submits		
		Opinion					SE Comment		
	Resolution of Members (NP) RD 1942-8 1780.39(f) if necessary - else "N/A"							SE approval	
P	Documentation uploaded to CPAP that applicant held at least one public meeting 1780.19 (b) (if applicable due to scope chaqnge , else "N/A")			ENV / CERT	Imput Environmental information into CERT If no scope change Cat Ex w/o report, else complete full Enviromental process				
ENG	Primacy Agency Approval of PER Amendment if scope change, else "N/A" 1780.55; 1780.57 (g) water & (h) sewer			ENV / CERT	SEC Determination letter - Acceptance or Comments on Environmental documents - RD Instruction 1970-B Exh.B (CatEx w Report) or 1970-C Exh.C (EA), (NA for CatEx only) - Update CERT				
ENG	Health/Sanitary Standard Violation or Concern if scope or project change based on current situation or "N/A" if existing documentation is sufficient. EPA/DEQ or similar documentation, 1780.13(b)(1), 1780.10(c)(1), 1780.15(d), SI 1780-2 3 (8)			ENV / CERT	Standard Flood Hazard Determination (RD Instruction 1970-F) FEMA Form 81-93 (N/A if no change of scope and/or security is not real estate)				
ENV	Archeological Report (if necessary) 1970-B, Exh. C, or 1970-C, Exh. B								
ENV	Phase I Site Assessment, if secuirty taken in real estate >\$100k, TSQ if <\$100k (N/A if secuirty is not real estate)			ENV / CERT	FFRMS Floodplain Determination: Worksheet-1970-F FFRMS Job Aid Floodplain Determination Worksheet (fema.gov)				
ENV	Preliminary Notice Important Land/ Cultural Resources - 1970.56; 1970.557; 1970-H (Exh H-2) 1970-L		Notice Affidavit	ENV / CERT	No Effect Package to SHPO/THPO - SO (RD Instruction 1970-H) (NA for CatEX only)				
ENV	Notice of Availability of Environmental Assessment – 1970-C (Exh F-1) (N/A for CatEx)		Notice Affidavit	ENV / CERT	Cat-Ex Form - Input into CERT RD Instruction 1970-B, Form RD 1970-1 (N/A for EA)		AO		
ENV	Final Notice Important Land/Cultural Resources 1970.556; 1970.557; 1970-H (Exh H-3) ;1970-L		Notice Affidavit	ENV / CERT	FONSI Recommendation Letter (SEC) - 1970-C Exh D - Input to CERT FONSI Determination (PD) - 1970-C Exb F-3 (N/A for CatEx)		SEC		
ENV	Notice of FONSI 1970-C (Exh F-4)		Notice Affidavit	PRDR	Commercial Credit Screen in CPAP list lenders rate/terms and data within 6 months of application 1780.7 (d); SI 1780-2 3 a. (3); SI 1780-6				
ENV	Notification to Adjacent Property Owners 1970-C Exhbit B 3.14.2		Notice Affidavit	PRDR	Commercial Credit Screen- feasibility statement and comments where information is from in CPAP 1780.7 (d); SI 1780-2 3 a. (3); SI 1780-6				
L	Water/Sewer Purchase/Treatment Contract If necessary, else if no change "N/A" RD442-30, 1780.62, 1780.63 AO Concur			PRDR	AO Memo for State Office / Loan Committee Review CPAP must be completed following the CPAP Underwriting Guide				
				PRDR	State Office / Loan Committee – Approval Does the request meet the requirements in SI 1780-2, & 1780-5 (materiality, substantial Grant criteria, etc)				
				PRDR	Project Summary Information from CPAP 1780.41(a)(1) Narrative completed with date and initial		AO		
PRDR	Letter of Intent to Meet Conditions RD 1942-46, 1780.41(a)(6) (Must be signed prior to obligation)			PRDR	Submit Request to NO for Funding (If Applicable) CPAP request		SE		
				PRDR			SO		
				PRDR			NO		
				PRDR	Issue Letter of Conditions/Amend(s) NO Template- 1780.41(a)(5)		LOC		
					Amend 1				
			<a href="#">WEP Letter of Conditions</a>		Amend 2				
				PRDR	DNP checked/filed - Applicant plus "Principals" <a href="#">Do Not Pay at Rural Development</a> Update DNP in CPAP (< 5 days prior to Obligation)				
				PRDR	Confirm interest rate and term in CPAP (if loan)				
				PRDR	Obligation of Funds RD1940-1/ CPAP/ NITC screens 1780.41(a)(7)		approved		
					obligated				
Notes:									

SUBSEQUENT - WEP DIRECT Processing Checklist									
APPLICANT:					AUTHORIZED REPRESENTATIVE:			ENGINEER:	
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)			Date
LPR	Preliminary Title Opinion (NP) /Lot Book Report (PB) 1780.44(g)(2)(i) (If change from original project, else "N/A")				PRDR	SO - Go into CAMS and verify OEA announcement infromation is correct			
LPR	Rights-of-Way Certificate w/ Map RD 442-21, 1780.44(g)(1) (if change from original project, else "N/A")				PRDR	SO - Evidence Applicant Notified of Approval Letter 1780.41(b) (at least 6 business days after obligation)			
LPR	Opinion of Counsel-Rights-of Way RD 442-22, 1780.44(g)(1)(i) (if change from original project, else "N/A")				LC	Draft Bond Documents RD Review 1780.94 (public bodies, some tribes)		AO SO	
LC	Updated Applicants Proof of Insurance Gen/Liability/Auto/Workers Comp/ Flood/Property Accord Form/Policy 1780.39(g) (if > 1 year else "N/A")				LC	Draft Promissory Note, Deed of Trust/Mortgage, etc. (Non- Profit, some tribes, some districts) RD 440-22, 1780.14(b), 45(a)(1)			
LC	Updated Evidence of Fidelity or Employee Dishonesty Cert of Insurance/bond 1780.39(g)(3) (if > 1 year else "N/A")				LC	UCC Lien Filed (Non Profit)		UCC-1	
						UCC Lien Search Completed (Non Profit)		UCC-11	
LC	User Agreeemnt/Hookup Ord./Verification of Users (N/A if no new users) RB 1780-9 1780.39(c)(3), 44(b) If change from original project, else "N/A"				LC	Draft WEP Grant Agreement RB 1780-12, 1780.45(c) (if applicable)			
L	Water Rights 1780.44(g)(3) Letter/Docs (State Agency) If change from original project, else "N/A"				LC	Closing Instructions Memo / State Template- Required Prior to Bid 1780.44(h), 1780.83		AO	
	Lease Agrmnts/Permits (land use,.discharge) 1780.44(g)(4) If change from original project, else "N/A"							SO	
LC	Subsequent Loan Resolution/Resolution Security Agreement 1780.45(a)(2) else "N/A"		RB 1780-27 (bonds) RB 1780-28 (notes) Certification - Sign At Closing					OGC	
LC	Commitment of additional other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.) else "N/A"				SR	Initial Compliance Review (If not completed else N/A) 400-8 Power App, 1901.204(e)(2), 1780.44(c), 1901-E Version 2 <a href="#">400-8 Power App</a>			
LC	Electronic Funds Transfer (EFT) Letter or SF 3881 signed by bank if possible Pledge of collatarel (non-profits - if applicable)				LC	Setup EFT NITC/ EFT screen			
ENG	Approval of Plans & Specs by Regulatory Agency 1780.57 (g) water; 1780.57 (h) sewer If Subsequent results in change from original project, els "N/A"		contract 1 contract 2 contract 3		ENG	RD Approval of Plans & Specs State Engineer, 1780.57 Mitigation Measures in Contract Documents and/or adopted (if necessary)  Check Latest <a href="#">RB 1780-26</a> version		contract 1 contract 2 contract 3	
CBP	Interim Financing RB 1780- 10/10a, 1780.39(d) if subsequent loan, else "N/A"		Bank term sheet Interim Financing Letter		ENG	Consulting Engineers AIS / BABA Certification with plans & specifications (Fully Executed) if original obligation was between May 5, 2017 / May 14, 2022)		contract 1 contract 2 contract 3	
LC	WEP Grant Agreement RB 1780-12, 1780.45(c) (Execute after construction contract awarded) May combine with and superceede the initial grant agreement - "N/A" for sub loan only		APP AO		ENG	Approval to Advertise for Bids AO Specialist Letter/Email		contract 1	
LC	Draft Bond Documents RD Review 1780.94 (public bodies, some tribes) if applicable, else "N/A"							contract 2 contract 3	
LC	Draft Final Promissory Note Form RD 440-22 (Non-Profit, some tribes, some districts) If aspplicable, else "N/A"				LC	Pre-Closing Review Bond docs/note/DoT/UCC 1780.83,1780.94		AO SO	
SR	Vulnerability Assessment & Emergency Response Plan Certification(s) If change from original else "N/A"				LC	CPS initial/date items on LOC & Closing Instructions to verify completion			
ENG	Other - (Safe Drinking Water Plan, etc.) If change from original else "N/A"				LC	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw, - if not clear do not order RD funds, include in Pay Package			
Notes:					LC	Closing Instructions to Title Co. Letter (notes)			

SUBSEQUENT - WEP DIRECT Processing Checklist					
APPLICANT:		AUTHORIZED REPRESENTATIVE:		ENGINEER:	
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)	Date	ECF Class	Document/Action & Reference (USDA – RD / OGC	Date
			LC / CM	If Grant Funds Ordered before Loan Funds - Document and Upload to CPAP as per 1780.45 (d)	
LC	Final Title Opinion Form RD 1927-10 or similar, 1780.44(g)(2) If real estate taken as security (normally non-profits)		LC	Grant Closing in CPAP? (Loan Grant Obligation tab)	
			POST CLOSING		
LC	Final Promissory Note Form RD 440-22		LC	Evidence Bond/Note Transmitted to Finance Memo, (original Bond/Note in Safe)	
SR	Vulnerability Assessment & Emergency Response Plan Certification(s)		LC	Evidence of PAD Transmittal to Finance Memo	
ENG	Other - (Safe Drinking Water Plan, etc.)		LC	AO Loan Closing Narrative Request for Post-Closing Review Memo	
LC	Closing Docs Bond Docs / Note, UCC, DoT/HUD1 1780.45(a)(1), 1780.83		LC	Final Closing received from SO Memo 1780.45(g)	
LC	RB 1780-27 - Loan Resolution / RB 1780-28 Loan Resolution Security Agreement Certification (executes one per loan at closing)		LC	Request OGC Post Closing Instructions 1780.45(g)	
LC	Executed PAD Agreement RD 3550-28		LC	Final Closing received from SO Memo 1780.45(g) If applicable	
LC	ALTA Title Report (usually Non-profit) Title Company 1780.44(g)(2) (i)		LC / SR	Schedule Warranty Inspection 1780-2 - 4. b. (1) (a) SI	
LC	Final Title Opinion Letter/Memo 1780.44 (g)(2) (if use attorney)		LC / SR	Schedule Operational review 2 - 4. b. (1) (b) SI 1780-	
LC	Final Opinion of Bond Counsel (Bonds) Letter/Memo 1780.83(1)		Notes:		

SUBSEQUENT - WEP DIRECT										
Construction Checklist										
IF NEEDED - (More than three (3) construction Contracts)										
BORROWER:			ENGINEER:			ECF Structure Classifications:				
						P - Processing Folder				
Contact:			Contact:			PC - Processing - Certifications				
Telephone:			Telephone:			PRDR - Processing RD Review				
Email:			Email:			ENV - Environmental Folder				
Address:			Address:			ENG - Engineering Folder				
CASE#:			PROJECT DESCRIPTION:			CBP - Construction - Bidding - Procurement				
Name of Contractor(s)						CM - Construction Monitoring				
#1						L - Legal				
#2						LO - Legal - Organization				
#3						LPR - Legal Property Rights				
TYPE OF FACILITY						LC - Legal - Closing				
WATER		SEWER					SR - Servicing - Routine			
						SNR - Servicing - Non-Routine				
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD)		Date		
CBP	Bid Package submitted by Engineer Bid tab, low bid, bid bond, Engineers recommendation for award, Applicants recommendation for award, 1780.61(b)		Contract 1		ENG	RD Approval Resident Inspector Resume State Engineer memo/email 1780.76(c)				
			Contract 2							
			Contract 3							
CBP	Notice of Award to Contractor EJCDC C-510		Contract 1		ENG	Circular 570 on Surety Company 1780.75(c) <a href="http://www.fms.treas.gov/search.html">www.fms.treas.gov/search.html</a>		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CBP	Applicants Attorney Review Construction Documents - RD Exhibit GC 1780.61(b)		Contract 1		CBP	AO Recommendation of Award to SO Update CPAP Construction Module <i>If final contract deobligate excess funds if &gt; 10% contingency</i> SI 1780-2 3 b (4)		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CBP	Pre-Construction Conference (Engineer) – 1780.76(a)		Contract 1		ENG	SO - RD's Concurrence to Award w/ Approved Project Budget Letter 1780.61(b)		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CBP	Notice to Proceed ( Engineer) EJCDC C-550		Contract 1		CBP	SO - RD executes Construction Contract Docs Sign concurrence on RD Supplementary Cond Check Latest <a href="#">RB 1780-26</a> version		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CM	Owner's construction monitoring reports completed monthly during construction				CBP	Notice to Contractors RD 400-3 1780.76(a) provided at Pre-construction meeting by specialist		Contract 1		
								Contract 2		
								Contract 3		
CM	Certificate of Substantial Completion / Punch List (Engineer) EJCDC C-625		Contract 1		CM	DNP checked/filed - Applicant plus "Principals"  <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw if >30 days - if not clear, do not order RD funds, include in Pay Package				
			Contract 2							
			Contract 3							
CM	Notice of Acceptability of Work (Engineer) EJCDC E-500 Exh. E		Contract 1		CM	UEI# Expiration Date		Year 1		
			Contract 2					Year 2		
			Contract 3					Year 3		
CM	Contractors AIS/BABA Certification prior to final payment (Fully Executed)		Contract 1		CM	Monitor Construction - Monthly 1780.76, SI 1780-2 4 (a), 1970.16 ( c ) Use CPAP Construction Module		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CM	Consent of Surety from Bonding Company		Contract 1		CM	AIS Site Inspection (as applicable) completed by State Engineer (if original obligation for project was on or after May 5, 2017 - and not BABA)		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CM	“As-Built” Plans (Engineer) delivered to owner		Contract 1		CM	Pre-Final Inspection 1780.76(f), 1970.16 ( c ) Obtain copy of Consulting Engineers Inspection Report		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
CM	O&M Manual (Engineer) delivered to owner		Contract 1		CM	Final Inspection 1780.76(g) , 1970.16 ( c ) Obtain copy of Consulting Engineers Inspection Report (if final contract, deobligate remaining funds?)		Contract 1		
			Contract 2					Contract 2		
			Contract 3					Contract 3		
Notes:				CM/SR	Warranty Inspection /Mitigation SI 1780-2 4 b. (1), 1970.16 ( c )		Contract 1			
			Contract 2							
			Contract 3							

WEP CPF/CDS Processing Checklist													
										Based on 2024 ICR Guides			
APPLICANT:				AUTHORIZED REPRESENTATIVE:				ENGINEER:					
				Contact:				Contact:					
Telephone:				Telephone:				Telephone:					
Email:				Email:				Email:					
Address:				Address:				Address:					
CASE#:				PROJECT DESCRIPTION:									
UEI#:													
SAM#:													
Expiration	1 <sup>st</sup> Year			ECF Structure Classifications:									
	2 <sup>nd</sup>			P	Processing Folder		CBP	Construction - Bidding - Procurement		S	Servicing Folder		
COUNTY:				PC	Process - Certifications					SR	Servicing - Routine*		
TYPE OF FACILITY				PF	Processing - Financials		CM	Construction Monitoring		SNR	Servicing - Non Routine*		
WATER		SEWER		PRDA	Processing - RD Apply		L	Legal Folder		* - If Regular Borrower			
				PRDR	Process - RD Review		LO	Legal - Organization					
				ENV	Environmental Folder		LPR	Legal - Property Rights		CERT	Centralized Environmental Review Tracker		
				ENG	Engineering Folder		LC	Legal - Closing					
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)				Date		ECF Class	Document/Action & Reference (USDA – RD / OGC)				Date	
PRDA							LO	Articles & Bylaws - SO to approve, consult OGC if necessary (NP only) 1778.6			AO		
											SO		
											OGC		
Complete RD Apply as Necessary - Includes SF 424, Org Docs Audits/Financial Statements							PRDR	Environmental discussion / Initial Site visit (preferred) 1780.3 (e) / SI 1780-2 3 a. 11 (a)					
PRDA													
Notice of Intent to File App & Evidence of Public Info. Meeting. 1780.19(a)(b) (w/in 60 days of App)							Notice						
							affidavit						
PRDA							PRDR	Initial Application Processing Conference			Staff		
RB 1780-2 Preliminary Engineering Report (PER) RD 1780-2, 1780.33(c)(1),(2),(3) uploaded to RD Apply --> CPAP							PRDR	Conformation that Applicant, Project purpose, and CPF/CDS grant amount matches Appropriation					
PRDA							PRDR	DNP checked/filed - Applicant plus "Principals"					
Environmental Documentation RD Instruction 1970-B, Exhibit C,, (uploaded to RD Apply --> CPAP--> Env Power Appl)								<a href="#">DNP at RD – Check latest DNP UL</a>					
							Update DNP in CPAP						
PRDA							PRDR	Complete Application Accept or Return with comments within 15 days. Push to CPAP the same day once accepted. 1780.31(b), 1780.32 (a), 1780.33(a-h)					
Mayor/Chairman/President e-sign required certifications and submit application in RD Apply (AD-1049, 1910-11, 1940-Q Ex A-1. SF-LLL, Prohibited Tying arrangement cert)													
PRDA													
Confirmation that Project Matches Appropriations							Notes:						
Notes:													

WEP CPF/CDS Processing Checklist											
APPLICANT:			AUTHORIZED REPRESENTATIVE:			ENGINEER:					
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)		Date				
L	Professional Service Agreements - Legal & Accounting/Auditor, 1780.39(b)(2) RD Concur	Legal		ENG	Engineer Agreement - RD Review/Concur 1780.39 (b)(1) (No DNP Check)	Review					
		Auditor				Concur					
ENG	Primacy Agency Approval of Facility Plan 1780.55			ENG	PER – RD Review & concurrence 1780.33(c)(2)(3); SI 1780-5 (CPF/CDS) Upload to CPAP within 45 days of complete appl	AO submits					
PRDR	Applicants Insurance Coverage SI 1778-1, ACCORD Form					SE Comment					
	PRDR	Letter of Intent to Meet Conditions RD 1942-46, 1780.41(a)(6) (Must be signed prior to obligation)		ENV / CERT	SEC Determination letter - Input in CERT Acceptance or Comments on Environmental docs RD Instruction 1970-B Exh.B (CatEx w Report) or 1970-C Exh.C (EA), (NA for CatEx only)	SE approval					
Notes:				ENV / CERT	Environmental Decision & Notices (if necessary) Cat-Ex Form or FONSI Input in CERT RD Instruction 1970-B, Form 1970-1, FONSI memo, etc.	AO					
						SEC					
						PD					
				PRDR	AO Memo for S/O or Loan Committee CPAP must be completed following the CPAP Underwriting Guide - adjusted for ECWAG						
				PRDR	Entity or Scope outside 1780? - Add comments to CPAP to confirm Applicant, Project Purpose, and CPF/CDS grant amount matches Appropriation						
				PRDR	Loan Committee / S/O – Approval To extent possible, approve or disapprove within 90 days of complete application						
				PRDR	Project Summary Information from CPAP 1780.41(a)(1) Narrative completed with date and initial					AO	
										SE	
										SO	
				PRDR	Submit Request to NO for Funding CPAP request (Note N/O must complete extra step & request \$\$ from Budget)					SO	
										NO	
				PRDR	Issue Letter of Conditions/Amend(s) NO Template- 1780.41(a)(5) <a href="#">WEP Home - Letter of Conditions - Docu</a>					LOC	
										Amend 1	
										Amend 2	
				PRDR	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a>						
										Update DNP in CPAP (< 5 days prior to obligation)	
				PRDR	Obligation of Funds RD1940-1/ CPAP/ NITC screens 1780.41(a)(7)					approved	
										obligated	

WEP CPF/CDS Processing Checklist											
APPLICANT:				AUTHORIZED REPRESENTATIVE:			ENGINEER:				
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)			Date		
LPR	Preliminary Title Opinion (NP) /Lot Book Report (PB) 1780.44(g)(2)(i)				PRDR	SO - Go into CAMS and verify OEA announcement infromation is correct					
LPR	Right-of-way Certificate w/ Map RD 442-21, 1780.44(g)(1)				PRDR	SO - Evidence Applicant Notified of Approval Letter 1780.41(b) (at least 6 business days after obligation)					
LPR	Opinion of Counsel-Rights-of Way RD 442-22, 1780.44(g)(1)(i)				LC	AO Request Grant Closing Instructions from SO					
L	Water Rights 1780.44(g)(3) Letter/Docs				SR	Initial Compliance Review 400-8 Power App, 1901.204(e)(2), 1780.44(c), 1901-E					
L	Lease Agrmnts/Permits (land use/discharge)1780.44(g)(4)					Version 1 or 2	<a href="#">400-8 Power App</a>				
LC	Commitment of other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.)				LC	Setup EFT NITC/ EFT screen					
LC	Electronic Funds Transfer (EFT) Letter or SF 3881 signed by bank if possible Pledge of collatarel (non-profits - if applicable)				ENG	RD Approval of Plans & Specs State Engineer, 1780.57 Mitigation Measures in Contract Documents and/or adopted (if necessary)  Check Latest <a href="#">RB 1780-26</a> version		contract 1			
								contract 2			
ENG	Approval of Plans & Specs by Regulatory Agency 1780.57		contract 1		ENG	Consulting Engineers AIS / BABA Certification with plans & specifications (Fully Executed) if original obligation was after May 5, 2017 / May 14, 2022)		contract 3			
			contract 2					contract 1			
			contract 3					contract 2			
LC	WEP Grant Agreement, RB 1780-12, 1780.45(c) (Execute after construction contract signed)		APP		ENG	Approval to Advertise for Bids AO Specialist Letter/Email		contract 3			
			AO					contract 1			
Notes:					ENG			contract 2			
								contract 3			
					LC	Pre-Closing Review			AO		
									SO		
					LC	CPS initial/date items on LOC & Closing Instructions to verify completion					
					LC	DNP checked/filed - Applicant plus "Principals"  <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw, - if not clear do not order RD funds, include in Pay Package					
LC	Final Closing - AO Request, SO Memo to file										
LC	Grant Closing in CPAP? (Loan Grant Obligation tab)										

WEP CPF/CDS Construction Checklist										
BORROWER:			ENGINEER:			ECF Structure Classifications (Portion):				
						P - Processing Folder				
			Contact:			PC - Processing - Certifications				
Telephone:			Telephone:			PRDR - Processing RD Review				
Email:			Email:			ENV - Environmental Folder				
Address:			Address:			ENG - Engineering Folder				
CASE#:			PROJECT DESCRIPTION:			CBP - Construction - Bidding - Procurement				
Name of Contractor(s)						CM - Construction Monitoring				
#1						L - Legal				
#2						LO - Legal - Organization				
#3						LPR - Legal Property Rights				
TYPE OF FACILITY						LC - Legal - Closing				
WATER		SEWER					SR - Servicing - Routine (If Regular Borrower)			
						SNR - Servicing - Non-Routine (If Regular Borrower)				
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)			Date	ECF Class	Document/Action & Reference (USDA – RD)			Date	
CPB	Bid Package submitted by Engineer Bidtab, lowbid, bid bond, Engineers recommendation for award, Applicants recommendation for award, 1780.61(b)		Contract 1		ENG	RD Approval Resident Inspector Resume State Engineer memo/email 1780.76(c)				
			Contract 2							
			Contract 3							
CPB	Notice of Award to Contractor EJCDC C-510		Contract 1							
			Contract 2							
			Contract 3							
CPB	Applicants Attorney Review Construction Documents - RD Exhibit GC 1780.61(b)		Contract 1		CBP	Circular 570 on Surety Company 1780.75(c) <a href="http://www.fms.treas.gov/search.html">www.fms.treas.gov/search.html</a>			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CPB	Pre-Construction Conference (Engineer) – 1780.76(a)		Contract 1		ENG	AO Recommendation of Award to SO Update CPAP Construction Module			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CPB	Notice to Proceed ( Engineer) EJCDC C-550		Contract 1		ENG	SO - RD's Concurrence to Award w/ Approved Project Budget Letter 1780.61(b)			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CM	Owner's construction monitoring reports completed monthly during construction				CBP	SO - RD executes Construction Contract Docs Sign concurrence on RD Supplementary Cond Check Latest <a href="#">RB 1780-26</a> version			Contract 1	
									Contract 2	
CM	Certificate of Substantial Completion / Punch List (Engineer) EJCDC C-625		Contract 1		CBP	Notice to Contractors RD 400-3 1780.76(a) provided at Pre-construction meeting by specialist			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CM	Notice of Acceptability of Work (Engineer) EJCDC E-500 Exh. E		Contract 1		CM	DNP checked/filed - Applicant plus "Principals"  <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw if >30 days - if not clear, do not order RD funds, include in Pay Package				
			Contract 2							
			Contract 3							
CM	Contractors BABA Certification prior to final payment (Fully Executed) - if needed		Contract 1		CM	Monitor Construction - Monthly 1780.76, SI 1780-2 4 (a), 1970.16 ( c ) Use CPAP Construction Module			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CM	Consent of Surety from Bonding Company		Contract 1		CM	AIS Site Inspection (as applicable) completed by State Engineer (If original obligation for project was on or after May 5, 2017 -not BABA)			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CM	“As-Built” Plans (Engineer) delivered to owner		Contract 1		CM	Pre-Final Inspection 1780.76(f), 1794.17(b)(3) Obtain copy of Consulting Engineers Inspection Report			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
CM	O&M Manual (Engineer) delivered to owner		Contract 1		CM	Final Inspection 1780.76(g) , 1970.16 ( c ) Obtain copy of Consulting Engineers Inspection Report (if final contract, deobligate remaining funds?)			Contract 1	
			Contract 2						Contract 2	
			Contract 3						Contract 3	
Notes:				CM/SR	Warranty Inspection /Mitigation SI 1780-2(3.2)(a)(i)(A), 1794.17(b)(3)			Contract 1		
								Contract 2		
								Contract 3		

Disaster and Emergency Water and Waste (DEWW) Grant Only Processing Checklist													
											Based on 2024 ICR Guides		
APPLICANT:				AUTHORIZED REPRESENTATIVE:				ENGINEER:					
				Contact:				Contact:					
Telephone:				Telephone:				Telephone:					
Email:				Email:				Email:					
Address:				Address:				Address:					
CASE#:					PROJECT DESCRIPTION:								
UEI#:													
SAM/CAGE#:													
Expiration	1 <sup>st</sup> Year				ECF Structure Classifications:								
	2 <sup>nd</sup>				P	Processing Folder		CBP	Construction - Bidding - Procurement		S	Servicing Folder	
COUNTY:				PC	Process - Certifications		SR				Servicing - Routine*		
TYPE OF FACILITY				PF	Processing - Financials		CM	Construction Monitoring		SNR	Servicing - Non Routine*		
WATER		SEWER		PRDA	Processing - RD Apply		L	Legal Folder		* - If Regular Borrower			
				PRDR	Process - RD Review		LO	Legal - Organization					
				ENV	Environmental Folder		LPR	Legal - Property Rights		CERT	Centralized Environmental Review Tracker		
				ENG	Engineering Folder		LC	Legal - Closing					
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)				Date		ECF Class	Document/Action & Reference (USDA – RD / OGC)				Date	
							LO	Articles & Bylaws - SO to approve, consult OGC if necessary (NP only) 1778.6			AO		
											SO		
PRDA	Complete RD Apply as Necessary - Includes SF 424, Org Docs Audits/Financial Statements						PRDR	Environmental discussion / Initial Site visit (preferred) 1780.3 (e) / SI 1780-2 3 a. 11 (a)			OGC		
PRDA	Simplified Engineering Report if repair-in-kind or must follow RUS Bulletin 1780-2 PER uploaded to RD Apply ----> CPAP						PRDR	Initial Application Processing Conference Staff Instruction (SI) 1780-2 3 a 11 ( a)					
PRDA	Environmental Report RD Instruction I970-B, Exhibit C or 1970-C, Exhibit B 1780.33(f), (uploaded to RD Apply --> CPAP)						PRDR	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a>			Update DNP in CPAP		
PRDA	Mayor/Chairman/President e-sign required certifications and submit application in RD Apply (AD-1049, 1910-11, 1940-Q Ex A-1. SF-LLL, Prohibited Tying arrangement cert)						PRDR	Complete Application Accept or Return with comments within 15 days. Push to CPAP the same day once accepted. 1780.31(b), 1780.32 (a), 1780.33(a-h)					
							PRDR	Notice of Eligibility and Funding Availability					
PRDA	Confirmation facility is located in an area affected by a disaster declared by the President of the United States, Secretary of Agriculture, or the Governor of a U.S. State of Territory.						Notes:						
Notes:													

Disaster and Emergency Water and Waste (DEWW) Grant Only Processing Checklist							
APPLICANT:			AUTHORIZED REPRESENTATIVE:			ENGINEER:	
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)		Date
L	Professional Service Agreements - Legal & Accounting/Auditor, 1780.39(b)(2) RD Concur	Legal		ENG	Engineer Agreement - RD Review/Concur 1780.39 (b)(1) (No DNP Check)	Review	
		Auditor				Concur	
ENG	Primacy Agency Approval of Facility Plan 1780.55			ENG	PER – RD Review & concurrence 1780.33(c)(2)(3) Upload to CPAP within 45 days of complete appl	AO submits	
						SE Comment	
						SE approval	
PRDR	Applicants Insurance Coverage SI 1778-1, ACCORD Form			ENV / CERT	SEC Determination letter Input to CERT Acceptance or Comments on Environmental docs RD Instruction 1970-B Exh.B (CatEx w Report) or 1970-C Exh.C (EA), (NA for CatEx only)		
	Applicant's Certification of non-coverage, Letter/email						
PRDR	Letter of Intent to Meet Conditions RD 1942-46, 1780.41(a)(6) (must be signed prior to obligation)			ENV / CERT	Environmental Decision & Notices (if necessary) Cat-Ex Form or FONSI Input to CERT RD Instruction 1970-B, Form 1970-1, FONSI memo, etc.	AO	
						SEC	
						PD	
Notes:							
				PRDR	AO Memo for S/O or Loan Committee CPAP must be completed following CY 22 processing guidance		
				PRDR	Loan Committee / S/O – Approval The request must meet the requirements in the CY 22 guidance		
				PRDR	Project Summary Information from CPAP 1780.41(a)(1) Narrative completed with date and initial	AO	
						SE	
						SO	
				PRDR	Submit Request to NO for Funding CPAP request	SO	
						NO	
				PRDR	Issue Letter of Conditions/Amend(s) NO Template- 1780.41(a)(5) <a href="#">WEP Home - Letter of Conditions - Docu</a>	LOC	
						Amend 1	
						Amend 2	
				PRDR	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a> Update DNP in CPAP (<5 days prior to obligation)		
PRDR	Obligation of Funds RD1940-1/ CPAP/ NITC screens 1780.41(a)(7)	approved					
		obligated					

Disaster and Emergency Water and Waste (DEWW) Grant Only Processing Checklist									
APPLICANT:			AUTHORIZED REPRESENTATIVE:			ENGINEER:			
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)		Date	ECF Class	Document/Action & Reference (USDA – RD / OGC)			Date	
LPR	Preliminary Title Opinion (NP) /Lot Book Report (PB) 1780.44(g)(2)(i)			PRDR	SO - Go into CAMS and verify OEA announcement infromation is correct				
LPR	Right-of-way Certificate w/ Map RD 442-21, 1780.44(g)(1)			PRDR	SO - Evidence Applicant Notified of Approval Letter 1780.41(b) (at least 6 business days after obligation)				
LPR	Opinion of Counsel-Rights-of Way RD 442-22, 1780.44(g)(1)(i)			LC	AO Request Grant Closing Instructions from SO				
L	Water Rights 1780.44(g)(3) Letter/Docs			SR	Initial Compliance Review 400-8 Power App, 1901.204(e)(2), 1780.44(c), 1901-E				
L	Lease Agrmnts/Permits (land use/discharge)1780.44(g)(4)				Version 1	<a href="#">400-8 Power App</a>			
LC	Commitment of other project funds Letter, Email, loan and/or grant agreement 1780.44(d)(f) (Applicant, SRF, CDBG, Etc.)			LC	Setup EFT NITC/ EFT screen				
LC	Electronic Funds Transfer (EFT) Letter or SF 3881 signed by bank if possible Pledge of collatarel (non-profits - if applicable)			ENG	RD Approval of Plans & Specs State Engineer, 1780.57 Mitigation Measures in Contract Documents and/or adopted (if necessary) Check Latest <a href="#">RB 1780-26</a> version		contract 1		
							contract 2		
							contract 3		
ENG	Approval of Plans & Specs by Regulatory Agency 1780.57		contract 1		ENG	Consulting Engineers BABA Certification with plans & specifications (Fully Executed) as applicable)		contract 1	
								contract 2	
								contract 3	
LC	WEP Grant Agreement, RB 1780-12, 1780.45(c) (Execute after construction contract is signed)		APP		ENG	Approval to Advertise for Bids AO Specialist Letter/Email		contract 1	
			AO					contract 2	
Notes:							contract 3		
				LC	Pre-Closing Review			AO	
								SO	
				LC	CPS initial/date items on LOC & Closing Instructions to verify completion				
				LC	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a> * Must pull prior to each draw, - if not clear do not order RD funds, include in Pay Package				
				LC	Final Closing - AO Request, SO Memo to file				
LC	Grant Closing in CPAP? (Loan Grant Obligation tab)								

Disaster and Emergency Water and Waste (DEWW) Grant Only Construction Checklist											
BORROWER:					ENGINEER:			ECF Structure Classifications (Portion):			
								P - Processing Folder			
					Contact:				PC - Processing - Certifications		
Telephone:					Telephone:				PRDR - Processing RD Review		
Email:					Email:				ENV - Environmental Folder		
Address:					Address:				ENG - Engineering Folder		
CASE#:					PROJECT DESCRIPTION:			CBP - Construction - Bidding - Procurement			
Name of Contractor(s)								CM - Construction Monitoring			
#1								L - Legal			
#2								LO - Legal - Organization			
#3								LPR - Legal Property Rights			
TYPE OF FACILITY								LC - Legal - Closing			
WATER			SEWER				SR - Servicing - Routine (If Regular Borrower)				
							SNR - Servicing - Non-Routine (If Regular Borrower)				
ECF Class	Document/Action & Reference (APPLICANT / CONSULTANTS)				Date		ECF Class	Document/Action & Reference (USDA – RD)		Date	
CBP	Bid Package submitted by Engineer Bidtab, lowbid, bid bond, Engineers recommendation for award, Applicants recommendation for award, 1780.61(b)				Contract 1		ENG	RD Approval Resident Inspector Resume State Engineer memo/email 1780.76(c)			
					Contract 2						
					Contract 3						
CBP	Notice of Award to Contractor EJCDC C-510				Contract 1						
					Contract 2						
					Contract 3						
CBP	Applicants Attorney Review Construction Documents - RD Exhibit GC 1780.61(b)				Contract 1		CBP	Circular 570 on Surety Company 1780.75(c) <a href="http://www.fms.treas.gov/search.html">www.fms.treas.gov/search.html</a>		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CBP	Pre-Construction Conference (Engineer) – 1780.76(a)				Contract 1		ENG	AO Recommendation of Award to SO Update CPAP Construction Module (If final contract - de-obligate excess funds if > 10% contingency?)		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CBP	Notice to Proceed ( Engineer) EJCDC C-550				Contract 1		ENG	SO - RD’s Concurrence to Award w/ Approved Project Budget Letter 1780.61(b)		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CM	Owner's construction monitoring reports completed						CBP	SO - RD executes Construction Contract Docs Sign concurrence on RD Supplementary Cond  Check Latest <a href="#">RB 1780-26</a> version		Contract 1	
										Contract 2	
CM	Certificate of Substantial Completion / Punch List (Engineer) EJCDC C-625				Contract 1		CBP	Notice to Contractors RD 400-3 1780.76(a) provided at Pre-construction meeting by specialist		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CM	Notice of Acceptability of Work (Engineer) EJCDC E-500 Exh. E				Contract 1		CM	DNP checked/filed - Applicant plus "Principals" <a href="#">DNP at RD – Check latest DNP UL</a>  * Must pull prior to each draw if >30 days - if not clear, do not order RD funds, include in Pay Package			
					Contract 2						
					Contract 3						
CM	Contractors AIS/BABA Certification prior to final payment (Fully Executed)				Contract 1		CM	Monitor Construction - Monthly 1780.76, SI 1780-2 4 (a), 1970.16 ( c) Use CPAP Construction Module		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CM	Consent of Surety from Bonding Company				Contract 1		CM	AIS Site Inspection (as applicable) completed by State Engineer (If original obligation for project was on or after May 5, 2017 -not BABA)		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CM	“As-Built” Plans (Engineer) delivered to owner				Contract 1		CM	Pre-Final Inspection 1780.76(f), 1794.17(b)(3) Obtain copy of Consulting Engineers Inspection Report		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
CM	O&M Manual (Engineer) delivered to owner				Contract 1		CM	Final Inspection 1780.76(g) , 1970.16 ( c) Obtain copy of Consulting Engineers Inspection Report (if final contract, deobligate remaining funds?)		Contract 1	
					Contract 2					Contract 2	
					Contract 3					Contract 3	
Notes:							CM/SR	Warranty Inspection /Mitigation SI 1780-2(3.2)(a)(i)(A), 1794.17(b)(3)		Contract 1	
										Contract 2	
										Contract 3	