COMMUNITY FACILITIES PROCESSING CHECKLIST

Direct Loan and Grant Programs

** Note all forms signed by the applicant must be signed by an Authorized Representative of the applicant.

COUNTY _____ RD A/O _____ RD GLS ID# _____

IRS # _____ DUNS# _____CCR/SAM#_____

Population: Community _____ Service Area _____ MHI _____

CONTACT _____ PHONE_____

ADDRESS _____ FAX_____

E-MAIL _____CELL_____

CONTACT _____ PHONE_____

ADDRESS _____ FAX_____

E-MAIL _____ CELL_____

ARCHITECT _____ PHONE_____

ADDRESS _____ FAX_____

E-MAIL _____ CELL_____

ATTORNEY _____ PHONE_____

ADDRESS _____ FAX_____

E-MAIL _____ CELL_____

BOND COUNSEL_____ PHONE_____

ADDRESS _____ FAX_____

E-MAIL _____ CELL_____

FINANCIAL ADVISOR_____ PHONE_____

ADDRESS _____ FAX_____

E-MAIL _____ CELL_____

Pre-Application Stage I

COMMUNITY FACILITIES PROCESSING CHECKLIST

Direct Loan and Grant Programs

ITEM	ACTION	FORM	BY	DATE	POS.
1	Pre-Application Conference/ Const. Method Discussion	MN 1942-A Guide 2 (opt) MN 1942-A Guide 5	APP & A/O		3
2	Pre-application for Federal Assistance	SF-424,A&B (non-const) SF-424,C&D (const)	APP		3
3	DUNS# http://www.dnb.com/get-a-duns-number.html	(866) 705-5711	APP		3
4	SAM Registration	https://www.sam.gov	APP		3
5	Service Area	Population and MHI documentation	APP		3
NP 6	Articles of Incorp., Bylaws, & Amendments Board Member list, Evidence of local control		APP/ATTR		5
NP 7	Certificate of Good Standing http://da.sos.state.mn.us/minnesota/home/dahome.asp				5
NP 8	OGC Approval of Articles & Bylaws	memo	OGC		5
NP 9	Survey on Ensuring Equal Opportunity	Faith Based OMB No. 1890-0014	APP		3
10	Intergovernmental Review (E.O. 12372)	letter	RDC		3
11	Conflict of Interest	RD MN 1900-D, Guide 1	APP		3
12	Certification on Collection Policies	RD 1910-11	APP		3
13	Debarment/Suspension Certification	AD-1047	APP		3
14	Debarment/Suspension Check	http://www.sam.gov computer printout	A/O		3
# 15	Income Statement & Balance Sheet or Audit	Last 5 Years Audits or Financial Statements	APP		3
# 16	Other Credit Information	MN 1942-A Guide 3	APP		3
# 17	Credit Analysis Supporting Documentation	National Office Spreadsheet or Other	A/O		3
18	CAIVRS Report	computer printout	A/O		3
19	Elig. Determination and Recommendation	MN 1942-A Guide 6	A/O		3
	Incomplete App - 15 working days - letter		A/O		
	Complete App - Elgibility w/in 45 calander days		A/O		
20	Project Selection Criteria Direct Loans	RD Instruction 1942-A Guide 26	S/O		3
	Grants	RD 3570-1			
21	Notice of Pre-app. Review Action	MN 1942-A Guide 7 Letter / AD-622	A/O		3
22	CPAP update		A/O		2
22.5	Application Conference	MN 1942-A Guide 5	APP & A/O		3

APP = Applicant **F/O** = Finance Office, RD **OGC** = Office of General Counsel
ATTR = Attorney **A/O** = RD Area Office **ARCH** = Project Architect **S/O** = State Office, RD
BC = Bond Counsel **NP** = Items needed for Non-profit organizations only

 # Upload in CPAP, in whole or in part, each docket will be different based on the proposal
***** Indicates item must be reviewed by OGC for Closing or Final Opinion
! Copy to State Civil Rights Manager (or report on quarterly CR Report)

COMMUNITY FACILITIES PROCESSING CHECKLIST
Direct Loan and Grant Programs

ITEM	ACTION	FORM	BY	DATE	POS.
#	Categorical Exclusion	1940-22	A/O		
	SHPO Notification	MN 1940-1	APP & A/O		
	Tribal - Section 106C	Letters	A/O		
	Standard Flood Hazard Determination	FEMA Form 81-93	A/O		
23	Request for Env. Info. Class I Assessment	1940-20 1940-21	APP A/O		
	Request for Env. Info. Class II Assessment	1940-20 1940-G Ex H	APP A/O		7
	Farmland impact	prelim notice	APP & A/O		
	Wetland/Floodplain/Historic Impact	prelim/final notices	APP & A/O		
	Floodplain-Notify Applicant	letter	A/O		
	FONSI	publication	APP & A/O		
24	Hazardous Waste Due Diligence	Phase I ESA or TSQ - RE Security	APP A/O		7
	Public Hearing-1942.17(j(9)	MN 1942 Guide 15, Grant			
	(10 day notice required)	Aff. of Pub/Min) & Loan			
25	Referendum	GO Bonds	APP		5
NP 26	Resolution of Members	RD 1942-8	APP		5
*	Proposed Method	Mortgage/Financing St. (MN 1942-A Guide 14)	ATTR		
27	of Finance Letter(loans only)	GO Bonds	BC		5
*	Legal Services Agreement (3)	RD Inst.1942-A,Guide 14	APP, ATTR;		
	Debarment Certification	AD-1048	ATTR		
28	Debarment Check	computer printout	A/O		5
	Alternative Const. Method	S/O & N/O Concurrence			
*	Agreement for (3 Copies) Architectural Services	AIA B101-2007 & MN 1942 A, Guide 27 & Attachment 1	APP, ARCH; ARCH		6
	Debarment Certification	AD-1048	ARCH		
29	Debarment Check	computer printout	RD ARCH		
#	Preliminary (2 Copies) Architectural Report	MN 1942-A, Guide 27 RD Instr.1942-A, Guide6	ARCH		6
#30	S/O Arch. Review	Memo	R/D ARCH		
31	Equipment Specs & Estimates	Specs & Estimates	APP		6
		RD 1942-54 or	APP		
32	Feasibility Report	RD Instr.1942-A, Guide5	Accountant		6
33	Option Agreement	RD 440-34	APP, ATTR		5
34	Appraisal Report	Independent Appraisal/ Form RD 442-10	Appraiser/ A/O		8
35	Documentation of Health & Sanitary Hazard	Regulatory Agency Letter			3
36	Evidence of Significant Community Support	MN 1942-A, Guide 8 Letter	APP		3
37	Worksheet for Grant Determination	RD 3570-2 with Supporting Doc./Nar.	A/O		2
	Operating Budget	RD 442-7	APP		
# 38	Credit Analysis	National Office Spreadsheet	A/O		3
39	Affirmative Fair Housing Marketing Plan(= or >5 Units)	Form HUD 935.2A	APP, A/O		3
	Accounting System Approval	MN 1942-A, Guide 4	APP & Auditor		
40	Debarment Check	computer printout	A/O		3
41	Certification for Grants and Loans	RD 1940-Q, Exhibit A-1	APP		3
* 42	Equal Opportunity Agreement	RD 400-1	APP		2
* 43	Assurance Agreement	RD 400-4	APP		3
44	Drug-Free Workplace Certification	AD-1049	APP		3
45	Application for Federal Assistance	SF-424,A&B (non-const) SF-424,C&D (const)	APP		3

COMMUNITY FACILITIES PROCESSING CHECKLIST

Direct Loan and Grant Programs

ITEM	ACTION	FORM	BY	DATE	POS.
* 46	Community Facilities Project Summary	CPAP Printout	A/O		1
47	N/O Credit Analysis	Detailed Credit Analys.	A/O		3
# 48	Proposed Letter of Cond.	MN 1942-A, Guide 9 Letter	A/O		3
48.5	Area Spec. Certification	MN 1942-A Guide 28	A/O		3
49	State Office Application Review	memo	S/O		3
!# 50	Civil Rights Certification	RD 2006-38	A/O		3
! 51	Pre-Award Compliance Review	RD 400-8	A/O		5
* 52	Letter of Conditions	letter	A/O		3
* 53	Letter of Intent	RD 1942-46	APP		3
	CAIVRS Report	< 6 mths of Oblig.	A/O		
	Pre-obligation S/O Review & debarment check		S/O		3
54	Request for Obligation of Funds (2 copies)	RD 1940-1 w/ Attachment 1 (Grant)	APP, A/O		2
55	CPAP update		A/O		2
* 56	Loan Resolution	RD 1942-47 (BONDS) or RD 1942-9 - RE or S/A	APP, ATTR		5
* 57	Preliminary Title Opinion or Title Ins.	RD MN 1927, Guide 9 or Lend. Binder/Commitment	ATTR		5
58	Loan Closing Instructions	memo	OGC		5
59	Final Plans and Specifications	MN 1942-A, Guide 27 P&S documents	ARCH		file
60	Final Plan Review	Memo	S/O Arch		6
* 61	Regulatory Agency Approval Permit	letter	Health, Other		6
62	CPAP Update		A/O		2
63	Other Fund Evidence (Leveraged)	Documentation	APP		2

COMMUNITY FACILITIES PROCESSING CHECKLIST
Direct Loan and Grant Programs

ITEM	ACTION	FORM	BY	DATE	POS.
64	Bid Authorization Letter	MN 1942-A, Guide 27 MN 1942-A, Guide 10	S/O A/O		6
65	Bid Proposal Bid Bond Bid Tabulation Compliance Statement Arch Recommend.	\ documents / RD 400-6 letter	ARCH		6
66	Contractor debarment suspension check	computer printout	RD ARCH/ A/O		6
67	Evidence of Exemptions Cleared on Title	Documentation	APP/ATTR		5
68	Construction Contracts Authorization	MN 1942-A Guide 11 letter	A/O		6
69	DOL Notification >$10,000	MN 1780, Guide 14	A/O		6
70	Affirmative Steps on Minority Procurement	MN 1780 Guide 5	APP		3
71	Insurance Property Insurance	Documentation	APP	Date Recd -	8
	Liability & Property Damage Malpractice Insurance	Documentation Documentation	APP	Date Recd - Date Recd -	8
	Workman's Compensation Flood Insurance (if required)	Documentation Documentation	APP	Date Recd - Date Recd -	8
* 72	Fidelity Bond	RD 440-24/ Documentation	APP	Date Recd -	8
73	Interim Financing Authorization	RUS Bulletin 1780-10	A/O		5
74	Construction Contracts Completed	MN 1942-A, Guide 27 1942-A Guide 27,Att 2-5	ARCH, ATTR		file
75	Pre-construction Conference	MN 1942-A, Guide 27 MN 1942-A, Guide 13	A/O		6
76	Notice to Contractors & Applicants w/ poster	RD 400-3	A/O		6
77	CPAP Update		A/O		2
78	ACH - Electronic Funds Transfers	SF-3881	APP & A/O	loan(s) - grants(s) -	2
79	Inspection Reports completed for each inspection	1924-12	A/O		6
80	Statement Deposits and Withdrawals	Spreadsheet or RD 402-2	A/O		2
81	Graduation Certification	MN 1780 Guide 23	APP		3
! 82	Update Compliance Review (if needed)	RD 400-8	A/O		5
83	Consent to Surety for Final Payment	AIA 707 or similar Document	APP/ARCH Contractor		6,8
* 84	Borrower Debarment Check	Computer Printout	A/O		3
	Grant and/or Loan Closing	per OGC Closing Instructions	APP, A/O, ATTR		5
	PAD Agreement	RD 3550-28	APP & A/O		
	PAD Confirmation	F/O Letter	F/O		2
* 85	Grant Agreement	RD 3570-3	A/O		2
* 86	Final Title Opinion or Title Insurance	RD 1927-10 Ins. Transcript	ATTR		5
87	CPAP Update (closing and servicing dates initiated)		A/O		2
* 88	Note/Mortgage or Bond Transcript	bound document	B.C.		file
89	Final Opinion on Loan Closing	memo	OGC		5
90	Prefinal & Final Inspection	RD 1924-12, punch list	S/O, A/O		6
91	Project Arch Cert. of Approval	AIA Document G704-2000, Sub. Compl.	APP, ARCH		6
92	District Director's Report (9-11 months)	RD 442-4	A/O		1
93	Due: _____ Warranty Inspection (9-11 mo)	RD 1924-12	S/O, A/O		6

COMMUNITY FACILITIES PROCESSING CHECKLIST
Direct Loan and Grant Programs

ACTION	FORM	DATE DUE	ENTERED IN GLS	POS.
Quarterly Management Reports - Required for 3 yrs,	RD 442-2 & RD 442-3 or similar			8
Waiver allowed for G.O. Bonds	Waiver Letter from A/O			
Warranty Inspection Due 9-11 month	RD 1924-12			6
District Directors Report - Due 9-11 month	RD 442-4			3
Operational Review (9-11 months)	Oper. Review Checklist			
Audit or	If Expended > $500,000 Then A-133 Audit due 9 months from year-end.			8
Annual Financial Statements, including Balance sheet & Income/ Expense statement (4 quarter Mgmt. Report can substitute for annual Financial Statement requirement - when Mgmt Reports completed)	If Expended < $500,000 and there is a Loan Balance, Due 60 days from year end			
Annual Financial Review	Documentation			8
Includes: Rate Schedule				3
Board Membership				5
Insurance & Fidelity				7
Reserve Requirements				1
Security Inspections Due Every 3 years	1924-12			6
Compliance Review Due every 3 years	RD 400-8 Instruction 1901-E			5
Graduation Reviews Due 6th year after loan closing, Thereafter, every other year -- Loans closed in even ending years will be reviewed in even ending years and loans closed in odd ending years will be reviewed in odd ending years.	Documentation MN Guide 1951 Attachment 2 or 3			3
Financing Statements - Continuation every 5 years from original filing date				1
Affirmative Fair Housing Marketing Plan- (= or > 5 Units)	Every three years. HUD 935.2A			6

ENTER ALL SERVICING ACTIONS INTO CPAP TRACKING SYSTEM