

TEXAS COMMUNITY FACILITIES FIRE AND RESCUE (<\$250,000)
DIRECT LOAN & GRANT PROCESSING CHECKLIST - RD INSTRUCTION 1942-C / 3570-B

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/Lender	3		
4. Last 5 years Audit/Management Reports	Applicant	1		
5. Organizational Documents	Applicant	5 *		
6. Map of Service Area	Applicant	1		
7. AD-1 047	Applicant	3		
8. 1942-A, Guide 26	RD Local Office	3 **		
9. Check Debarment List	RD Local Office	3		
Optional - File to State Office	RD Local Office	4		
Optional - AD 622 (to local office)	RD State Office	3		
Optional - Meet with Applicant to deliver AD 622 invitin application and provide all forms, guides and information required for a complete application. Document in Running Case Record.	RD Local Office			
10. 1942-54 Feasibility Study	Applicant	3		
11. Public Information Meeting	Applicant	3		
_____	_____	***		
_____	_____	***		
_____	_____	***		
12. Letters of Commitment from other funding sources for completion of the project!	Applicant	3		
13. Environmental Assessment	Appl/RDLO	Separate File *		
14. Architectural Report/Plans/Specifications with detailed cost estimate (Guide 6 or minimum requirements per State Architect	Lender/Applicant	3		
15. Memo of Approval for Preliminary design with instruction for final submittal and contract documents!	RD State Architect	6		
16. 1942-52 or 442-7 Proposed Budget	Applicant/RDLO	3		
17. 1942-43 Project Summary	RD Local Office	3		
18. 1942-14 Fund Analysis	RD Local Office	3 **		

FILE TO STATE OFFICE

19. Letter of Conditions	RD State Office	3		
20. 3570-1 Project Selection Priority	RD State Office	3 (GRANT)		
21. 3570-2 Grant Worksheet	RD State Office	3 (GRANT)		
22. Meet with Applicant to deliver Letter of Conditions and <u>provide all of the following forms for signature:</u>	RDLO/App.			
22a. CAVIRS	RDLO	3 **		
23. 1942-46 Letter Of Intent to Meet Conditions	RDLO/App.	2		
24. 1940-1 Obligation (Send to S/O for approval immediately!)	RDLO/App.	2 **		
25. 1910-11 Applicant Certification	RDLO/App.	3		
26. SF LLL/1040-Q	RDLO/App.	3		
27. AD-1 049 Drug-Free Workplace Certification	RDLO/App.	3		
28. 400-1 Equal Opportunity Agreement	RDLO/App.	6		
29. 400-4 Assurance Agreement	RDLO/App.	3		

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			Received/	Approved
<u>IF CONSTRUCTION</u>				
30. Final Plans & Specifications	Architect/RD	6 ****		
31. Contract Documents	Architect/RD	6 ****		
<u>IF EQUIPMENT</u>				
32. Equipment Specifications	Applicant	6		
<u>INFO FOR CLOSING INSTRUCTIONS</u>				
33. Lien Search from Secretary of State	Applicant	1		
34. 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		
35. 1942-9 Loan Resolution	RDLO/App.	5		
36. Grant Resolution	RDLO/App.	5 (GRANT)		
<u>FILE TO STATE OFFICE REQUESTING CLOSING INSTRUCTIONS</u>				
37. Closing Instructions Issued	S/O to L/O	5		
38. EFT/ADPS information input	App./RDLO	2		
39. Executed Contract Documents to S/O	S/O RDLO	6 ***		
40. Concurrence in Contract Award	State Office	6 ***		
41. 400-8 Pre-Loan Closing Compliance Review	RDLO/App.	3		
<u>LOAN CLOSING</u>				
42. Close loan in accordance with Closing Instructions	RDLO/App.	5		
43. Final Opinion	RDLO/SO	5 **		

- * Applicable Guide attached!
- ** Update RDAPTS
- *** Additional Information if requested on AD 622.
- **** State Architect to determine information and contract document requirements per review of preliminary design.

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 11 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-Profit 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 (1 7).
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.