

## COMMUNITY FACILITIES CONSTRUCTION SUBMITTAL LIST

DOCUMENTS TO BE PROVIDED TO PSS ARCHITECT FOR REVIEW & RECOMMENDATION  
DESIGN/BID/BUILD PROJECTS>\$250,000

Project Name & Location:

Applicant Name & Contact Information:

|                     | Document  | Form/Comment   | Rec'd | Accept |
|---------------------|---|--|-------|--------|
| <b>Application</b>  |   |  |       |        |
| 1.                  | Preliminary Architectural Feasibility Report (PAR/PAFR)   | <b>RD Guide 6</b>  |       |        |
| 2.                  | AIA Agreement between Owner and Architect<br><i>With AIA Additions/Deletions Report</i>   | <b>AIA B101</b> or approved alternate agreement; Note 1<br>Not to exceed (NTE) fee for reimbursable expenses included in the agreement or as an attachment. I.e., printing, travel, etc. |       |        |
| 3.                  | RD Attachment to B101   | <b>RD Guide 27 Attachment 1</b> Attached to AIA Document and referenced in the AIA Agreement<br>or RD attachment to alternate agreement.   |       |        |
| 4.                  | Certification for Grants & Loans  | <b>RD 1940-Q, Exhibit A-1</b><br>if fee amount exceeds \$100,000 (this requirement is referenced in the Guide 4, Attachment 1)   |       |        |
| <b>Prior to Bid</b> |   |  |       |        |
| 5.                  | Project Manual including Front End Documents and Technical Specifications front cover stamped and signed by the Architect of Record | See <b>CF Project Manual Front End Documents</b> for list of documents to be given to Architect of Record  |       |        |
| 6.                  | Construction Drawings stamped and signed by the Architect of Record   |  |       |        |
| 7.                  | Environmental Mitigation Measures   | Confirm addressed in specifications/drawings   |       |        |
| 8.                  | Other Regulatory Agency review/acceptance of construction documents   | If applicable  |       |        |
| 9.                  | CF Authorization to Release for Bid   | CF Program delegatee to authorize for bid after all the requirements of the Letter of Conditions have been met.  |       |        |
| 10.                 | Any addenda issued during bidding to be submitted to the Agency   |  |       |        |

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| <b>Prior To Award Contract(s) the following documents must be submitted as a complete package for review prior to authorization to award:</b> |  |   |              |               |
| 11.   | Advertisement for Bids and Proof of Publication                                  | <b>RD Instruction 1942-A, Guide 19, Attach 1</b><br>i.e. Notice in paper and/or on-line plan rooms  |              |               |
| 12.   | Bid Tabulation Sheet prepared by Architect of Record                             |   |              |               |
| 13.   | Bid Form- Low bidder(s) only   | <b>RD 1942-A, Guide 19, Attach.3</b> or appropriate substitute  |              |               |
| 14.   | Bid Bond   | <b>RD 1942-A, Guide 19, Attach. 4</b>   |              |               |
| 15.   | Architect of Record's Recommendation to the Owner of the qualified low bidder(s) |   |              |               |
| 16.   | EEO Contract Compliance Statement  | <b>Form RD 400-6 (current version)</b><br>if contract amount exceeds \$10,000   |              |               |
| 17.   | Disclosure of Lobbying Activities<br>RD 1940-Q, Exhibit A-1                      | <b>RD Instruction 1940-Q, Exhibit A-1</b><br>if contract amount exceeds \$100,000   |              |               |
| 18.   | CF Authorization to Award  | CF Program delegee to authorize award   |              |               |
| <b>Agency Contract Concurrence: The following documents must be submitted as a complete package for review and concurrence:</b>               |  |   |              |               |
| 19.   | Board's Resolution Awarding the Contract   | If applicable   |              |               |
| 20.   | Notice of Award  | <b>RD 1942-A, Guide 19, Attachment 7</b><br>Issued by Owner to Contractor   |              |               |
| 21.   | Standard Form of Agreement between Owner and Contractor                          | <b>AIA Document A101</b> or approved alternate agreement; Note 1  |              |               |
| 22.   | Attachment to Standard Form of Agreement between Owner and Contractor            | <b>RD 1942-A, Guide 27, Attachment 3-</b> supplied by Rural Development<br>Attached to AIA Document and referenced in the AIA Agreement or RD attachment to alternate agreement; Note 1 |              |               |
| 23.   | General Conditions of the Contract for Construction                              | <b>AIA Document A201</b>  |              |               |
| 24.   | Attachment to General Conditions of the Contract for Construction                | <b>RD 1942-A, Guide 27, Attachment 4-</b> supplied by Rural Development<br>Attached to AIA A201 and referenced in the AIA Standard Form of Agreement                                    |              |               |

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| 25.   | Performance Bond  | <b>RD 1942-A, Guide 19, Attachment 5</b><br>Or AIA Documents - Agency named as co-obligee   |              |               |
| 26.   | Payment Bond  | <b>RD 1942-A, Guide 19, Attachment 6</b><br>Or AIA Documents- Agency named as co-obligee  |              |               |
| 27.   | Power of Attorney   | From Contractor's Bonding Company   |              |               |
| 28.   | Contractor's Certificate of Insurance                                     | Including Builder's Risk insurance  |              |               |
| 29.   | Certification of Owner's Attorney   | <b>RD 1942-A, Guide 18, Page 7</b>  |              |               |
| 30.   | Resume of Proposed Resident Inspector or RD written waiver to requirement | Borrower & Agency concurrence   |              |               |
| 31.   | CF Concurrence in contract for construction                               | CF Program delegee  |              |               |
| <b>CONSTRUCTION</b>                               |   |   |              |               |
| <b>Preconstruction Conference</b>                 |   |   |              |               |
| 32.   | Record of Pre-Construction Conference                                     | <b>Form RD 1924-16</b> or acceptable alternative<br>To be completed by the Architect of Record (Project Architect)                                |              |               |
| 33.   | Notice to Contractors and Applicants-nondiscrimination poster             | <b>Form RD 400-3</b> for each prime contract over \$10,000 and "EEO is the Law" Loan Specialist distributes poster at pre-construction conference |              |               |
| 34.   | Project Sign (temporary construction sign)                                | Rural Development template  |              |               |
| 35.   | Building Permit   | Issued by Code Enforcement Official or Authority Having Jurisdiction<br>If applicable   |              |               |
| 36.   | Any additional permits  | If applicable   |              |               |
| 37.   | Notice to Proceed   | <b>RD Instruction 1942-A, Guide 19, Attachment 8</b><br>Issued by Owner to Contractor   |              |               |
| 38.   | List of Material Suppliers and Subcontractors (if available)              |   |              |               |
| 39.   | Project Schedule (if available)   |   |              |               |
| <b>Monthly Payment Estimate &amp; Application</b> |   |   |              |               |

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| 40.                       | Application Form   | <b>AIA G702 or RD 1924-18</b>   |              |               |
| 41.                       | Schedule of Values   | <b>AIA G703 or RD 1924-18</b> continuation sheet  |              |               |
| 42.                       | Change Orders  | approved during the period covered by the pay application   |              |               |
| 43.                       | Allowance documentation  | i.e. invoices for any payment requested out of an allowance line item   |              |               |
| 44.                       | Stored Materials documentation if payment is being requested for stored materials  | On Site Stored Materials: invoices and photos of materials showing they are securely stored<br>Off Site Stored Materials: invoices, photos of materials showing they are clearly marked with the Project Name, Transfer of Title of Ownership (to name the Owner), Right of Owner for Entry to inspect materials, Certificate of Insurance, and Bill of Lading/Packing List |              |               |
| 45.                       | Monthly lien releases (if there are no Payment and Performance bonds)  | Not applicable if there are surety bonds on the project   |              |               |
| 46.                       | Project Architect's Site Observation Report  | Project Architect's meeting minutes and site observation report   |              |               |
| 47.                       | Site Observation   | <b>RD 1924-12</b> by Agency Document site visit or review of Project Architect's report   |              |               |
| <b>Change Orders</b>      |  |   |              |               |
| 48.                       | Contract Change Order Form   | <b>Form RD 1924-7 or AIA G701</b> Contract Change Order Form with RD concurrence attachment   |              |               |
| 49.                       | Narrative (non-technical) describing the need for the change order and documentation of how cost increase will be funded | Including revised drawings or sketches (if applicable) stamped and signed by the architect of record  |              |               |
| 50.                       | Back-up documentation  | i.e., Detailed cost estimate, labor and material costs, quotes from subcontractors and/or material suppliers, etc.  |              |               |
| <b>Closeout Documents</b> |  |   |              |               |
| 51.                       | Architect of Record Field Report and Punchlist   | At Substantial Completion   |              |               |
| 52.                       | Certificate of Substantial Completion  | <b>AIA Document G704 Form-</b> Amount held back from retainage for punchlist items listed on the document   |              |               |

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| 53. | Agency Substantial Completion   | <b>Form RD 1924-12</b> Inspection Report Internal Agency use only-not for distribution  |              |               |
| 54. | Certificate of Occupancy or Certificate of Compliance                           | or required approvals from municipal and governmental authorities having jurisdiction over the project. If Applicable   |              |               |
| 55. | Builder's Warranty  | Form RD 1924-19 and/or any other warranty information, with dates signed by the Owner.  |              |               |
| 56. | Agency's Final Inspection   | Form RD 1924-12 Inspection Report completed by appropriate agency representative  |              |               |
| 57. | Verification Owner has received As-Builts, O & M manuals, attic stock, etc.     | on transmittal from Project Architect, or email from Owner  |              |               |
| 58. | Consent of Surety   | AIA G707 Consent of Surety Company to Final Payment if performance and payment bonds  |              |               |
| 59. | Final Acceptance Letter from State Regulatory or Funding agency (if applicable) |   |              |               |
| 60. | Contractor Release of Liens from Prime and All Sub Contractors                  | Contractor Release of Liens from Prime And All Sub Contractors: Form RD 1924-9 Contractor Release of Liens<br>Form RD 1924-10 Release by Claimants (if no surety bonds)<br>see 1924-9 FMI for instructions.<br>IF AIA Documents below are used they still need to attach a release of liens:<br>AIA Document G706 – Contractor's Affidavit of Payment of Debts and Claims AIA Document G706A – Contractor's Affidavit of Release of Liens<br>AIA Document G706A – Contractor's Affidavit of Release of Liens from all subcontractors and material suppliers |              |               |
| 61. | Contractor's Application for Final Payment                                      |   |              |               |
| 62. | 11th Month Warranty Inspection  | CF LS, Architect of Record and Contractor, typically between 9-11 month   |              |               |

**Notes:**

1. Use of alternate agreements or edits to Agency attachments requires USDA Office of General Counsel (OGC) review. Please consult with PSS RD Architect for AIA agreements appropriate for the type of contract and available Agency attachments.
2. State to modify as needed for state specific requirements.