

RURAL BUSINESS ENTERPRISE GRANT
Grant Docket and Processing Checklist

Applicant Name: _____	Type of Applicant: _____	Public Body _____
		Non-Profit _____
		Tribe _____
County: _____		
Project Type: Construction : _____ Technical Assistance: _____ Revolving Loan Fund: _____		
Grant Amount Requested: \$ _____		
Project Description: _____		

Item No.	Documents	Form Nmbr	File Pos.	Responsible For Compl.	Target Date	Date Compl.
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STEP I - PREAPPLICATION

1.	Preapplication for Federal Assistance (For Construction Projects)	SF 424.2	3	Applicant		
1.	Preapplication for Federal Assistance (For Non-Construction Projects)	SF 424.1	3	Applicant		
2.	Request for Environmental Information	Form 1940-20	3	Applicant		
3.	Consultation with State Historic Preservation Office, as applicable	Letter	3	Applicant		
4.	Intergovernmental Review (1940-J), as applicable	Letter	3	Applicant		
5.	Certification Regarding Drug Free Workplace Requirements (Grants)	AD 1049	3	Applicant		
6.	Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions	AD 1047	3	Applicant		
7.	Certification for Contracts, Grants and Loans (if > \$100,000)	1940-Q Exh. A-1	3	Applicant		
8.	Evidence of Organization/Incorporation Documents (Articles and Bylaws, etc.)		5	Applicant		
9.	Certificate of Good Standing		5	Applicant		
10.	Grant Proposal (Instr. 1942-G, Attach. 1, Section A, II, B)	Letter/Narrative.	3	Applicant		
	a. Project Narrative for Construction		3	Applicant		
	b. Scope of Work (RLF or TA)		3	Applicant		
	c. Relending Plan (RLF)		3	Applicant		
11.	Project Priority Ranking (Draft) (Instr. 1942-G, Attach. 1, Section C)	Attach. 1 Section C	3	Loan Spec.		
12.	RD/RBS Loan Specialist Comment and Recommendation	Narrative	3	Loan Spec.		
13.	Update GLS/RDAPTS		1	Loan Spec		
14.	Forward Pre-app File to State Office			Area Office		

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STEP II - REVIEW OF PREAPPLICATION BY STATE OFFICE

15.	Office of General Counsel Review (Instr. 1942-G, Attach. 1, Section A, II, C)	Letter	3	State Office		
16.	Consolidate and Rank all Pre-applications (Instr. 1942-G, Section 1942.305 (b))		3	State Review Board		
17.	GLS/RDAPTS Posted with priority Points		1	State Office		
18.	Project List Forwarded to State Director For Concurrence	Letter		State Office		
19.	Notice of Preapplication Review Action	AD 622	3	State Office		
20.	GLS/RDAPTS Posted		1	Area Office		

STEP III - ENVIRONMENTAL REVIEW

21.	Categorical Exclusion	Form 1940-22	3	Loan Spec		
22.	Environmental Assessment (Class I)	Form 1940-21	3	Loan Spec.		
23.	Environmental Assessment (Class II)		3	Loan Spec.		
	a. Preliminary Notice					
	b. Final Notice					
	c. Private Party Notice if Applicable					
24.	State Environmental Review Sign-off			SEC		
25.	FONSI	Letter	3	Loan Spec.		
26.	Civil Rights Impact Analysis	Form 2006-38	3	Loan Spec.		
27.	GLS/RDAPTS Posted		1	Loan Spec.		

[IF GRANT IS A TECHNICAL ASSISTANCE OR REVOLVING LOAN FUND GO TO ALTERNATE STEP IV, either Item 27 or Item 54]

STEP IV - APPLICATION PROCESSING (CONSTRUCTION ONLY)

28.	Deliver AD 622 and hold Application Conference	Letter	4	Loan Spec.		
29.	Application for Federal Assistance	SF 424.2	3	Applicant		
30.	Financial Feasibility Report (Construction Projects)	Instr. 1942-A Guide 5	6	Applicant		
31.	Preliminary Architectural Report (Construction Projects)	Instr. 1942-A Guide 6	6	Applicant		
32.	Preliminary Engineering Report (Construction Projects)	Instr. 1942-A Guide 7 -10 as applicable	6	Applicant		
33.	Professional Services Agreement	Form 1942-19	6	Applicant		
34.	Professional Services Agreement Approved by Agency Arch. or Eng.		6	RD/RBS.		
35.	Preliminary Plans and Specs.		6	Applicant		
35.	Architectural or Engineering Review	Letter	6	RD/RBS		
37.	Initial Cost Estimate	SF 271	6	Applicant		
38.	Evidence of Other Funds Committed	Letter	3	Applicant		
39.	Appraisal (if land Acquisition is involved)	Appraisal	7	Applicant		
40.	Other Services Agreement (Legal, Management, etc.)	Agreement	6	Applicant		

Item No.	Documents	Form Nmbr	File Pos.	Responsible For Compl.	Target Date	Date Compl.
41.	List of Officers		5	Applicant		
42.	Balance Sheet	Form 442-3 (or Equiv.)	3	Applicant		
43.	Initial Operating Budget	Form 442-7	1	Applicant		
44.	Most Recent Audit Report		1	Applicant		
45.	Applicant Contribution Verified	Letter or Resolution	3	Applicant		
46.	Project Summary		1	Loan Spec.		
47.	Engineer/Architect Comments on Project Summary		1	Arch/Eng		
48.	Letter of Conditions (Draft)	Letter	3	Loan Spec.		
49.	Request for Obligation of Funds	1940-1	2	Loan Spec.		
50.	Check Procurement Debarment List	Memo in file	3	Loan Spec.		
51.	PreClosing Compliance Review	Form 400-8	5	Loan Spec.		
52.	GLS/RDAPTS Posted		1	Loan Spec.		
53.	Docket Submitted to State Office			Loan Spec.		

STEP IV - APPLICATION PROCESSING (TECHNICAL ASSISTANCE OR REVOLVING LOAN FUNDS)

54.	Deliver AD 622 and hold Application Conference	Letter	4	Loan Spec.		
55.	Application for Federal Assistance	SF 424.1	3	Applicant		
56.	Financial Feasibility Plan		6	Applicant		
57.	Other Services Agreement (Legal, Management, etc.)	Agreement	6	Applicant		
58.	Other Services Agreement Approved by Agency		6	RD/RBS		
59.	Evidence of Other Funds Committed	Letter	3	Applicant		
60.	List of Officers		5	Applicant		
61.	Balance Sheet		3	Applicant		
62.	Initial Operating Budget		1	Applicant		
63.	Most Recent Audit Report		1	Applicant		
64.	Applicant Contribution Verified	Letter or Resolution	3	Applicant		
65.	Work Plan (see 1942-G, Sections 1942.313 and 942.314 and 1942-G Attach. 1, Section A, II, D)		3	Applicant		
66.	Project Summary		1	Loan Spec.		
67.	Letter of Conditions (Draft)	Letter	3	Loan Spec.		
68.	Request for Obligation of Funds	1940-1	2	Loan Spec.		
69.	Check Procurement Debarment List	Memo in file	3	Loan Spec.		
70.	PreClosing Compliance Review	Form 400-8	5	Loan Spec.		
71.	GLS/RDAPTS Posted		1	Loan Spec.		
72.	Docket Submitted to State Office			Loan Spec.		

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<u>STEP V - DOCKET REVIEW AND GRANT APPROVAL</u>						
73.	Letter of Conditions (Reviewed and edited by State Office & returned to Loan Spec. for correction if required)	Letter	3	Loan Spec.		
74.	The RBS Program Director will sign the LOC (as designated) and will authorize the Letter of Conditions to be delivered to the applicant with the Letter of Intent to Meet Conditions (Form 1942-46).					
75.	Request funds from National Pool (if Required)	Letter	2	State Office		
76.	Letter of Conditions (delivered)	Letter	3	Loan Spec.		
77.	Request for Obligation (Form RD 1940-1) (delivered to Applicant for signature)	Letter	4	Loan Spec.		
78.	Letter of Intent to Meet Conditions	Form 1942-46	3	Applicant		
79.	RD Concurrence in Accounting System	Memo	3	Loan Spec.		
80.	RD Concurrence in Work Plan	Letter	4	Loan Spec.		
81.	Equal Opportunity Agreement	Form 400-1	3	Applicant		
82.	Assurance Agreement	Form 400-4	3	Applicant		
83.	Evidence of Site Control (if Construction)	Form 442-21 and 442-22	5	Attorney		
84.	Grant Approval	Form 1940-1	2	State Office		
85.	LAPAS Notification		2	State Office		
86.	GLS/RDAPTS Posted		1	State Office		
87.	Request for Closing Instructions (OGC)	Letter	4	State Office		

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<u>STEP VI - CONSTRUCTION</u>						
88.	GLS/ RDAPTS Posted		1	Loan Spec.		
89.	Approval of Plans and Specs	Letter	6	Eng./Arch.		
90.	Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Transactions (Required for each and all Third Party Recipients)	AD 1048	6	Third Party Recipient		
91.	Contract Approval	Letter	6	Eng./Arch.		
92.	Approval of Resident Inspector	Letter	6	Eng./Arch.		
93.	Record of Pre-Construction Conf.	Form 1924-16	6	All Parties		
94.	Concurrence in Award	Letter	6	Eng./Arch.		
95.	Notice to Proceed	Letter 6	6	Eng./Arch.		
96.	Periodic Development Inspections.	Form 1924-12	6	Loan Spec.		
97.	Owner's Monitoring Reports		6	Applicant		
98.	Periodic Disbursement of Funds	SF 271 Form 402-2	6	Loan Spec.		
99.	Partial Payment Estimate	Form 1924-18	6	Loan Spec.		
100.	Date of Substantial Completion		6	Applicant		
101.	Eng. or Arch. Recommendation to Accept the Project	Letter	6	Eng/Arch/Appl		
102.	Applicant Resolution to Accept	Letter	6	Applicant		
103.	As-built Plans and Specs.		6	Applicant		
104.	Final Payment Estimate	Form 1924-18 Form SF 271	6	Applicant		
105.	Insurance/Bonding		7	Applicant		
106.	Insurance (Real Estate)		7	Applicant		
107.	Fidelity Bonds		7	Applicant		
108.	Insurance (Liability)		7	Applicant		
109.	GLS/RDAPTS (Project Complete)		1	Loan Spec.		
110.	GLS/RDAPTS (Project in Operation)		1	Loan Spec.		

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STEP VII - TECHNICAL ASSISTANCE OR REVOLVING LOAN FUND

111.	GLS/RDAPTS Posted		1	Loan Spec.	
112.	Approval of Relending Policies and Forms	Letter	6	Loan Spec.	
113.	Approval of Operating Budget	Letter	6	Loan Spec.	
114.	Environmental Review for Each Third Party Recipient	1940-20	Separate File	Loan Spec.	
115.	Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Transactions (Required for each and all Third Party Recipients)	AD 1048	6	Third Party Recipient	
116.	Approval of Sub-Recipient Contracts	Letter	6	Loan Spec.	
117.	Applicant Narrative Progress Report	Letter	6	Applicant	
118.	Applicant Quarterly Financial Status Report	Form SF 269	6	Applicant	
119.	Periodic Funds Reimbursement	Form SF 270	6	Applicant	
120.	Federal Cash Transactions Report (To monitor sub-grantee contracts)	Form SF 272	6	Applicant	
121.	Final Financial Status Report	Form SF 269	6	Applicant	
122.	Final Performance Report	Narrative	6	Applicant	
123.	Insurance (Liability) if required		7	Applicant	
124.	Insurance (Fidelity Bonds)		7	Applicant	
125.	GLS/RDAPTS (Project Complete)		1	Loan Spec.	
126.	GLS/RDAPTS (Project in Operation)		1	Loan Spec.	

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STEP VIII POST CLOSING REVIEW

127. Submit the following to the RBS Area Office: Loan Spec.

- _____ Copy of Final SF 271, (for Construction Only)
- _____ Copy of Final Inspection, (for Construction Only)
- _____ Date of Warranty Inspection, (for Construction Only)
- _____ Copy of Final SF 269, 270, and 272, With Performance Activity Report (Non-Construction)
- _____ Copy of Letter of Conditions with each paragraph initialed,
- _____ Copy of OGC closing Instructions with each paragraph Initialed,
- _____ Copy of Notice to applicant that property acquired or ant funds is subject to USDA disposition Instructions. improved with
- _____ Copy of the final Grant Agreement (1942-G, Attachment 1, Section B) properly completed,
- _____ Copy of final compliance review,
- _____ Notice of Audit requirements and due dates.
- _____ Verification that GLS/RDAPTS is posted with proper 401 status code and follow-up data