

GUIDE LIST - PUBLIC BODY  
DIRECT LOAN AND/OR GRANT

(Name of Applicant)

(Applicant Contact) (Phone:)

Engineer/Architect

(Attorney) (Phone)

**II. APPLICATION (HOLD APPLICATION CONFERENCE)**

Item No.	Document	Form No.	To Be Prepared By	Date Rec'd	File Position / Copies
1	Resolution Authorizing Architectural, Engineering & Legal Service Agreements		App & Attorney		3/O
2	Agreement for Engineering Services, or Standard AIA B-141 (1997 Edition) with RD Instruction 1942-A, Guide 27, Attachment 1 to AIA Document	RD 1942-19, RD 1942-A Guide 27, Attach: 1	Applicant, Engineer or Architect		6/O&2C all copies signed
3	Legal Services Agreement	RD	App & Att		5/ O& 2C all copies signed
4	"Rural Development Representations for Loan and Authorization to File A Financing Statement and Related Documents"	RD Form 1940-27	App & Attorney		1/O
5	Applicant Evidence of Selection of Bond Counsel		App & Att.		5/O
6**	Resolution Directing Engineering Report		App & Att.		5/O
7**	Description of the Improvement District		Arch/Eng.		3/O
8**	Resolution Creating District		App & BC		5/O
9	Preliminary Engineering/ Architectural Report/ Feasibility Study (RD Instruction 1942-A, Guide 6.	1942-A Guide 6	Engineer/ Architect		3/O
10	Application for Assistance(for Non-construction) (for construction)	SF 424.1 SF 424.2	Applicant & USDA-RD		3/O
11	Bank of North Dakota/ Other Participating Credit/Grant Application/ (Leveraging Status)		Applicant		3/O&1C
12	Evidence of Consistency with Other Plans		Applicant and Attorney		3/O
13	Project Summary	RD 1942-45	USDA-RD		3/O&1C
14	Fund Analysis	RD 1942-14	USDA-RD		2/O&1C
15	Financial Feasibility Report, Forecast by CPA with an opinion, if not tax supported or assessments.	RD 1942-A Guide 5	Applicant & preparer		3/O
16	Notice of Public Information Meeting (RD Instruction 1942-17 (j)(9)).		Applicant & Attorney		1/O
17	Minutes of Public Information Meeting		Applicant		1/O
18	List of Those in Attendance at Public Information Meeting		Applicant		1/O
19	Environmental Checklist for Categorical Exclusion Environmental Assessment for Class I Action Class 2 Assessment, 1940-G	RD 1940-22 RD-1940-21 Exhibit H	USDA-RD USDA-RD USDA-RD		3/O

\* O = Original; C = Copy

\*\* Required for projects funded by special assessments

**III. DOCKET (HOLD DOCKET ASSEMBLY CONFERENCE)**

Item No.	Document	Form No.	To Be Prepared By	Date Rec'd	File Position / Copies*
1	Letter of Conditions		USDA-RD		3/O&5
2	Resolution Authorizing ... Letter of Intent to Meet Conditions		Applicant and Attorney		3/O
3	Letter of Intent to Meet Conditions	RD 1942-46	Applicant		3/O
4	Applicant Certification Federal Collection Policies for Consumer and Commercial Debts	RD 1910-11 Automated	Applicant		3/O
5	Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions	AD-1047 Automated	Applicant		3/O
6	Deliver Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to Applicant	AD-1048 Automated	USDA-RD		3/O
7	Certification Regarding Drug-Free Workplace Requirements (Grants) Alternative I -for Grantees and Other than Individuals	AD-1049 Automated	Applicant		3/O
8	Other Participating Credit/ Grant Commitment		Applicant		3/O
9	Resolution Authorizing Request for Obligation of Funds		Applicant and Attorney		3/O
10	Request for Obligation of Funds	RD-1940-1 Automated	Applicant & USDA-RD		3/O
11	Electronic Funds Transfer Payment Enrollment Form	SF- 3881	Applicant & USDA-RD		2/O
12	Arrange for Interim Financing		Applicant & Attorney		3/O
13	Resolution of Members or Stockholders	RD 1942-8	Applicant & USDA-RD		3/0
13	Loan Resolution Security Agreement (Public Bodies) or prepared by OGC	RD 1942-47 Automated	Applicant and Attorney		3/O
15	Assurance Agreement	RD 400-4	Applicant		3/0
16	Equal Opportunity Agreement	RD 400-1	Applicant		3/O
17	Agreement with Auditor/ record keeping requirements	ND 1942-A, Exhibit 1	Applicant & Accountant		1/0
18	Agreement for Administrative Requirement for Community Facility Grants	RD 3570-3 Automated	Applicant & USDA-RD		2/O&1C
19	Certified Right of Way Map including detailed description of required tracts and easements		Engineer or Architect		3/O
20	Preliminary Opinion				
	a Preliminary Title Opinion	RD 1927-9	Attorney		5/O
	b Further opinion by attorney stating: 1 All actions by the applicant meet statutory requirements 2 No litigation threatening the applicant 3 Project meets the zoning laws		Attorney		5/O
c Right of Way Easement	RD 442-20	Applicant and Attorney		5/O	

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**III. DOCKET (HOLD DOCKET ASSEMBLY CONFERENCE) (CONTINUED)**

	d Option to purchase Real Property or Deed	RD 440-34	Applicant and Attorney		5/O
	e Right of Way Certificate	RD 442-21	Applicant and Attorney		5/O
	f. Opinion of Counsel Relative to Right of Way	RD 442-22	Attorney		5/)
21	Resolution Establishing Rate Charge and Rules for the Use and Service of Facility		Applicant & Attorney		3/O
22	Preliminary Special Assessment Documents - Items 1 & 2 of North Dakota Instruction 1942-A, Guide 3, Attachment B.		Applicant & Attorney		5/O
23	Bond Transcript Documents (North Dakota Instruction 1942-A, Guide 3, Attachment A or B)		Attorney & Bond Counsel.		5/O
24	Appraisal- By Certified General Appraiser		Appraiser		8/C
25	GECC and other creditors' Approval of Applicant Incurring Debt		App & Attorney		5/O
26	Submit Docket To OGC For Closing Instructions		USDA-RD		

**IV. ENGINEER OR ARCHITECT**

1	Final Plans and Specifications		Engineer/ Architect		C&E file/O
2	Bid Docket (See North Dakota Instruction 1942-A, Guide 5		Engineer/ Architect		C&E file/O
3	Evidence of Approval of Plans and Specifications by Appropriate Agency		Engineer/ Architect		C & E file/O
4	Record of Pre Construction Conference	RD 1924-16	Engineer/ Architect		C & E file/O
	a Deliver Notice to Contractors and Applicants	RD 400-3	Engineer/ Architect		C & E file/O
	b Complete Exhibit C of RD Instruction 1901-E		USDA-RD		C & E file/O
5	Concurrence by Architect, RD and of Resident Inspector		Architect & USDA-RD		6/O&1C

**V. LOAN/ GRANT CLOSING**

1	Review of Non procurement List: <a href="http://www.arnet.gov:8000/epl/owa/epl_login_login_form">http://www.arnet.gov:8000/epl/owa/epl_login_login_form</a>		USDA-RD		3/O
2	Execute Improvement Warrant/ Revenue Bond (Other Lender and/or USDA)		Applicant & Attorney		2/O&2C
3	Set up transfer of funds to account.		Applicant & USDA-RD		1/O
3	Bond Registration Book	RD 442-28	Bond Coun. or USDA-RD		2/O
4	Real Estate Mortgage for North Dakota	Form RD 1927-1 ND (Rev 5-99)	USDA-RD/ Attorney Applicant		5/O&1C

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**V. LOAN/ GRANT CLOSING (CONTINUED)**

5	Promissory Note (Association or Organization) (if no bonds)	Form-RD 440-22 (Rev-6-98)	Applicant		2/O&2C
6	Lien Search	UCC-11)	RD/Applicant	1/2OR	1/O
7	Financing Statements"UCC-1, Financing Statement", and North Dakota, "UCC-1Ad, Financing Statement Amendment" will be filed in the County Recorder's Office with the UCC records maintained by the Secretary of State to perfect an Assignment of Income and/or to take chattel property as security. For fixtures on real estate, North Dakota "Financing Statement for Real Estate and UCC Filing/UCC-1A", containing the legal description of the real property in Section G, should be filed with County Recorder in the county the real estate is located in.	UCC-1, UCC-1Ad, and UCC-1A as applicable	USDA-RD		1/2O
9	Complete all requirements of Other Lender, Bond Counsel, Office of General Counsel and USDA		App, Att. B,C, Lender & USDA-RD		O
10	Insurance				
	Comprehensive General Liability Insurance		Applicant		7/C
	Real Property Insurance, Notice of Contribution		Applicant		7/C
	Property Insurance Mortgage Clause (Without Contribution)	Form RD 426-2	Applicant		7/C
	Workers Compensation Insurance Certificate		Applicant		7/C
	Fidelity Bond		Applicant		7/C
	Malpractice/ Directors & Officers Insurance		Applicant		7/C

**VI. AFTER LOAN CLOSING**

1	Complete Special Assessments - Items 3-11 of North Dakota Instruction 1942-A, Guide 3, Attachment B		Applicant & Attorney		5/O
2	Final Opinion and Complete Bond Transcript Documents (North Dakota Instruction 1942-A, Guide 3, Attachment A or C)		Attorney & Bond Counsel		5/O
3	Submit docket to OGC for post review		USDA-RD		
4	Notify Borrower loan/grant properly closed and authorize final payment to Attorney		USDA-RD		5/O&1C

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