

2033.11(b)(2) - (Continued)

Middle file folders (2nd position tabs) are for Subparts in Table of Contents. These are to be set up as needed.

Right hand file folders (3rd position tabs) are for expanding Subparts as needed.

Correspondence and other material originating from State, Area, and Local Offices will reference the file code two lines below date.

A copy of the Filing Guide, VA Exhibit D, will be maintained in front of the operational file. As new files are established in Position 3, the labels will be numbered to coincide with the Table of Contents and this number will be entered in the third column of the Filing Guide.

2033.11(c) - Organization, Maintenance, and Disposition

Eligible materials will be disposed of annually between October 1st and December 31st.

Exhibit B - Table of Contents for Water and Waste and Community Facility Borrower and Grantee Case Files

This exhibit is expanded to include a Table of Contents to cover all National and State forms, as well as unnumbered items, classified to each of the eight file positions in the borrower/grantee case folder for water and waste and community facility loans and grants.

Exhibit B, Guide 1, is to be used for water and waste loans and grants.
Exhibit B, Guide 2, is to be used for community facility loans and grants.
Exhibit B, Guide 3, is to be used for community facility guaranteed loans.

The File Position/Type section of these guides includes the various types of files to be set up. These include the following:

Borrower File - This is the file that is set up when a borrower/grantee applies for a primary loan/grant including subsequent loans/grants which may be funded at a different interest rate and different fiscal year to complete the primary loan/grant.

Project File - This is the file that is set up when a borrower/grantee already has a loan/grant and is applying for a subsequent loan/grant unrelated to the primary loan/grant.

Bond Transcript Portfolio - This is a portfolio set up to retain pertinent information on bonds.

Audit Portfolio - To retain audits.

User Portfolio - To retain information on users.

Construction Portfolio - To retain information on construction.

Map File - To retain maps.

A copy of the appropriate guide will be included in every docket to be filed as the top item in the eight respective positions.

Exhibit C - Operational Files Requiring Special Filing Retentions

This Exhibit is expanded to include additional files requiring special filing retentions.

WATER AND WASTE LOANS AND/OR GRANTS

POSITION 1

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Supporting documentation on existing debt - 1780.33(e)	N/A	Applicant	Date Project	Indefinite	
Financial statements or audit for eligibility determination - 1780.33(e)	N/A	Applicant	1 Project	5 years	
Security Agreement - VA 1780	VA 440-4	Applicant Agency	1 Borrower	Indefinite	
Financing Statements with attachment as appropriate - VA 1780	UCC1	Applicant Agency	1 Borrower	Indefinite	
Audits - 1780.47(d)	N/A	Applicant	1 Borrower	5 years	
Operational Review/District Director Report - Staff Instruction 1780-2, section 3.2(a)(i)(B)	Memo RD 442-4	Agency	1 Project	3 years	
Quarterly management reports - 1780.47(f)(1)	RD 442-2	Applicant	1 Project	3 years	
Annual management reports - 1780.47(f)(2)	RD 442-2	Applicant	1 Project	3 years	

WATER AND WASTE LOANS AND/OR GRANTS

POSITION 2

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Documentation relative to health or sanitary hazards - 1780.10(c)(1) and 1780.13(b)(1)	N/A	Applicant	Date Project	Indefinite	
Water and Waste Disposal Grant Determination - 1780.35(b)	Automated Form	Agency	2 Project	Indefinite	
Electronic Funds Transfer (EFT) Payment Enrollment Form - Letter of Conditions	SF-3881	Applicant	2 Borrower	Indefinite	
Request for Obligation of Funds - 1780.41(a)	RD 1940-1	Applicant Agency	2 Project	Indefinite	
Project announcement - Staff Instruction 1780-2, section 2.7(e)	Exhibit A, RD 2015-C	Approval Official	2 Project	Indefinite	
Notification to LAPAS - Staff Instruction 1780-2, section 2.7(e)	N/A - Telephone call	Approval Official	2 Project	Indefinite	
Evidence of commitment of other funds with agency verification - 1780.44(f)	Letter	Applicant Agency	2 Project	Until receipt of all funds	
Verification of users' contributions and other funds - 1780.44(b)	Memo	Agency	2 Project	Indefinite	
Interim financing: evidence of commitment from commercial lender and notice of agency's commitment - 1780.39(d)	Bulletin 1780-10 or 10a	Applicant Agency	2 Project	1 year after permanent loan closing	
Draft bond documents - LOC	N/A	Bond Attorney Applicant	2 Bond Portfolio	Until receipt of bond transcript	
Association Water or Sewer System Grant Agreement - 1780.45(c)	RB 1780-12	Applicant Agency	2 Project	Indefinite	
Bond - 1780.83	N/A	Applicant Bond Counsel	2 Project (original in safe)	As long as debt is outstanding	
Promissory Note - 1780.45(a)(1)	RD 440-22	Applicant Agency	2 Project (original in safe)	As long as debt is outstanding	
Bond and bond transcript - 1780.83	N/A	Applicant Bond Counsel	2 Bond Portfolio	As long as debt is outstanding	

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Evidence bond transmitted to finance office	Memo	Agency	2 Bond Portfolio	As long as debt is outstanding	
Estimate of Funds Needed for 30 Day Period - 1780.45(b)(1)(ii)	RD 440-11	Applicant	2 Project	3 years after funds expended	
Agreement for prior concurrence in bills and vouchers - 1780.45(e)	Agreement	Applicant Agency	2 Project	3 years after funds expended	
Pledge of collateral - 1780.45(e)(2) and (3)	Letter	Applicant	2 Project	Until all funds expended	
Deposit Agreement - 1780.45(e)(3)	RD 402-1	Applicant	2 Project	Until all funds expended	
EFT/ACH/Banking information	N/A	Agency	2 Project	3 years after all funds expended	
Approval of invoices - 1780.45(e)(1) and 1780.76(e)	RD 1924-18	Payee Applicant Agency	2 Project	3 years after all funds expended	
Monitoring project costs - 1780.45(e)(4)	N/A	Agency	2 Project	3 years after all funds expended	
Planned use of remaining funds with agency concurrence - 1780.45(f)	N/A	Applicant Agency	2 Project	3 years after all funds expended	

WATER AND WASTE LOANS AND/OR GRANTS

POSITION 3

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Notice of intent to file application - 1780.19(a)	Newspaper Publication	Applicant	Date Project	Indefinite	
Application for Federal Assistance - 1780.31(b)	SF 424 with 424A and B for non-construction <u>OR</u> 424C and D for construction	Applicant	3 Project	Indefinite	
Other credit information - 1780.7(d) and 1780.33(d)	Certification	Applicant	3 Project	Indefinite	
State intergovernmental review and recommendations - 1780.33(b)	Letter	Applicant	3 Project	Indefinite	
Categorical Exclusion Without Report - 1794	Exhibit H of Staff Instruction 1794-1	Agency	3 Project	Indefinite	
Categorical Exclusion With Report - 1794	Exhibit H of Staff Instruction 1794-1	Agency Applicant Engineer	3 Project	Indefinite	
Environmental Report - 1794	Exhibit A of Staff Instruction 1794-1	Agency Engineer	3 Project	Indefinite	
Finding of No Significant Impact (FONSI) - 1794	Exhibit E of Staff Instruction 1794-1	Agency	3 Project	Indefinite	
Civil Rights Impact Analysis with attachments: Census data and map of service area identifying location of proposed site, any minority or low-income community, industrial sites (such as sewage and solid waste treatment facilities and industrial parks), railroad tracks, and farms that routinely crop-dust - 1794 and RD AN No. 3776 (2006-P)	RD 2006-38	Agency	3 Project	Indefinite	
Environmental Publication - Bulletin 1794A-602	News Advertisement	Applicant	3 Project	Indefinite	
Documentation on historical and archaeological assessments - Bulletin 1794A-602 & 1901-F, 1901.255(a)(2)	Letters/Running Record	Agency Applicant	3 Project	Indefinite	
Statement from SHPO on historical sites and archaeological properties - Bulletin 1794A-602	Letter	Applicant	3 Project	Indefinite	

Evidence of environmental review and adoption of other Federal agency assessment - 1794	Running Record	Agency	3 Project	Indefinite	
Environmental Impact Statement - 1794	N/A	Agency	3 Project	Indefinite	
Project Summary - Water and Waste Disposal and Other Utility-Type Projects - 1780.41(a)	RD 1942-45	Agency	3 Project	Indefinite	
Initial Operating Budget - 1780.33(h) and 1780.41(a)	RD 442-7	Applicant	3 Project	Indefinite	
Identify known relationships/ association with agency employee - 1780.1(f)	Memo	Applicant	3 Project	Indefinite	
Evidence proposed facility will be consistent with development plans - 1780.1(h)	Letter	Applicant	3 Project	Indefinite	
Certification regarding tying arrangements - 1780.33(h)(8)	Certification	Applicant	3 Project	Indefinite	
Certification regarding lobbying - 1780.33(h)(7)	1940-Q, Exhibit A or A-1	Applicant Others	3 Project	Indefinite	
Certification regarding a drug-free workplace - 1780.33(h)(6)	AD-1049	Applicant	3 Borrower	Indefinite	
Certification regarding debarment or suspension - 1780.33(h)(5)	AD-1047 AD-1048	Applicant	3 Borrower	Indefinite	
Applicant certification, federal collection policies for consumer or commercial debt - 1780.33(h)(2)	RD 1910-11	Applicant	3 Project	Indefinite	
Assurance Agreement - RD Instruction 1901-E	RD 400-4	Applicant	3 Project	Indefinite	
Evidence of no outstanding judgment - 1780.7(g)	Bulletin 1780-22	Applicant	3 Project	Indefinite	
Notice of public information meeting and minutes - 1780.19(b)	Publication Minutes	Applicant	3 Project	Indefinite	
Agency's determination and documentation on other credit - 1780.7(d) and Staff Instruction 1780-2, section 2.1	Memo/Running Record	Agency	3 Project	Indefinite	
Eligibility determination and recommendations to State Director - Staff Instruction 1780-2, section 2.4(d)	Memo/Running Record	Agency	3 Project	Indefinite	
Site visit - Staff Instruction 1780-2, section 2.4(a)	Memo	Agency	3 Project	Indefinite	
Inequities within service area - 1780.11	Memo/Running Record	Agency	3 Project	Indefinite	

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Evidence regarding median household income, if other than census data is used - 1780.1(b)	Survey or Other Data	Applicant Agency	3 Project	Indefinite	
Evidence of overall review of applicant's financial status - Staff Instruction 1780-2, section 2.4(c)	Memo	Agency	3 Project	Indefinite	
Project selection criteria - 1780.17	Bulletin 1780-1	Agency	3 Project	Indefinite	
Justification for additional project points - 1780.17(e)	Memo/Running Record	Agency	3 Project	Indefinite	
Certification regarding applicant not appearing on debarment/suspension list - 1940-M, section 1940.606(b)	Memo/Running Record	Agency	3 Project	Indefinite	
Certification that the Credit Alert Interactive Voice Response System (CAIVRS) has been checked - S/O unnumbered memo	Memo/Running Record/Printout	Approval Official	3 Project	Indefinite	
Certification that CAIVRS has been checked at closing - S/O unnumbered memo	Memo/Running Record/Printout	Agency	3 Project	Indefinite	
Letter of Conditions - 1780.41(a)(5)	VA RUS 1780, Exhibit B	Agency	3 Project	Indefinite	
Letter of Intent to Meet Conditions - 1780.41(a)(6)	RD 1942-46	Applicant	3 Project	Indefinite	
Evidence of agreement with accountant - 1780.39(b)	Letter	Attorney	3 Project	Term of Agreement	
Certification regarding applicant/contractor not appearing on debarment/suspension list - 1940-M, 1940.606(b)	Memo/Running Record/Printout	Agency	3 Project	Indefinite	
Accountant's certification on accounting system - LOC	Letter	Accountant	3 Project	Indefinite	
Approval of accounting system - LOC	Certification/Running Record	Agency	3 Project	Indefinite	
Verification of users - 1780.44(b)	Certification/Running Record	Agency	3 Project	Indefinite	

WATER AND WASTE LOANS AND/OR GRANTS
POSITION 4

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Evidence applicant notified of approval - 1780.41(b)	Letter	Approval Official	Date Project	5 years	
Correspondence	Letters, Memos, etc.	Various	4 Project	5 years	

WATER AND WASTE LOANS AND/OR GRANTS

POSITION 5

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Evidence of legal authority and organization - 1780.7(e) & 1780.33(e)	N/A	Applicant	Date Project	Indefinite	
Articles of Incorporation and Certificates of Incorporation and Good Standing - 1780.33(e)	N/A	Applicant	5 Project	Indefinite	
Bylaws, Rules, and Regulations - 1780.33(e)	N/A	Applicant	5 Project	Indefinite	
Organizational minutes - 1780.33(e)	N/A	Applicant	5 Project	Indefinite	
Legal Services Agreement with agency concurrence - 1780.39(b)(2)	Bulletin 1780-7	Applicant Agency	5 Project	Indefinite	
Management Agreement with agency concurrence - 1780.39(b)(4)	Bulletin 1780-8	Applicant Agency	5 Project	Indefinite	
Agreement between applicant and individual users - 1780.9(g)(2)	Agreement	Applicant	5 Project/ User Portfolio	3 years after start of operation	
Water Purchase Contract/Sewage Treatment Contract with agency concurrence - 1780.62 and 1780.63	N/A - Utilize RUS Instruction 1780, section 1780.62, as a guide	Applicant Agency	5 Project	Term of Agreement	
Agreements/Contracts with professional and technical representatives with agency concurrence - 1780.39(b)	Agreement/Letter	Applicant Agency	5 Project	Term of Agreement	
Resolution or minutes authorizing execution of documents - LOC	N/A	Applicant	5 Project	Indefinite	
Water/Sewer Users Agreement or evidence of mandatory hook-up ordinance - 1780.39(c)	Bulletin 1780-9	Applicant	5 Project/ User Portfolio	3 years after start of operation	
Evidence of Users - Map, list of signed users, and having user agreements available - LOC	N/A	Applicant	5 Project/ User Portfolio	3 years after start of operation	
Evidence of program to encourage use of facility with agency approval - 1780.39(c)(5)	Letter	Applicant Agency	5 Project/ User Portfolio	3 years after start of operation	
Resolution of Members or Stockholders - 1780.39(f)	RD 1942-8	Applicant	5 Project	Indefinite	

Deed to real property - 1780.44(g)	N/A	Applicant	5 Project	Indefinite	
Evidence of acquisition of necessary property - 1780.44(g)	Letter/Agreement	Applicant	5 Project	Indefinite	
Rights-of-way map - LOC	Map	Engineer	5 Construc. Portfolio	3 years after builder's warranty expires	
Rights-of-Way/Easements - 1780.44(g)(1)	RD 442-20 or other approved form	Applicant	5 Construc. Portfolio	3 years after builder's warranty expires	
Rights-of-Way Certificate - 1780.44(g)(1)(i)	RD 442-21	Applicant	5 Project	Indefinite	
Opinion of Counsel Relative to Rights-of-Way - 1780.44(g)(1)(i)	RD 442-22	Attorney	5 Project	Indefinite	
Narrative opinion of attorney - LOC	Letter	Attorney	5 Project	Indefinite	
Preliminary Title Opinion - 1780.44(g)(2)	RD 1927-9	Attorney	5 Project	Indefinite	
Title insurance binder - 1780.44(g)(2)(i)	Binder	Applicant	5 Project	Indefinite	
Water rights - 1780.44(g)(3)	Letter	Applicant	5 Project	Indefinite	
Lease Agreements - 1780.44(g)(4)	Agreement	Applicant	5 Project	Term of Agreement	
Closing instructions - 1780.44(h)	Memos	OGC Approval Official	5 Project	Indefinite	
Loan Resolution (Public Bodies) - 1780.45(a)(2)	Bulletin 1780-27	Applicant Agency	5 Project	Indefinite	
Loan Resolution Security Agreement - 1780.45(a)(2)	Bulletin 1780-28	Applicant Agency	5 Project	Indefinite	
Deed of Trust - VA 1780	VA 1780, Exhibit D, Attachment 1	Attorney	5 Project	Indefinite	
Final Title Opinion - 1780.44(g)(2)	RD 1927-10	Attorney	5 Project	Indefinite	
Title insurance - 1780.44(g)(2)(i)	Policy	Applicant	5 Project	Indefinite	
Evidence of waiver of title defects - 1780.44(g)(2)(ii)	Letter	Agency	5 Project	Indefinite	
Closing certificate - Closing instructions	VA 1780, Exhibit E	Agency	5 Project	Indefinite	
Closing certificate - Closing instructions	VA 1780, Exhibit D, Attachment 4	Attorney	5 Project	Indefinite	
Initial compliance review - 1780.44(c)	RD 400-8	Agency	5 Borrower	Indefinite	

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Post review of loan closing - 1780.45(g)	Memos	OGC Approval Official	5 Project	Indefinite	
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WATER AND WASTE LOANS AND/OR GRANTS

POSITION 6

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Preliminary Engineering Report/ Evidence of review by agency engineer - 1780.33(c)	Report/Letter	Applicant Agency	Date Project	Indefinite (if feasibility included; otherwise, 3	
Equal Opportunity Agreement - RD Instruction 1901-E and 1780.33(h)(3)	RD 400-1	Applicant	6 Project	3 years after builder's warranty expires	
Agreement for Engineering Services with agency concurrence - 1780.39(b)(1)	EJCDC No. 1910-1-FA	Applicant Agency	6 Construc. Portfolio	3 years after builder's warranty expires	
Department of Health Approval - 1780.57	Letter	DOH official	6 Project	3 years after builder's warranty expires	
Permits (building, operating, VDOT, etc.) - 1780.57	Permits	Applicant	6 Project	3 years after builder's warranty expires	
Contract documents - 1780.61(a)	Standard Documents	Owner Agency OGC	6 Contract Portfolio	3 years after builder's warranty expires	
Legal certification regarding adequacy of contract documents - 1780.61(b)	Certification	Owner Attorney	6 Contract Portfolio	3 years after builder's warranty expires	
Review and approval of contract documents - 1780.61(b) and 1780.75(i)	Letter	Agency	6 Contract Portfolio	3 years after builder's warranty expires	
Bid tabulation sheet with agency approval - 1780.61(b)	Sheets and Letter	Owner Agency	6 Construc. Portfolio	3 years after builder's warranty expires	
Inspection services - 1780.67	Letter	Agency Engineer	6 Construc. Portfolio	3 years after builder's warranty expires	
Evidence and certifications for contracts awarded prior to application - 1780.74	Certification	Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Compliance Statement - 1780.75	RD 400-6	Contractor	6 Project	3 years after builder's warranty expires	
Performance and Payment Bonds/Treasury Circular - 1780.75(c)	Bonds	Contractor and Owner	6 Construc. Portfolio	3 years after builder's warranty expires	

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Release by claimants - 1780.75(c)	RD 1924-10	Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Certificate of Contractors Release - 1780.75(c)	RD 1924-9	Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Contract Change Order with agency approval - 1780.75(h) and 1780.76(h)(2)	RD 1924-7	Agency and Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Record of Pre-Construction Conference - 1780.76(a)	RD 1924-16	Agency Applicant	6 Project	3 years after builder's warranty expires	
Resume of resident inspector with borrower and agency approval - 1780.76(c)	Letter	Engineer Agency Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Evidence of daily diary and inspection reports - 1780.76(d)	Bulletin 1780-18	Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Partial Payment Estimate - 1780.76(e)	1924-18	Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Pre-final inspections - 1780.76(f)	RD 1924-12	Agency Owner	6 Construc. Portfolio	3 years after builder's warranty expires	
Final inspections - 1780.76(g)	RD 1924-12	Agency	6 Construc. Portfolio	Indefinite	
Evidence that as-built drawings are on file	Letter/ Certification	Engineer	6 Map File	Indefinite	
Warranty inspection - Staff Instruction 1780-2, section 3.2(a)(i)(A)	RD 1924-12	Agency Official	6 Construc. Portfolio	Indefinite	
Subsequent inspections of facility and operation - Staff Instruction 1780-2, section 3.2(a)(ii)	RD 1924-12	Agency Official	6 Project	Until next inspection is completed	

WATER AND WASTE LOANS AND/OR GRANTS
POSITION 7

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
Evidence of insurance -- property, general liability, flood, and worker's compensation - 1780.39(g)	List of Policies or Other Documents	Applicant	Date Borrower	Until replaced/ expires	
Fidelity or employee dishonesty bond - 1780.39(g)(3)	Copy of Bond	Applicant	7 Borrower	Until replaced/ expires	

WATER AND WASTE LOANS AND/OR GRANTS

POSITION 8

Document	Document or Form Number	Prepared By	File Position/ Type	Retention Period	Date Received
List of users by name expected to use over 20,000 gallons per month - PER	N/A (May appear in PER)	Applicant Consulting Engineer	Date Project	3 years after start of operation	
Use analysis showing separation of residential and non-residential usage - PER	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	3 years after start of operation	
Copy of existing rate - PER	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	3 years after start of operation	
Bill analysis for existing system - PER	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	3 years after start of operation	
Projected bill analysis for new users - 1780.39(c)(1)	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	3 years after start of operation	
Statement reporting the total number of potential users - 1780.39(c)(1)	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	3 years after start of operation	
Adjustments to historic income and cost -- explain changes - 1780.7(f)	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	3 years after start of operation	
Cost breakdown showing treatment, collection, etc. - PER	N/A (May appear in PER)	Applicant Consulting Engineer	8 Project	Indefinite	
Appraisal report water and waste disposal systems - 1780.44(g)	RD 442-10	Agency or Other	8 Project	Indefinite	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 1

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	N/A	Proposed Auditing/Accounting Agreements	1 Borrower	1942.17(q)(1)(ii)	Auditor Accountant	Indefinite	
	N/A	Audits	1 Borrower	1942.17(q)(4)	Auditor	5 years	
	UCC-1	Financing Statements with attachment as appropriate	1 Borrower	VA 1942-A, Exhibit D	Applicant A/O	Indefinite	
	VA 440-4	Security Agreement	1 Borrower	VA 1942-A, Exhibit D	Applicant A/O	Indefinite	
	Title	DMV Lien	1 Project	LOC	A/O	Indefinite	
	RD 442-2	Quarterly Management Reports	1 Project	1942.17(q)(2)(i)(B)	Applicant	3 years	
	RD 442-2	Annual Management Reports	1 Project	1942.17(q)(2)(i)(B)	Applicant	3 years	
	RD 442-4	RDM's report between 9th and 11th months of first year of operation	1 Project	1942.17(r)(1)(ii)(A)	A/O	3 years	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 2

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	3570-2	Worksheet for Computing Maximum Grant Assistance	2 Project	RD 3570-B, 3570.66	A/O	Indefinite	
	3570-3	CF Grant Agreement	2 Project	RD 3570-B, 3570.80	A/O	Indefinite	
	N/A	Identification of grant funds use (File with Grant Agreement)	2 Project	RD 3570-B	A/O	Indefinite	
	Memo	Evidence of other funds with agency verification	2 Project	1942.17(n)(6)	Applicant A/O	Until receipt of all funds	
	N/A	Obtain interim financing	2 Project	1942.17(n)(3)	Applicant	1 year after permanent loan closing	
	1942-14	Fund Analysis (revised based on bids)	2 Project	1942.5(c)(3)	A/O	Indefinite	
	1940-1	Request for obligation of funds	2 Project	1942.5(c)(3)	A/O	Indefinite	
	VA 1942-A, Exh. B, Att. 1	Lower Interest Rate Certification	2 Project	1942.17(f)(1)	Applicant	Indefinite	
	SF-3881	Obtain Banking information from borrower and populate EFT database	2 Project	EFT Handbook	A/O	Indefinite	
	N/A	Request funds disbursement	2 Project	EFT/ACH	Applicant A/O	Indefinite	
	Invoices	Evidence of bills paid to date	2 Project	1942.17(p)(3)	Applicant	Indefinite	
	402-2	Statement of deposits and withdrawals - Monitor funds	2 Project	1942.17(p)(3)	A/O	Indefinite	
	440-22	Promissory Note	2 Project (Original in safe)	1942.8(b)	Applicant	As long as debt is outstanding	
	N/A	Bond	2 Project (Original in safe)	1942.8(b)	Applicant	As long as debt is outstanding	
	N/A	Final Bond Transcript	2 Bond Portfolio	1942.19(c)	Bond Counsel	As long as debt is outstanding	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 3

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	SF424.1 SF424.2	Preapplication for Federal Assistance	3 Project	1942.2(a)	Applicant	Indefinite	
	Memo	Notification of intent to apply for assistance	3 Project	1942.2(a)	Applicant	Indefinite	
	Letter	State intergovernmental review comments	3 Project	1942.2(a)(iii)	Applicant	Indefinite	
	Letter	Certification of inability to obtain credit elsewhere (letter from applicant citing rates and terms from at least two contacts)	3 Project	1942.17(b)(3)	Applicant	Indefinite	
	Printouts/ Running Record	Current/Past Debt History with RD	3 Project	1942.2(a)(v)	A/O	Indefinite	
	N/A	RD Certification of basis for which loan is made: a. Five years successful operation b. Assured income c. Exceptional community support	3 Project	1942.17(g)(2) (iii) and 1942.17(g)(3) (iii)	A/O	Indefinite	
	N/A	Evidence of successful financial operation (history) - Five years	3 Project	1942.17(g)(2) (iii) and 1942.17(g)(3) (iii)	Applicant Attorney	Indefinite	
	Memo/ Running Record/ Printout	Certification that the Credit Alert Interactive Voice Response System (CAIVRS) has been checked	3 Project	S/O Unnumbered Memo	Approval Official	Indefinite	
	Certific./ Running Record/ Memo	Interview concerning relatives working with RD (document)	3 Project	1942.1(a)	A/O	Indefinite	
	N/A	Eligibility determination and recommendations	3 Project	1942.2(a)(1)(i)	A/O	Indefinite	
	1940-20	Request for Environmental Information	3 Env. File	1940-G	Applicant	Indefinite	
	1940-22	Categorical Exclusion	3 Env. File	1940-G	A/O	Indefinite	
	1940-21	Environmental Assessment for Class I Action	3 Env. File	1940-G; RD AN No. 3745	A/O	Indefinite	
	Exh. H	Environmental Assessment for Class II Action	3 Env. File	1940-G	A/O	Indefinite	
	N/A	Public Preliminary Notification Flood	3 Env.	1940-G	Applicant A/O	Indefinite	

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		Plain/Wetland/Farmland/Cultural Resources Impacts	File				
N/A		Public Final Notification Flood Plain/Wetland/Farmland/Cultural Resources Impacts	3 Env. File	1940-G	Applicant A/O	Indefinite	
N/A		Finding of No Significant Impact (FONSI)	3 Env. File	1940-G	Applicant A/O	Indefinite	
RD 2006-38		Civil Rights Impact Analysis with attachments: Census data and map of service area identifying location of proposed site, any minority or low-income community, industrial sites (such as sewage and solid waste treatment facilities and industrial parks), railroad tracks, and farms that routinely crop-dust	3 Project	RD AN No. 3776 (2006-P)	A/O	Indefinite	
N/A		Resolution accepting LOC and mitigation measures for environmental (as needed)	3 Project	Doc. of Min.	Applicant	Indefinite	
AD-622		Notice of Preapplication Review Action	3 Project	1942.2(a)(2)(iv)	A/O	Indefinite	
SF-424.1 SF-424.2		Application for Federal Assistance	3 Project	1942.2(c)	Applicant	Indefinite	
Guide 26, Part 1		Project Selection Criteria	3 Project	1942.17(c)(2)(iii)	A/O	Indefinite	
3570-1		Project Selection Criteria (Grants)	3 Project	3570-B, 3570.67	A/O	Indefinite	
1942-43		Project Summary with fund analysis and operating budget attached	3 Project	1942.5(c)	A/O	Indefinite	
442-7		Operating Budget	3 Project	1942.5(c)	A/O	Indefinite	
Audit/ 442-3		Current Balance Sheet/Audit	3 Project	1942.2(a)(v)	Applicant	Indefinite	
1940-Q Exh. A-1		Certification for Contracts, Grants, and Loans	3 Project	1940-Q, 1940.810	Applicant	Indefinite	
AD-1047 Printout		(a)Debarment/Suspension Certification (b)Screenprint of Name Search on Internet	3 Project	1940-M, 1940-606(b)(1) 1940.603(e)	Applicant A/O	Indefinite	
1910-11		Applicant Certification - Federal Collection Policies	3 Project	1942.5(a)(1)(i)	Applicant	Indefinite	
AD-1048		Certification Concerning Debarment, etc. (Lower Tiered Transactions where contracts equal or exceed \$25,000)	3 Project	1940-M, 1940.606(b)(1)	Applicant	Indefinite	
AD-1049		Drug-Free Workplace Certification (Grants Only)	3 Project	1940-M, 1940.606(b)(2)	Applicant	Indefinite	
400-4		Assurance Agreement	3 Project	1942.17(n)(2)(x)	Attorney	Indefinite	
442-2		Copy of present overall budget	3	1942-A	Applicant	Indefinite	

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			Project				
	Notice and Minutes	Public Notice Meeting and Minutes	3 Project	1942.17(j)(9)	Attorney	Indefinite	
	Memo	Authorization to deliver LOC	3 Project	1942.5(a)(3)	S/O	Indefinite	
	LOC	Letter of Conditions	3 Project	1942.5(a)(1)	A/O	Indefinite	
	1942-46	Letter of Intent to Meet Conditions	3 Project	1942.5(c)(3)	Applicant	Indefinite	
	Memo/ Running Record/ Printout	Certification that CAIVRS has been checked at closing	3 Project	S/O Unnumbered Memo	A/O	Indefinite	
	N/A	Review of Accounting/Auditing Procedures	3 Project	1942.17(r) Closing Instr.	A/O	Indefinite	
	Internet Printout	Final Certification of Debarment	3 Project	1940-M, 1940.603(e)	A/O	Indefinite	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 4

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	Memo	Confirmation Letter - (Application Conference)	4 Project	1942.2(c)(3)	A/O	Indefinite	
	Memo	Conference to discuss Letter of Conditions	4 Project	1942.5(c)	A/O	Indefinite	
	Memo	Approval of Legal Services Agreement	4 Project	1942.4	S/O	Indefinite	
	Memo	Approval of Engineering/ Architectural Agreement	4 Project	1942.4	S/O	Indefinite	
	Memo	Request Loan Closing Instructions	4 Project	1942.6(a)	A/O	Indefinite	
	Letters, Memos, etc.	Correspondence	4 Project	N/A	Various	5 years	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 5

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	N/A	Organizational Documents: a. Bylaws b. Certificate Of Incorporation and Amendments c. Articles of Incorporation and Amendments d. Certification of Existence e. Attorney's opinion regarding organization and authority	5 Project	1942.2(a)(1)(v)	Applicant	Indefinite	
	N/A	Certificate of Good Standing	5 Project	Closing Instructions	SCC Applicant	Indefinite	
	N/A	OGC Review of Organizational Documents	5 Project	1942.2(a)(1)(v)	OGC	Indefinite	
	Memo	Minutes adopting all required Agency forms	5 Project	LOC	Applicant	Indefinite	
	N/A	Contract of Assured Income	5 Project	1942.17(g)(3)	Applicant	Indefinite	
	Guide 14	Legal Services Agreement	5 Project	1942.17(l)(1)	Applicant Attorney	Indefinite	
	1942-47	Loan Resolution	5 Project	1942.17(n)(2)	Applicant	Indefinite	
	1942-9	Loan Resolution Security Agreement	5 Project	1942.17(n)(2)	Applicant	Indefinite	
	1942-8	Resolution of Members or Stockholders	5 Project	1942.17(j)(1)	Applicant	Indefinite	
	442-20	Rights-of-Way/Easements	5 Project	1942.17(j)(4)(i)(A)	Attorney	Indefinite	
	442-21	Rights-of-Way Certificate	5 Project	1942.17(j)(4)(i)	Applicant	Indefinite	
	442-22	Opinion of Counsel Relative to Rights-of-Way	5 Project	1942.17(j)(4)(i)	Attorney	Indefinite	
	1927-9	Preliminary Title Opinion	5 Project	1942.17(j)(4)(i)(B)	Attorney	Indefinite	
	Binder	Title Insurance Binder	5 Project	1942.17(j)(4)(i)(B)(1)	Title Co.	Indefinite	
	440-34	Deeds or Options to Purchase	5 Project	1942.17(j)(4)(i)	Applicant Attorney	Indefinite	
	Guide 24	Management Agreement	5 Project	1942.17(l)(3)	Applicant	Indefinite	
	400-8	Compliance Review	5 Project	1942.6(c) and 1901-E	A/O	Indefinite	
	Memo	Certified list of officers and terms of officers	5 Project	1942.17(q)(2)(ii)(A)	Applicant	Until replaced	

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	N/A	Loan closing instructions	5 Project	1942.17(o)	S/O OGC	Indefinite	
	VA 1942-A, Exh. D, Att. 1	Deed of Trust	5 Project	LOC	A/O Applicant	Indefinite	
	1927-10	Final Title Opinion	5 Project	1942.17(j)(4)(i) (B)	Attorney	Indefinite	
	Policy	Title Insurance Policy	5 Project	1942.17(j)(4)(i) (B)(1)	Title Co. Applicant	Indefinite	
	VA 1942-A, Exh. D, Att. 4	Attorney's certifications	5 Project	Closing Instructions	Attorney	Indefinite	
	Letter	Attorney's narrative opinion concerning permits, etc.	5 Project	LOC	Attorney	Indefinite	
	N/A	Post Review	5 Project	1942.17(o)(4)	S/O OGC	Indefinite	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 6

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	Guide 5	Financial Feasibility Report	6 Project	1942.17(h)(1)	Applicant Engineer/ Architect	Indefinite	
	Guides 6 through 10	Preliminary Engineering/ Architectural Report	6 Project	1942.18(c)	Engineer/ Architect	Indefinite	
	EJCDC or AIA Forms	Agreement for Engineering/ Architectural Services	6 Project	1942.18(b)	Engineer/ Architect	Indefinite	
	400-1	Equal Opportunity Agreement	6 Project	1942.17(n)(2) (x)	Applicant	Indefinite	
	N/A	Final plans, specifications and bid documents	6 Project	1942.18(e)	Engineer/ Architect	Indefinite	
	Guides 17, 18, and 19	Construction contracts completed and executed	6 Construc. Portfolio	1942.18(e)	Engineer/ Architect	3 yrs. After Bldrs. Warr. expires	
	Memo	Concurrence in Contract Awards	6 Construc. Portfolio	1942.18(e)	S/O	Indefinite	
	1924-16	Preconstruction Conference	6 Construc. Portfolio	1942.18(o)(1)	Engineer/ Architect	3 yrs. After Bldrs. Warr. expires	
	1924-12	Periodic Inspections	6 Construc. Portfolio	1942.18(p)(4)	A/O	Indefinite	
	1924-12 1924-18 SF-271	Prefinal Inspection and close-out documents consisting of: Inspection Report Partial Pay Estimate Outlay Report Applicant's acceptance Engineer's certification Evidence that as-built drawings are on file Evidence of O&M Manual Evidence of Warranty Punch List	6 Construc. Portfolio	1942.18(o)(5)	A/O Applicant Engineer/ Architect	Indefinite	
	1924-12	Final Inspection	6 Construc. Portfolio	1942.18(o)(6)	Applicant Engineer/ Architect A/O	Indefinite	
	Memo	Authorization given to advertise/ receive bids	6 Project	LOC	S/O A/O	Indefinite	
	Memo	Notice to proceed with construction	6 Project	1942-A, Guide 19, Att. 8	Applicant Engineer/ Architect	Indefinite	

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	Various	Certificate of Occupancy Consent of Surety Company Contractor's Release FHA 1924-9 Contractor's Final Pay Estimate Approval of Septic/Water System	6 Construc. Portfolio	Various	Applicant Engineer/ Architect	Indefinite	
	1924-12	Warranty Inspection	6 Construc. Portfolio	1942.17(r)(3)(i)	A/O	Indefinite	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 7

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	List of policies or other documents	Evidence of insurance -- property, general liability, flood, and workmen's compensation	7 Project	1942.17(j)(3)(i) (A) and (D)	Applicant	Until replaced/ expires	
	440-24 or similar form	Fidelity bond	7 Project	1942.17(j)(3)(ii)	Applicant	Until replaced/ expires	

COMMUNITY FACILITIES LOANS AND/OR GRANTS

POSITION 8

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	Appraisal	Appraisal of real estate and chattel property	8 Project	1942.17(g)(2) (iii)(B)(2) and 1942.17(g)(3) (iii)(B)(2)	Appraiser	Indefinite	

CF Guaranteed Loan

POSITION 2

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	1940-3	Request for Obligation of Funds	2 Project	3575.57	A/O S/O	Indefinite	
	449-14	Conditional Commitment to Lender	2 Project	3575.53	S/O	Indefinite	
	449-14	Acceptance of Conditions	2 Project	3575.59	Lender Borrower	Indefinite	
	449-14	Add, delete, or change guaranteed loan borrower info (initial loans)	2 Project	3575.59	A/O S/O	Indefinite	

CF Guaranteed Loan

POSITION 3

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	N/A	Application Conference - to discuss guarantee requirements, application process, determine basic eligibility of applicant and project, environmental requirements (may be conducted by telephone)	3 Project	3575.52(a)(b)	A/O	Indefinite	
	Letter	Letter to lender and borrower confirming decisions reached at application conference and regarding environmental review process	3 Project	3575.9(a)	A/O	Indefinite	
	SF424.1 or 424.2	Application for Federal Assistance	3 Project	3572.52(b)	Borrower	Indefinite	
	1940-20	Request for Environmental Information	3 Project	1940-G	Borrower	Indefinite	
	1940-22	Categorical Exclusion	3 Project	1940-G	A/O	Indefinite	
	1940-21	Environmental Assessment for Class I Action	3 Project	1940-G; RD AN No. 3745	A/O	Indefinite	
	Exhibit H	Environmental Assessment for Class II Action	3 Project	1940-G	A/O	Indefinite	
	N/A	Public Preliminary Notification Floodplain/Wetland/Farmland/Cultural Resources Impacts	3 Project	1940-G	Borrower A/O	Indefinite	
	N/A	Public Final Notification Floodplain/Wetland/Farmland/Cultural Resources Impacts	3 Project	1940-G	Borrower A/O	Indefinite	
	N/A	Finding of No Significant Impact (FONSI)	3 Project	1940-G	Borrower A/O	Indefinite	
	RD 2006-38	Civil Rights Impact Analysis with attachments: Census data and map of service area identifying location of proposed site, any minority or low-income community, industrial sites (such as sewage and solid waste treatment facilities and industrial parks), railroad tracks, and farms that routinely crop-dust	3 Project	RD AN No. 3776 (2006-P)	A/O	Indefinite	
	Credit Report	Credit Reports from Lender (if obtained)	3 Project	3575.52(b)	Lender	Indefinite	
	Letter	Request Planning District Review	3 Project	1942.17(m)(i) and RD 1940J	Borrower	Indefinite	
	Letter	Certification that Credit Unavailable without Guarantee	3 Project	3575.20(a)	Lender	Indefinite	
	Letter	Eligibility Determination and	3	1942.2(a)(1)(i)	A/O	Indefinite	

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	Recommendation	Project				
Letter	Copy of application, eligibility determination, and recommendation to S/O with request to process	3 Project	1942.2(a)(1)(i)	A/O	Indefinite	
See Forms	Processing Conference (furnish to lender Forms 3575-1, 1940-20, 449-14, 449-34, 449-35, and RD Instruction 3575-A and examples of certification of lender (3575.63) and loan closing opinion	3 Project	3575.63(a)(b)(c)(d)(e)(f)(g)	A/O	Indefinite	
Letter	State Office review/Authorization to process	3 Project	Memo	S/O	Indefinite	
3575-1	Application for Loan and Guarantee	3 Project	3572.52(b)	Borrower	Indefinite	
Printouts/Running Record	a)Current/Past Debt History with RD b)CAIVRS	3 Project	1942.2(a)(v) S/O Unnumbered Memo	A/O	Indefinite	
Guide 5	Financial Feasibility Report	3 Project	1942.17(h)(1)(i)(ii)	Lender	Indefinite	
1942-43	Project Summary	3 Project	1942.5(c)	A/O	Indefinite	
1942-14	Fund Analysis	3 Project	1942.5(c)(3)	A/O	Indefinite	
442-7	Operating Budget	3 Project	1942.5(c)	A/O	Indefinite	
N/A	Rural Development conducts cursory review to ensure all conditional commitment requirements have been met	3 Project	3575.63	A/O S/O	Indefinite	
451-2	Guaranteed Loan Fee submitted to Finance Office on Form 451-2	3 Project	3575.64(b)	A/O	Indefinite	
N/A	Guaranteed Loan System is populated with lender and borrower Information	3 Project	Guaranteed Loan System User Guide	A/O	Indefinite	
449-36	If lender is selling the guaranteed portion on the secondary market to a holder, RD executes Form 449-36, along with Incumbency Letter	3 Project	3575.64(c)	A/O	Indefinite	
SF-3881	Obtain banking information from borrower and populate EFT database	3 Project	EFT Handbook	A/O	Indefinite	

CF Guaranteed Loan

POSITION 5

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	Organ. Docs.	Organizational Documents a. Cert. of Incorpor. and Amendments b. Art. of Incorpor. and Amendments c. By-Laws d. Attorney's opinion - organization and authorization	5 Project	3575.20(b)(c)	Borrower	Indefinite	
	Permits	Copies of permits, certifications, and recommendations from appropriate regulatory agencies	5 Project	3575.43	Borrower	Indefinite	
	Lender's Form	Lender's Credit Analysis	5 Project	3575.47	Lender	Indefinite	
	Lender's Form	Proposed Loan Agreement	5 Project	3575.52(b)	Lender	Indefinite	
	AD-1048	Certification Regarding Debarment (Lower Tiered Transactions)	5 Project	1940-M, 1940.606(b)(1)	Lender	Indefinite	
	449-35	Lender's Agreement	5 Project	3575.64(a)	A/O	Indefinite	
	449-34	Loan Note Guarantee	5 Project	3575.64(b)	A/O	Indefinite	

CF Guaranteed Loan

POSITION 6

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	N/A	Lender sends copies of the following executed documents to RD after loan closing: a) Loan Agreement b) Lender's loan documents c) Lender's Agreement (Form 449-35) d) Closing certifications (review) e) Guaranteed Loan Fee	6 Project	3575.64	A/O Lender	Indefinite	

CF Guaranteed Loan

POSITION 8

SO USE	FORMS	DOCUMENT/ACTION	FILE POS./ TYPE	REFERENCE	PREPARED BY	RETENTION PERIOD	DATE REC'D
	Appraisal Report	Appraisal Reports (if required by lender)	8 Project	3575.49(a)	Borrower/ Lender	Indefinite	