

WATER AND WASTE PROCESSING CHECKLIST

Applicant	Contact Person	Telephone
TYPE OF FACILITY Water <input type="checkbox"/> Sewer <input type="checkbox"/> Solid Waste <input type="checkbox"/> Drainage <input type="checkbox"/>	Project Name	Agency Contact/Phone

Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
1	3	Notice of Intent to File Application - 1780.19	Publication	Applicant		
2	3	Application for Federal Assistance Submission - 1780.31(b)	SF 424.2	Applicant		
3	3	Financial Statements or Audit - 1780.33(e)		Applicant		
4	3	Other Credit Information - 1780.7(d) and .33(d)	Certification	Applicant		
		Agency's Determination and Documentation - 1780.7(d) and Staff Inst. 1780-2(2.1)	Written	Agency		
5	4	State Inter-governmental Review and Recommendations - 1780.33(b)	Letter	Applicant		
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9	5	Evidence of Legal Authority and Organization - 1780.7(e) & 1780.33(e)		Applicant		

Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
10	5	Supporting Documentation on Existing Debt - 1780.33(e)		Applicant		
11	3	Documentation for Income Survey - 1780.1(b)	Memo or Running Record	Agency		
12	3	Identify known Relationships/Association with Agency Employee - 1780.1(f)	Memo	Applicant		
13	5	Articles of Incorporation, Certificate of Incorporation and Good Standing - 1780.33(e)		Applicant		
14	5	Bylaws, Rules, and Regulations - 1780.33(e)		Applicant		
15	5	Organizational Minutes - 1780.33(e)		Applicant		
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19	3	Eligibility Determination and Recommendations to State Director - Staff Inst. 1780-2(2.4)(d)	Memo	Agency		
20	3	Evidence of Application Review - 1780.32(b)	Memo	Approval Office		
21	3	Project Selection Criteria - 1780.17	RB 1780-1	Agency		
22	3	Justification for Additional Project Points - 1780.17(e)	Memo	Agency		
23	3	Evidence Proposed Facility Will Be Consistent With Development Plans - 1780.1(h)	Letter	Applicant		

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24	3	Tying Arrangements 1780.33(h)(8)	Certification	Applicant		
25	3	Evidence No Outstanding Judgment Obtained 1780.7(g)	Letter	Applicant		
26	3	Site Visit Staff Inst. 1780-2 (2.4)(a)	Memo	Agency		
27	3	Inequities Within Service Area - 1780.11	Memo/ Running Record	Agency		
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31	3	Evidence of Processing Conference - 1780.39(a)	Letter & Checklist	Agency		
32	3	Notice of Public Information Meeting/Minute- 1780.9	Minutes Publication	Applicant		
33	6	Preliminary Engineering Report/ Evidence of Review by Agency Engineer 1780.33(c)	Report Letter	Applicant & Agency		
34	6	Agreement for Engineering Services/ Agency Concurrence 1780.39(b)(1)	*RD 1942-19	Applicant & Agency		
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37	5	Legal Services Agreement/ Agency Concurrence 1780.39(b)(2)	* RB 1780-7	Applicant & Agency		
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39	3	Environmental Checklist for Categorical Exclusion	RD 1940-22	Agency		

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40	3	Request for Environmental Information/ Attachments - 1780.33(f)	RD 1940-20	Applicant		
41	3	Environmental Assessment for Class I Action / Attachments	Exhibit H 1940-G	Agency		
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45	3	Evidence of Public Notice Requirements -- Preliminary / Final	News Adv Certified Minutes	Applicant		
46	3	Farmland Conversion Impact Rating	AD-1006	NRCS & Agency		
47	3	Finding of No Significant Impact (FONSI)/ Evidence of Publication	Exhibit I & RD 1940-G & News Ad	Agency & Applicant		
48	3	Evidence of Private Party Notification	Letter & List	Applicant		
49	3	Evidence of Distribution of FONSI	Memo & List	Agency		
50	3	Evidence of Environmental Review for General Exclusion	Running Record	Agency		
51	3	Evidence of Environmental Review and adoption of other Federal Agency Assessment	Running Record	Agency		
52	3	Environmental Impact Statement		Agency		
53	3	Agreement Between Applicant and Individual Users - 1780.9(g)(2)	Agreement	Applicant		
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Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
56	5	Water Purchase Contract or Sewage Treatment Contract, Agency Concurrence 1780.62 and 1780.63	*RD 442-30	Applicant & Agency		
57	5	Water User Agreement/ Sewer User Agreement or Evidence of Mandatory Hook-Up-Ordinance 1780.39(c)	RB 1780-9	Applicant		
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59	5	Management Agreement/Agency Concurrence 1780.39(b)(4)	RB 1780-8	Applicant & Agency		
60	2	Evidence of Availability of Other Funds -1780.44(f)	Memo	Applicant & Agency		
61	3	Initial Operating Budget 1780.33(h)	RD 442-7	Applicant		
62	8	Appraisal Report Water and Waste Disposal Systems 1780.44(g)	RD 442-10	Agency or Other		
63	2	Water and Waste Disposal Grant Determination 1780.35(b)	Automated Form	Agency		
64	2	Evidence Regarding Median Household Income, if other than census data is used 1780.1(b)	Survey or Other Data	Applicant & Agency		
65	2	Documentation relative to Health or Sanitary Hazards 1780.10(c)(1) and 1780.13(b)(1)		Applicant		
66	2	Association Project Fund Analysis - 1780.41(a)	RD 1942-14	Agency		
67	1	Project Summary -- Water and Waste Disposal and other Utility-type Projects/Attachments 1780.41(a)	RD 1942-45, 442-7, 1942-14	Agency		
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Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
69	3	Letter of Conditions 1780.41(a)(5)	Letter-RB 1780-19	Agency		
70	3	Evidence of Overall Review of Applicant's Financial Status - Staff Inst. 1780-2(2.4)(c)	Memo	Agency		
71	2	Project Announcement - Staff Inst. 1780-2(2.7)(e)	Exhibit A RD 2015-C	Agency		
72	3	Letter of Intent to Meet Conditions - 1780.41(a)(6)	RD 1942-46	Applicant		
73	2	Certifications Regarding Lobbying - 1780.33(h)	Exhibit A or Exhibit A-1	Applicant and Others		
74	2	Certification Regarding a Drug-Free Workplace 1780.33(h)	AD-1049	Applicant		
75	3	Certificates Regarding Debarment or Suspension 1780.33(h)	AD-1047 AD-1048	Applicant		
76	3	Application Certification, Federal Collection Policies for Consumer or Commercial Debt 1780.33(h)	RD 1910-11	Applicant		
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80	2	Request for Obligation of Funds - 1780.41(a)	RD 1940-1	Applicant & Agency		
81		Notification to LAPAS Staff Ins.t 1780-2(2.7)(e)		Agency		
82	2	Evidence Applicant notified of Approval 1780.41(b)		Agency		
83	5	Certificate of Official Seal and Signature Identification		Applicant		

Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
84	5	Certified List of Members and Users		Applicant		
85	5	Certified list of Association Officers, Term and Expiration Date		Applicant		
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90	3	Agreements/Contracts with Professional and Technical Reps/Agency Concurrence - 1780.39(b)	Agreement/ Letter	Applicant & Agency		
91	5	Stock or Membership Authorization - 1780.39(f)		Applicant & Agency		
92	3	Evidence of Program to Encourage Use of Facility / Agency Approval - 1780.39(c)(5)	Letter	Applicant & Agency		
93	2	Verification of Users and Other Funds - 1780.44(b)	Memo	Agency		
94	2	Verification of Applicant Contribution - 1780.44(b)	Memo	Applicant		
95	6	Equal Opportunity Agreement - RD Inst. 1901-E	RD 400-1	Applicant		
96	3	Assurance Agreement - RD Inst. 1901-E	RD 400-4	Applicant		
97	5	Evidence of Acquisition of Necessary Property - 1780.44(g)	Letter / Agreement	Applicant		

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101	5	Right-of-Way and Easement - 1780.44(g)(1)		Applicant		
102	5	Evidence of Title to Assets - 1780.44(g)(2)		Applicant		
103	5	Lease Agreements - 1780.44(g)(4)	Agreement	Applicant		
104	5	Water Rights - 1780.44(g)(3)	Letter	Applicant		
105						
106	5	Opinion of Counsel Relative to Rights-of-Way - 1780.44(g)(1)(i)	*RD 442-22	Attorney		
107	5	Deed to Real Property - 1780.44(g)		Applicant		
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114	7	Evidence of Insurance -- Property Insurance, General Liability, Flood, and Worker's Compensation - 1780.39(g)	List of Policies or Other Documents	Applicant		

Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
115	7	Fidelity or Employee Dishonesty Bond - 1780.39(g)(3)	Copy of Bond	Applicant		
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119	5	Specifying Material and Design - 1780-70(b)	Letter	Agency		
120	5	Evidence for Existing Systems on Water Loss - 1780.57(f)	Letter	Applicant		
121	5	Evidence of Conformity with Drinking Water and Water Pollution Control Standards - 1780.57 (g) and (h)	Letter	State/ Federal Agency		
122	3	Evidence of Date Nonprocurement List was Checked Prior to Closing	Running Record	Agency		
123	2	Exception for Metering Devices - 1780-57(m)	Letter	Applicant & Agency		
124						
125	5	Membership Authorization - 1780.39(f)	RD 1942-8			
126	5	Loan Resolution (Public Bodies) - 1780.45(a)(2)	RUS Bulletin 1780-27	Applicant & Agency		
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128	5	Loan resolution (Security Agreement) - 1780.45(a)(2)	RUS Bulletin 1780-28	Applicant & Agency		
129	2	Association Water or Sewer System Grant Agreement - 1780.45(c)	RB 1780-12	Applicant & Agency		

Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
130	2	Interim Financing: Evidence of Commitment from Commercial Lender and Notice of Agency's Commitment - 1780.39(d)	RB 1780-10 or 10a	Applicant / Agency		
131	2	Evidence of Commitment of Other Funds/Agency Verification - 1780.44(f)	Letter	Applicant / Agency		
132	5	Title Insurance Binder - 1780.44(a)	Binder	Applicant		
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134	5	Preliminary Title Opinion - 1780.44(g)(2)	*RD 1927-9	Attorney		
135	5	Final Title Opinion - 1780.44(g)(2)	*RD 1927-10	Attorney		
136	5	Evidence of Waiver of Title Defects - 1780.44(g)(2)(ii)	Letter	Agency		
137	5	Title Insurance - 1780.44(g)(2)(i)	Policy	Applicant		
138	5	Closing Instructions - 1780.44(h)	Memo	OGC		
139	5	Initial Compliance Review - 1780.44(c)	RD 400-8	Agency Official		
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Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
146	5	Post Review of Loan Closing - 1780.45 (g)	Memo	OGC		
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148	2	Evidence Bond Transmitted to Finance Office	Memo	Agency		
149		Bond and Bond Transcript - 1780.83		Applicant Attorney		
150		Final Unqualified Opinion of Bond Counsel	Opinion	Bond Counsel		
151	2	Promissory Note - 1780.45(a)(1)	*RD 440-22	Agency		
152	5	Mortgage		Attorney		
153	6	Performance and Payment Bonds/Treasury Circular - 1780.75(c)		Contractor Owner		
154	6	Record of Pre-Construction Conference - 1780.76(a)	RD 1924-16	Agency Applicant		
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157	6	Agreement for Prior Concurrence in Bills and Vouchers - 1780.45(e)	Agreement	Applicant Agency		
158	2	Pledge of Collateral - 1780.45(e)(2) and (3)	Letter	Agency		
159	2	Estimate of Funds Needed for 30 Day Period - 1780.45(b)(1)(ii)	*RD 440-11	Applicant		
160	2	Bond Anticipation Note or other Temporary Debt Instrument/Preliminary Opinion of Counsel - 1780.90		Applicant Attorney		

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161	6	Resume of Resident Inspector/Borrower and Agency Approval - 1780.76(c)	Letter	Engineer Agency Owner		
162	2	Deposit Agreement - 1780.45(e)(3)	RD 402-1	Agency Official		
163	2	Monitoring Project Costs - 1780.45(e)(1)	RD 402-2	Agency Official		
164	6	Approval of Invoices - 1780.45(e)(1) and 1780.76(e)	*RD 1924-18	Payee Applicant Agency		
165		Contract Documents - 1780.61(a)	Standard Documents	Owner Agency OGC		
166	5	Legal Certification Regarding Adequacy of Contract Documents - 1780.61(b)		Owner Attorney		
167	6	Review and Approval of Contract Documents - 1780.61(b) and 1780.75(i)	Letter	Agency		
168	6	Compliance Statement	RD 400-6	Contractor		
169	6	Bid Tabulation Sheet/Agency Approval - 1780.61(b)	Sheets Letter	Owner Agency		
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171						
172	6	Inspection Services - 1780.67	Letter	Agency Engineer		
173	6	Evidence and Certifications for Contracts Awarded Prior to Application - 1780.74	Certification	Owner		
174	6	Release by Claimants - 1780.75(c)	RD 1924-10	Owner		
175	6	Certificate of Contractors Release - 1780.75(c)	RD 1924-9	Owner		

Item No.	Folder File Position	Document	Document or Form Number	Prepared By	Target Date	Date Rec'd
176	6	Contract Change Order/Agency Approval - 1780.75(h) and 1780.76(h)	RD 1924-7	Agency Owner		
177	6	Evidence of Daily Diary and Inspection Reports - 1780.76(d)	RB 1780-18	Owner		
178	6	Project Monitoring - Staff Inst. 1780-2(3.1)	RD 1924-12	Agency Official		
179	6	Monitoring Reports - 1780.76(b)	Report	Owner		
180	2	Planned Use of Remaining Funds/ Agency Concurrence - 1780.45(f)		Applicant Agency		
181	6	Prefinal Inspections - 1780.76(f)	RD 1924-12	Agency Owner		
182	6	Final Inspections - 1780.76(g)	RD 1924-12	Agency		
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184	6	Statement Regarding Date of Substantial Completion and Warranty Expiration Date	Letter	Engineer		
185	6	Certification that Contract Has Been Completed in accordance with Plans and Specifications	Letter	Engineer		
186	5	Statement from Engineer, Attorney(s), and Each Contractor They Have Been Paid to Date in Accordance with Contract Agreement	Letter	Engineer Attorney Contractor		
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189	6	Operating Permit for Facility - 1780.57	Letter	Applicant		

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190	6	Evidence That "as built" Plans Have Been Delivered to Owner	Letter	Engineer		
191	6	Warranty Inspection - Staff Inst. 1780-2(3.2)(a)(i)(A)	RD 1924-12	Agency Official		
192	3	Operational Review - Staff Inst. 1780-2(3.2)(a)(i)(B)	Memo	Agency Official		
193	6	Subsequent Inspections of Facility and Operation - Staff Inst. 1780-2(3.2)(a)(ii)	Letter	Agency Official		
194	3	Quarterly Reports - 1780.47(f)(1)		Borrower		
195	3	Annual Management Reports - 1780.47(f)(2)		Borrower		
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199	3	Audits - 1780.47(d)		Borrower		
200	2	Evidence that RCFTS Records Have Been Updated at Various Processing and Servicing Stages	Computer Printouts	Agency		