**LOAN FILE CHECKLIST**

**THIS FORM IS A CHECKLIST TO BE USED (REGARDLESS OF WHERE DOCUMENT IS HOUSED) TO ENSURE EACH ITEM HAS BEEN RECEIVED, REVIEWED AND IS ACCEPTABLE.**

|  |  |  |  |
| --- | --- | --- | --- |
| REGION |  | RLFA/STAFF NAME |  |
| INC # |  | COMMUNITY |  |
| IDIS # |  | PROJECT NAME |  |
| LOAN # |  | ACTIVITY |  |
| AMOUNT | **$**  | # of FTEs |  |
|  | GRANT TERM |  to extended to ,  |

|  |  |  |  |  |
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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **1 - APPLICATION** |
| **APPLICATION PACKET – from Fund Manager to MEDC** |
|       |       |       | 1 | HUD denial screen prints for UGLG, business, all key owners/individuals  |
|       |       |       | 2 | SAM screen prints for UGLG, business, all key owners/individuals  |
|       |       |       | 3 | **Application and Attachments** |
|       |       |       | [ ]  Map  |
|       |       |       | [ ]  Architectural Renderings  |
|       |       |       | [ ]  Engineering Plans or Specs  |
|       |       |       | [ ]  A. BUDGET  |
|       |       |       | [ ]  Generals - 3 cost estimates or ind third party quote  |
|       |       |       | [ ]  Sole proprietor contractors – Attach 1 cost estimate  |
|       |       |       | [ ]  Equipment – list with items/cost or screen prints  |
|       |       |       | [ ]  Appraisal for CDBG-funded acquisitions  |
|       |       |       | [ ]  B - PROJECT DETAILS FOR BUSINESS/PRIVATE PROPERTY  |
|       |       |       | [ ]  C - PROJECT SCOPE FOR PUBLIC IMPROVEMENTS  |
|       |       |       | [ ]  D - EMPLOYMENT CREATION AND/OR RETENTION FORM  |
|       |       |       | [ ]  E - BENEFIT TO LOW/MODERATE INCOME PERSONS FORM  |
|       |       |       | [ ]  For Job Retention, Income Certifications  |
|       |       |       | [ ]  Signed  |
|       |       |       | 4 | **Background Review** |
|       |       |       | completed on  (may be valid for 12 months)  |
|       |       |       | completed on  (may be valid for 12 months)  |
|       |       |       | completed on  (may be valid for 12 months)  |
|       |       |       | 5 | **11A, Initial Public Hearing**[ ]  Notice published date       [ ]  Hearing date       [ ]  Brief description OR approved or signed Minutes  |
|       |       |       | 6 | Initial Conference Call, Greg West and RLF  |
|       |       |       | 7 | Enter on Loan Portfolio  |
|       |       |       | 8 | Enter on SF  |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **2 - MSF APPROVAL** |
|       |       |       | 1 | Loan Committee Conference Call, Greg West and RLF  |
| **REQUEST TO CLOSE LOAN PACKET – from Fund Manager to MEDC** |
|  |  |  | 2 | **Request to Close Loan Memo,** date from Fund Manager to MEDC |
|       |       |       | [ ] Revised and Current D - ESTIMATED EMPLOYMENT CREATION AND/OR RETENTION FORM (dated within 1 week of Request to Close Loan Memo)  |
|       |       |       | [ ]  F - COMMUNITY DEVELOPMENT PLAN  |
|       |       |       | [ ]  Community Development Plan **OR** [ ]  Complete Attachment F  |
|       |       |       | [ ]  G – UGLG PUBLIC PARTICIPATION CERTIFICATION  |
|       |       |       | [ ]  H - UGLG AUTHORIZING RESOLUTION  |
|       |       |       | [ ]  Resolution  |
|       |       |       | [ ]  I - CERTIFICATION BY THE APPLICANT UGLG  |
|       |       |       | [ ]  J - STATEMENT OF ASSURANCES  |
|       |       |       | [ ]  Environmental Review packet  |
|       |       |       | [ ]  Financial Viability Review Memo  |
|       |       |       | [ ]  LARA screenshot  |
|       |       |       | 3 | RLF CLP Loan Amount Exception Request required when Loan is less than $20,000  |
|       |       |       | 4 | URA - see Section 5  |
|       |       |       | 5 | LBP - see Section 5  |
|       |       |       | 6 | Asbestos - see Section 5  |
|       |       |       | 7 | Confirmation of Complete Project File Memo (MEDC)  |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **3 - LEGAL AGREEMENTS & AMENDMENTS**   **CLOSING PACKETS** |
| **LOAN APPROVAL PACKET – from MEDC to Fund Manager** |
|       |       |       | 1 | Loan Approval Letter and Exhibit, signed by CDBG manager  |
|       |       |       | 2 | For Job Creation, Income Certification  |
|       |       |       | 3 | Environmental Release (file in Section 4)  |
|       |       |       | 4 | Approval Letter Email  |
|       |       |       | 5 | Enter Stage 2 on SF  |
| **LOAN CLOSING PACKET – from Fund Manager to MEDC** |
|       |       |       | 6 | Loan Closed [ ]  within 1 month of Approval letter and [ ]  within 6 months of Background Review |
|       |       |       | 7 | Loan Approval Letter, countersigned (Required)  |
|       |       |       | 8 | Loan Conditions Exhibit, executed (Required)  |
|       |       |       | 9 | Disbursement Proof (required) $ date  |
|       |       |       | 10 | Promissory Note, copy (IA no RE) $ date , interest rate % |
|       |       |       | 11 | Closing Statement, copy (RE)  |
|       |       |       | 12 | Leasehold Agreement, executed (leasing new space)  |
|       |       |       | 13 | Mortgage, recorded (IA)  |
|       |       |       | 14 | Purchase Agreement, executed (Acquisition)  |
|       |       |       | 15 | Other  |
|       |       |       | 16 | **Kickoff Conference Call**, Greg West and RLF, UGLG and business (Construction only)  |
|       |       |       | 17 | Enter on IDIS  |
|       |       |       | 18 | Update SF [ ]  Disbursement approval[ ]  Upload PDF of signed docs from loan closing |
|       |       |       | 19 | Loan Amendments - requests and approvals (SF Incentive) #1 [ ]  Request form, [ ]  Mtg/Note, [ ]  Disb Ck, [ ]  Level ERUpdate [ ]  IDIS, [ ]  SF, [ ]  Upload amendment#2 [ ]  Request form, [ ]  Mtg/Note, [ ]  Disb Ck, [ ]  Level ERUpdate [ ]  IDIS, [ ]  SF, [ ]  Upload amendment |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **4 - ENVIRONMENTAL REVIEW** |
|       |       |       | 1 | **Exempt**[ ]  5A, Determination of Level of ER [ ]  5B, Finding of Exempt Activity [ ]  5E, Exempt Activities Determination Letter  |
|       |       |       | 1 | **CENST**[ ]  5A, Determination of Level of ER [ ]  5C, Finding of Cat Exclusion NOT Subject to [ ]  5E, Exempt Activities Determination Letter  |
|       |       |       | 1 | **CEST**[ ]  5A, Determination of Level of ER [ ]  5D, Finding of Cat Exclusion Subject to [ ]  5L, 8 Step Process .. Floodplain Management [ ]  5J, Early Notice .. Floodplain or Wetland [ ]  5K, Final Notice .. Floodplain or Wetland [ ]  5F, Statutory Checklist **and** supporting docs [ ]  Permit Information [ ]  5M, NOI to Request Release of Funds [ ]  5G, Request Release of Funds  |
|       |       |       | 1 | **EA** [ ]  5A, Determination of Level of ER [ ]  5L, 8 Step Process .. Floodplain Management [ ]  5J, Early Notice .. Floodplain or Wetland [ ]  5K, Final Notice .. Floodplain or Wetland [ ]  5F, Statutory Checklist **and** supporting docs  [ ]  5H, Env Assessment **and** supporting docs [ ]  Permit Information [ ]  5I, Combined Notice [ ]  5G, Request Release of Funds  |
|       |       |       | 2 | 5O, Environmental Review Checklist  |
|       |       |       | 3 | Request(s) to incur pre-agreement costs[ ]  Admin [ ]  Architecture [ ]  Engineering [ ]  Environmental Review [ ]  Lead and Asbestos Testing  |
|       |       |       | 4 | Release of Funds letter(s)[ ]  Admin [ ]  Architecture [ ]  Engineering [ ]  Environmental Review [ ]  Lead and Asbestos Testing [ ]  Grant Award  |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **5 – PROCUREMENT AND CONTRACTING** |
|       |       |       | 1 | One-for-one replacement  |
|       |       |       | 2 | One-for-one checklist  |
|       |       |       | 3 | Relocation documents  |
|       |       |       | 4 | Relocation checklist  |
|       |       |       | 5 | URA - to each tenant [ ]  7-F sent at application, [ ]  proof of delivery[ ]  7-H sent loan approval letter recd, [ ]  proof of delivery |
|       |       |       | 6 | LBP - to each tenant [ ]  5-Q[ ]  5-R signed by landlord and tenant[ ]  Proof of delivery |
|       |       |       | 7 | Asbestos Applicability Worksheet, 5-VConstruction (housing or commercial) of property built on or before 1/1/18.Prevalent in heating and cooling pipes, water pipes, flooring, and windows. |
|       |       |       | 8 | Acquisition documents  |
|       |       |       | 9 | Acquisition checklist  |
|       |       |       | 10 | Procurement docs, incl prof contracts (at Closeout)  |
|       |       |       | 11 | Fair Housing/Equal Opportunity documents (at Closeout)  |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **6 - PAYMENTS** |
|       |       |       |  |  |
|       |       |       |  |  |
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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **7 - REPORTING** |
|  | 1 | **1A, Project Progress Reports** Due Jan 15 Jul 15 |
|       |       |       |   | 1/1 – 06/30/      due 7/15/       |
|       |       |       |   | 7/1 – 12/31/      due 1/15/       |
|       |       |       |   | 1/1 – 06/30/      due 7/15/       |
|       |       |       |   | 7/1 – 12/31/      due 1/15/       |
|       |       |       |   | 1/1 – 06/30/      due 7/15/       |
|       |       |       |   | 7/1 – 12/31/      due 1/15/       |
|       |       |       |  | 1/1 – 06/30/      due 7/15/       |
|       |       |       |  | 7/1 – 12/31/      due 1/15/       |
|  | 2 | **[ ]  2C, Job Creation OR****[ ]  3N, Job Retention Reports** Due Jan 15 Jul 15 |
|       |       |       |   | 1/1 – 06/30/      due 7/15/      IDIS ENTRY [ ]   |
|       |       |       |   | 7/1 – 12/31/      due 1/15/      IDIS ENTRY [ ]   |
|       |       |       |   | 1/1 – 06/30/      due 7/15/      IDIS ENTRY [ ]   |
|       |       |       |   | 7/1 – 12/31/      due 1/15/      IDIS ENTRY [ ]   |
|       |       |       |   | 1/1 – 06/30/      due 7/15/      IDIS ENTRY [ ]   |
|       |       |       |   | 7/1 – 12/31/      due 1/15/      IDIS ENTRY [ ]   |
|       |       |       |  | 1/1 – 06/30/      due 7/15/      IDIS ENTRY [ ]   |
|       |       |       |  | 7/1 – 12/31/      due 1/15/      IDIS ENTRY [ ]   |
|  | 3 | **Section 3 Metric Reports** **[ ]  Not Applicable**Due Jul 15 |
|       |       |       |  | 7/1 – 06/30/      due 7/31/       |
|       |       |       |  | 7/1 – 06/30/      due 7/31/       |
|       |       |       |  | 7/1 – 06/30/      due 7/31/       |
|       |       |       |  | 7/1 – 06/30/      due 7/31/       |
|       |       |       |  | 7/1 – 06/30/      due 7/31/       |
| **[ ]  UGLG or** **[ ]  RLFA** | 4 | **Audit Metrics**UGLG FYto |
|       |       |       |  | FYE       received [ ]  Single Audit [ ]  8-C | SF ENTRY [ ]   |
|       |       |       |  | FYE       received [ ]  Single Audit [ ]  8-C | SF ENTRY [ ]   |
|       |       |       |  | FYE       received [ ]  Single Audit [ ]  8-C | SF ENTRY [ ]   |
|       |       |       |  | FYE       received [ ]  Single Audit [ ]  8-C | SF ENTRY [ ]   |
|       |       |       | 5 | 9C, Section 3 Summary Reports construction contract > $100k |
|       |       |       | 6 | 8B1, Personal Property Management Reports  |
|       |       |       | 7 | 8B2, Real Property Management Reports  |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **8 – MONITORING AND CLOSEOUT** |
|       |       |       | 1 | Monitoring Invite (to schedule onsite)  |
|       |       |       | 2 | 12A, Monitoring Checklist  |
|       |       |       | 3 | Monitoring documents, obtained during visit  |
|       |       |       | 4 | Monitoring Letter **SF MONITORING METRIC** **[ ]** |
|       |       |       | 5 | Grantee Response Letter  |
|  |  |  | 6 | Findings Resolved Letter **SF MONITORING METRIC [ ]**  |
|       |       |       | 7 | Closeout Email Sent |
| **CLOSEOUT PACKET – from Fund Manager to MEDC** |
|       |       |       |  | 1A, FINAL Progress Report  |
|       |       |       | 8 | [ ]  2C, FINAL Job Creation Summary Report **OR**[ ]  3N, FINAL Job Retention Report |
|       |       |       | 9 | FINAL Section 3 Report  |
|       |       |       | 10 | **Monitoring Findings**[ ]  None [ ]  Yes, date resolved        |
|       |       |       | 11 | **11A, Closeout Public Hearing**[ ]  Notice published date       [ ]  Hearing date       [ ]  Brief description OR approved or signed Minutes  |
|       |       |       | 12 | Minutes from Initial Public Hearing (signed or approved) |
|       |       |       | 13 | Expense Ledger from project close-out |
|       |       |       | 14 | Audit Review performed by Finance (NA if all 8-Cs)  |
|       |       |       | 15 | 13A, Actions to Affirmatively Further Fair Housing  |
|       |       |       | 16 | 13C, Grant Award Decrease for Closeout  |
|       |       |       | 17 | 3L, Final Accounting of Funds Expended, eff for loans closed after 4/1/19  |
|       |       |       | 18 | 3-Q, Business Questionnaire, eff 1/22/21 for all loans  |
|       |       |       | 19 | 3-R, Project Profile Template, eff 1/22/21 for all loans  |
|       |       |       | 20 | 10R, FINAL Wage Compliance Report  |
|       |       |       | 21 | 8B1, FINAL Personal Property Management Report   |
|       |       |       | 22 | 8B2, FINAL Real Property Management Report  |
|       |       |       | 23 | Blight Clearance letter (from Building Inspector)  |
|       |       |       | 24 | Audit Review performed by Finance (NA if all 8-Cs) |
|       |       |       | 25 | Closeout Review Excel |
|       |       |       | 26 | Accomplishment Data - Verify systems match[ ]  SF (blight, area benefit = no SF entry)[ ]  IDIS  |
|       |       |       | 27 | Conditional Closeout **NOT APPLICABLE FOR CLP**[ ]  Certificate of Completion [ ]  SF [ ]  IDIS [ ]  Email letter and Certificate to Grantee  |
| **CLOSEOUT LETTER/CERTIFICATION – from MEDC to Fund Manager** |
|       |       |       | 28 | Final Closeout[ ]  Certificate of Completion [ ]  SF [ ]  IDIS [ ]  Email letter and Certificate to Grantee  |

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| **BOXFILE****LINKSF** | **DATE** | **INITIALS** |  | **[ ]  Not Applicable****9 – CONSTRUCTION AND DBRA** |
|       |       |       | 1 | Evidence of updated wage rates  |
|       |       |       | 2 | 4P, Contract and Subcontract Activity Report, HUD-2516  |
|       |       |       | 3 | Contractor(s) HUD Denial Printout  |
|       |       |       | 4 | Contractor(s) SAM Printout  |
|       |       |       | 5 | Contracts, including bonds & insurance  |
|       |       |       | 6 | [ ]  10K Payroll, WH 347 (or similar) **AND**[ ]  10L, Payroll Review Worksheets  |
|       |       |       | 7 | 10-O, Record of Employee Interview, HUD-11  |
|       |       |       | 8 | 10R, Final Wage Compliance Report  |