**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.**

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

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| **BOX FILE**  **LINK SF** | **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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| **BOX FILE**  **LINK SF** | **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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| **BOX FILE**  **LINK SF** | **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 ER  Update  IDIS,  SF,  Upload amendment  #2  Request form,  Mtg/Note,  Disb Ck,  Level ER  Update  IDIS,  SF,  Upload amendment |

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| **BOX FILE**  **LINK SF** | **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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| **BOX FILE**  **LINK SF** | **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-V  Construction (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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| **BOX FILE**  **LINK SF** | **DATE** | **INITIALS** |  | **6 - PAYMENTS** |
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| **BOX FILE**  **LINK SF** | **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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| **BOX FILE**  **LINK SF** | **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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| **BOX FILE**  **LINK SF** | **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 |