

USDA-RD
Arizona State Office
Water and Environmental Programs
Required Documents for Projects

1. Agreements for Engineering Services
2. Engineering Amendments
3. Bid Package
4. Simplified Acquisition Package
5. Bid phase documents
6. Award Package
7. Pay Application
8. Change Orders
9. Substantial Completion
10. Cost Overrun
11. Unliquidated Obligation Waiver

1. Agreements for Engineering Services (AES)
 - a. EJCDC E-500 v. 2014 w/ 1780-26 modifications in Exhibit C, executed by Owner and Engineer after verbal concurrence from USDA
 - b. Funding analysis showing all project funding sources and all expenditures against those funding sources
 - c. Cost breakdown sheet (showing tasks, disciplines, rates, totals) provided by Engineer
 - d. Project schedule typically in the form of a gantt chart, provided by Engineer
 - e. Engineer discipline rate sheets, provided by Engineer
 - f. Insurance forms, provided by Engineer
 - g. RUS Bulletin 1780-26, Exhibit C, Attachment 2 version 6-2020, executed by Owner and Engineer after verbal concurrence from USDA
2. Engineering Service Amendments
 1. EJCDC E-500 Exhibit K, 2014 version
 2. Revised schedule (if schedule is changed)
 3. Cost breakdown sheet (if cost is changed)
 4. Exhibit K Summary Sheet provided by USDA
3. Bid Package (approval required before bidding, for all acquisitions above micropurchase and simplified acquisition thresholds)
 - a. See RUS Bulletin 1780-26, Exhibit B, Attachment 1
 - b. Plans
 - c. Specifications
4. *Simplified Acquisition Package (for acquisitions under \$50k, self certified)*
 - a. Copies of what was sent to suppliers, contractors, etc. to obtain quotes
 - b. Copies of quotes obtained (3 quotes required if >\$10k)
 - c. Copies of contract between Owner-Constructor
 - a. There are no standard contracts for a simplified acquisition but any non-standard pre-approved contracts would have to go through OGC. I recommend that they just use the EJCDC ones so we don't have to submit this for review.
 - d. Recommendation of Award Letter from Owner and Engineer
 - e. Summary of how the quotes were evaluated
 - f. AIS documents will still apply (1780-35.5.a(5)(a))
 - g. Other applicable Agency required forms for the contractor (RD 400-6, AD 1048, RD 1940-Q)
 - h. Updated project cost recap and detailed cost estimate
 - i. Updated project schedule
 - j. Updated funding analysis
5. Bid phase documents (required before bid opening)
 - a. All bid addenda, approval from USDA is required prior to release. Include RFIs.
 - b. RPR resumes of who will be working on this project
 - c. Outlook calendar invites of pre-bid and bid opening, with virtual conference spaces
 - d. Engineer's estimate (filled out bid tab with your estimates on it) with attached funding analysis
6. Award Package (required before Notice of Award)
 - a. Owner's request for RD's concurrence in the award of contract. Typically includes language of how the project was procured, concurring with the engineer, and requesting concurrence of award from USDA .

- b. Consulting Engineer's recommendation for award of contract
- c. Bid Tabulation, certified by Engineer
- d. Complete bid documents
- e. RD 400-6
- f. AD-1048
- g. 1940-Q.
- h. Affidavit of Publication
- i. Funding Analysis showing there is sufficient funds to execute the contract action
- j. Bonds – payment, performance
- k. Contractor insurance certificates

7. Pay Applications

- a. EJCDC C-620
- b. Contractor invoices
- c. Funding analysis

8. Change Orders

- a. Proposal or invoice from Contractor
- b. EJCDC C-941

9. Substantial Completion

- a. Contractor Provided:
 - i. O & M Manuals (Documents) – Delivered to Owner
 - ii. Training Documentation
 - iii. Materials and Laboratory Results – Submittals – (Compaction, In-Place Density, Concrete, Water etc.).
 - iv. As-Builts (Record Drawings) - Delivered to Owner
 - v. Final Pay Application and Final Change Order (if applicable)
 - vi. Builder's Warranty
 - vii. Certificate of Contractor's Release (RD Form 1924-9)
 - viii. Final Release & Waver of Lien for Subcontractors/Vendors/Suppliers – attached to RD 1924-10
 - ix. Consent of Surety Company to Final Payment – Delivered to Owner
 - x. Building Dept. Approval Tags, etc.
- b. Engineer Provided:
 - i. Notice of Substantial Completion
 - ii. Final Punch List
 - iii. Final Inspection
 - iv. Notice of Acceptability of Work
 - v. Final invoice(s) from engineer/RPR service
- c. USDA (New Mexico Rural Development)
 - i. Final Inspection (RD Form 1924-12)

10. Cost Overruns

- a. Submit a letter request for the specified cost overrun amount with supporting documentation from the bid opening
- b. Updated financial statements, revenues and expenses and balance sheet
- c. Certify there has been no change in the users. If there has been a change, please provide the updated Use and Income Estimate.
- d. O&M costs will need to be updated
- e. Has there been a change in the Short-Lived Assets since the original funds were obligated? If not, certify there has been no change.

- f. Has there been a change in the debt service and reserves? If not, certify there has been no change.
- g. Has there been a change to the other funding leveraged as part of the project? If not, certify there has been no change. Otherwise, please provide evidence of additional committed funds, i.e. award letter and/or loan/grant agreement(s)
- h. Funding analysis clearly showing how much the cost overrun request is for
- i. Bid form showing lowest bid or Engineer cost estimate overlayed on PER costs

11. Unliquidated Obligations Waiver

- a. Provide letter showing:
 - Why no RD funds have been issued to date (if applicable)
 - Why significant delays have occurred between advances
 - The status of the project
 - The need for any remaining undisbursed funds from RD
 - An estimate of when RD funds will be drawn down