

2.3.5 Permits, Certifications and Approvals Checklist and Policies

Many DPW projects involve at least one, if not multiple, permits, certificates, or approvals ("permits"). The permitting process can have a significant impact on a project's schedule and cost, and therefore requires constant attention by the consultant throughout the design and contract document phases. Some permits are required prior to construction while others are required for operation of the facility/equipment and therefore, have different lead time issues. For those permits requiring approval prior to construction, **DPW's policy is a project cannot go to bid until the necessary permits are obtained.**

For many of the larger capital improvement projects, this process can become the critical path on a project's schedule. For example, waiting to submit an application during the contract document phase often does not leave enough time to obtain the necessary approvals from regulatory agencies and can delay bidding for months. For this reason, the consultant should include a separate permit/approval section and track the status of such approvals through their project schedule.

To assist consultants in the permitting process, DPW has a *Checklist for Permits, Certifications, and Approvals* (DPW form 330L) and its companion document, *Instructions to the Department of Public Works Checklist for Permits, Certifications, and Approvals* (DPW Instructional Guide 330I). The consultant shall adhere to the following procedures and policies regarding permitting:

- The Checklist shall be submitted with the consultant's proposal and revised and resubmitted with each design submittal to the DPW APM/ASC/PM for all DPW Projects. Copies of the Checklist are to be sent to DPW Environmental Planning and DPW Code Services. Prior to submitting a Checklist, the consultant shall ensure it is using the latest Checklist version by checking on DPW's website (www.ct.gov/dpw) under "Forms."
- The consultant shall review each permit to determine if it is applicable to the project. For supplemental information about an individual permit, contact the appropriate agency or agency website for specific information or DPW's *Instructions to the Department of Public Works Checklist for Permits, Certifications, and Approvals* (DPW Instructional Guide 330I).
- The consultant shall coordinate with the appropriate agency(ies), complete all necessary application forms, and submit the permit(s) for the project, except as indicated below.
- All Department of Environmental Protection Inland Water Resources Division and State Traffic Commission correspondences and applications shall be coordinated with the DPW Supervising Environmental Analyst.
- For projects requiring DEP Inland Water Resources Division applications, the consultant shall make a request to the designated DPW PM and DPW Environmental Planning that the project be on DPW's DEP Project Priority List.
- For complex or significant regulatory involvement, DPW Environmental Planning shall be involved to participate and/or coordinate with the regulatory agencies and permitting process.

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- The consultant shall ensure all the required permits, certificates, and/or approvals are obtained for the project and that the design meets applicable state and federal laws and regulations.
- **Permits required prior to construction should be obtained during design development, but no later than the early part of the contract documents phase. The consultant shall notify in writing to the designated DPW PM any outstanding permits at 50% completion of contract documents.** This requires that the consultant's team read permit guidance documents, coordinate with DPW, the client agency, and regulatory agencies, and prepare permit applications during schematic design phase and have completed such permit applications at fifty percent (50%) design development phase and be ready for submittal to the appropriate agency.
- The consultant shall review all prior environmental documents for the project to determine required permits or other related issues. The consultant shall be responsible for reviewing any Connecticut Environmental Policy Act (CEPA) document, particularly if the CEPA process occurred prior to design, to ensure information relevant to design and construction are accurate, and that agreed upon mitigation measures in the documents can be incorporated into the design/construction and are incorporated into the contract documents (see sections 2.3.1 and 2.3.2).
- The consultant shall not submit the project for review or "approval" to any municipal land use commission or board, unless the designated DPW PM approves such review; however, such review is only a courtesy, since state actions are exempt from local approvals, **EXCEPT** for demolition permits (see "Demolition" section 2.4.9).

If additional study is required by a permitting agency, then an additional scope of work can be negotiated with the designated DPW PM for such services. DPW is responsible for all application fees, except for the "General Permit for the Discharge of Stormwater and Dewatering Wastewaters from Construction Activities," which shall be submitted and paid for by the General Contractor. However, in the case of the stormwater general permit, the Consultant shall complete all of the required information and include it in the construction contract documents for use by the general contractor (for more detail see "Storm Water Discharge Standards" section 2.3.2)

For questions or comments regarding the Checklist or for permitting coordination contact:

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