State of Connecticut, Department of Public Health
Drinking Water Division (DWD), Drinking Water State Revolving Fund (DWSRF)

PROJECT REVIEW FORM: DESIGN

Applicant: **Town:**
Project Description: **DWSRF Application No.:**
Reviewed by: **Date:**

Yes/ No[a]	Reference[c]:	Checklist Item:	State Regulation:
	Viability of PWS:		DEPRCTSA[b] 22a-482-3(a)2(F)
		Department of Public Utility Control (DPUC) review.	
		Office of the Treasurer (OTT) review.	
	Full Loan Application Contents:		
		An Engineering Report meeting all requirements of DEPRCTSA 22a-482-3(a). Note, refer to Engineering Report section page of this checklist.	DEPRCTSA 22a-482-2(c)2(A)
		Proposed subagreements , or an explanation of the awarding of subagreements.	DEPRCTSA 22a-482-2(c)2(B)
		Certified resolution adopted by Public Water System (PWS) authorizing a specific person to file the application and execute an agreement or documentation of ownership.	DEPRCTSA 22a-482-2(c)2(C)
		Value engineering commitment (if project cost >$10M).	DEPRCTSA 22a-482-2(c)2(D)
		Schedule for initiation and completion of project work.	DEPRCTSA 22a-482-2(c)2(F)
		Evidence that authorization by PWS (municipality, commission, association, owner, etc.) to proceed with design and construction of the project has been obtained.	DEPRCTSA 22a-482-2(c)2(G)
		Cash flow projection (anticipated loan drawdown schedule for project payments).	DEPRCTSA 22a-482-2(c)2(H)
		Commission on Human Rights and Opportunities (CHRO) Forms*: [ ] Contract Compliance, Information For Bidders/Contractors [ ] Notice to Bidders/Contractors [ ] Contract Compliance Requirements (Instruction Sheet) [ ] Contract Compliance Questionnaire [ ] EEO-4 Employment Data [ ] Affirmative Action Policy Statement [ ] CT Law Journal	DEPRCTSA 22a-482-2(d)25 CGS 46a-77 4a-60
	Subagreement Provisions: (Note, use separate checklist for each subagreement)		
		Identifies nature, scope and extent of work to be performed. Note, needs to identify eligible and non-eligible components.	DEPRCTSA 22a-482-4(f)2(A)i
		Time frame for performance.	DEPRCTSA 22a-482-4(f)2(A)ii
		Total cost of subagreement. Note, verify allowable costs based on eligible components.	DEPRCTSA 22a-482-4(f)2(A)iii
		Payment provisions.	DEPRCTSA 22a-482-4(f)2(A)iv
		Compliance with State and Federal equal opportunity laws and regulations.	DEPRCTSA 22a-482-2(d)25 & 4(f)2(B)
		Inclusion of DEPRCTSA subdivisions 22a-482-4(f)3(A) to(L).	DEPRCTSA 22a-482-4(f)3
	Force Account:		
		Department's approval prior to implementing.	DEPRCTSA 22a-482-4(h)13(A)

a. Has this item met DWSRF requirements? Note, if not applicable, fill in NA.
b. Department of Environmental Protection Regulations of Connecticut State Agencies (DEPRCTSA) [revised 11/29/91]
c. Document, date and location in document as deemed necessary.
***These items must be implemented as part of any engineering agreement or construction contract.**

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Yes/ No[a]	Reference:	Checklist Item:	State Regulation:
	Procurement of Engineer/Consultant: **Note, if same Engineer used, refer to planning checklist.**		DEPRCTSA 22a-482-4(i)2(B)
		Verification that PWS has taken affirmative steps to assure WBE/MBE requirements.	DEPRCTSA 22a-482-4(h)9
		Type of Contract: [ ] Cost Reimbursement [ ] Fixed Price [ ] Compensation [ ] Per Diem (only if Cost Reimbursement & Fixed proven not appropriate)	DEPRCTSA 22a-482-4(i)1
		Verification of adequate public notice (advertisement) for a request of qualifications, including a deadline and place for the submission of qualifications. [Quality-Based Selection (QBS)]	DEPRCTSA 22a-482-4(i)2(A) & 4(i)6(B)i
		Requests for qualifications and/or proposals must include the following statement or equivalent thereof: "Any contract awarded under this request for qualifications or professional proposals is expected to be funded by a loan from the State of Connecticut Drinking Water State Revolving Fund and will be subject to requirements of Sections 22a-482-4(h), (i) and (o) of the Clean Water Fund Regulations. The State of Connecticut will not be a party to this request or any resulting contract."	DEPRCTSA 22a-482-4(i)9(A)
		Verification of objective evaluation of qualifications based on: [QBS] [ ] experience and technical competence. [ ] past record of performance. [ ] capacity to perform work. [ ] familiarity with type of project.	DEPRCTSA 22a-482-4(i)3 & 4(i)6(B)i
		Solicitation and evaluation of proposals: [QBS] [ ] written requests for services proposals containing evaluation criteria sent to no fewer than three candidates, including a deadline and place of submission, as well as a description of the project. [ ] objective and uniform evaluation by PWS.	DEPRCTSA 22a-482-4(i)4 & 4(i)6(B)i
		A copy of proposed subagreement including cost and pricing as well as certification of review and acceptance by PWS for selected entity. Note, subagreement must clearly establish price ceiling.	DEPRCTSA 22a-482-4(i)6(B)i, ii, & iv
		Proposed subagreement costs: [ ] as a minimum, costs are presented on EPA Form 5700-41. [ ] identifies profit separately.	DEPRCTSA 22a-482-4(i)6(D)
	DPH Approval:		
		Department's review and written approval of complete subagreement procurement procedure for compliance with appropriate procedures before the PWS awards subagreement.	DEPRCTSA 22a-482-4(i)6(C) & 4(i)8(A)
	Bond Commission:		
		Request. (contingencies ≤ 5% per OTT and submit request to DEP a minimum of 6 weeks prior to Bond Commission's scheduled meeting)	
		Approval.	

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Yes/ No[a]	Reference:	Checklist Item:	State Regulation:
Engineering Report:			
		Identifies State permits needed: [ ] DEP - diversion. [ ] DPH - sale of excess water, water company land. [ ] DPUC - certificate.	
		General: [ ] Identifies need for project. [ ] Evaluates all feasible alternatives. [ ] Demonstration that the selected alternative is cost effective(i.e. meeting water quantity or quality goals while recognizing environmental considerations).	DEPRCTSA 22a-482-3(a)1
		Detailed evaluation of existing problems/needs in the study area.	DEPRCTSA 22a-482-3(a)2(A)
		A cost effective analysis of alternatives available to correct the problem or address the need.	DEPRCTSA 22a-482-3(a)2(B)
		The relationship of the size and capacity of the recommended facilities to the needs to be served, including any reserve capacity.	DEPRCTSA 22a-482-3(a)2(B)i & 22a-482-3(h)
		If applicable, a summary of public participation conducted in the development of the engineering report.	DEPRCTSA 22a-482-3(a)2(E) & 22a-482-3(a)3
		Statement/Assessment demonstrating PWS has the necessary legal, financial, institutional and managerial resources to insure construction and O&M.	DEPRCTSA 22a-482-3(a)2(F)
		Estimated capital construction and O&M costs.	DEPRCTSA 22a-482-3(a)2(H)i
		Cost impacts on PWS customers.	DEPRCTSA 22a-482-3(a)2(H)iii
		Statement concerning the availability and estimated costs of any proposed project sites.	DEPRCTSA 22a-482-3(a)2(H)iv
		Environmental Review: An adequate assessment of expected environmental impacts (i.e. will Environmental Impact Evaluation or Finding of No Significant Impact - FONSI be required). Note, the DPH will make this assessment on certain design and construction projects.	DEPRCTSA 22a-482-2(d)25 &3(a)4; CT Envir. Policy Act & CGS 22a-1a through 22a-1h
		FONSI: [ ] Check Department of Environmental Protection's environmental classification document. [ ] Check Conservation and Development Plan. [ ] Includes: description, need, alternatives, environmental impact, planning objectives, mitigation of impacts, summary of public participation. [ ] Public Notice allowing for 30 day comment period. Department's response to comments. [ ] Office of Policy concurrence.	

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Yes/ No	Reference:	Checklist Item:	State Regulation:
	Formal Advertising (Legal Notice) of Bid Document:		DEPRCTSA 22a-482-4(j)2
		Statement of work to be performed**.**	DEPRCTSA 22a-482-4(j)2(C)i
		Publication in newspapers and/or journals of general circulation beyond a PWS's locality (i.e. statewide, if >$10M - nationwide).	DEPRCTSA 22a-482-4(j)2(A)
		Method and location where plans and specifications can be obtained or examined.	DEPRCTSA 22a-482-4(j)2(A)
		At least 30 days from the publication to the bid opening.	DEPRCTSA 22a-482-4(j)2(B)
	BID DOCUMENT (Also recommended in Legal Notice/ Formal Advertising)		
		Schedule completion time.	DEPRCTSA 22a-482-4(j)2(C)i
		Terms and conditions of contract to be awarded (i.e. lowest, responsible, responsive and qualified)**.**	DEPRCTSA 22a-482-4(j)2(C)ii & 4(j)2(H)
		Explanation of the method of bidding, bid evaluation, and award (i.e. sealed bids, public opening of bids, etc.)**.**	DEPRCTSA 22a-482-4(j)2(C)iii & 4(j)2(D)
		Statement - "Any contract or contracts awarded under this invitation for bids are expected to be funded by a loan from the State of Connecticut Drinking Water State Revolving Fund. Neither the State of Connecticut nor any of its Departments, agencies, or employees is or will be a party to this invitation for bids or any resulting contract. This procurement will be subject to the requirements contained in subsections (h), (j) and (o) of DEPRCTSA 22a-482-4."	DEPRCTSA 22a-482-4(j)2(C)v
		State prevailing wage rates are to be paid on this project. (applicable for new projects >$400,000 and existing replacement/rehabilitation projects >$100,000)**. Note, highly recommended in legal notice.**	DEPRCTSA 22a-482-4(j)2(C)vii & CGS 31-53
		Addenda to bid documents may be issued up to 5 days prior to the bid opening and in writing.	DEPRCTSA 22a-482-4(j)2(E)
		Bid modifications and withdrawal is allowed up to bid opening.	DEPRCTSA 22a-482-4(j)2(F)
		5% bid bond.	
		Contract subject to meeting MBE/WBE requirements. **Note, highly recommended in legal notice.**	DEPRCTSA 22a-482-4(h)9

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	BID DOCUMENT Bonding:		
		100% payment bond.(projects >$25,000)	
		100% performance bond. (projects >$25,000)	
	BID DOCUMENT Insurance: (recommended minimum)		
		Worker's Compensation.	
		Contractor - Comprehensive & General Liability ($1,000,000) and Property Damage ($500,000).	
		Contractor - Comprehensive Auto Liability ($1,000,000) and Property Damage ($500,000).	
		Owner - Protective Liability ($1,000,000) and Property Damage ($500,000).	
		All risk Insurance, if applicable.	
	BID DOCUMENT Plans and Technical Specifications:		
		Scaled drawings.	
		Bid materials section include statements with respect to two brand/trade names or equal for all eligible components.	DEPRCTSA 22a-482-4(h)12(A)
		Meets Public Health Code (PHC) requirements per guidance document.	19-13-B102 & B51
	BID DOCUMENT Miscellaneous:		
		Maximum retainage on payments (5%).	DEPRCTSA 22a-482-4(n)1(A)
		Enforcement of payment of general contractor to subcontractor.	CGS 49-41b
		Substitution of securities for retainage.	DEPRCTSA 22a-482-4(n)1(A) & CGS3-112a
		Nondiscrimination clause.	DEPRCTSA 22a-482-4(p)2 & CGS 4-114a
		Executive Order 3.	DEPRCTSA 22a-482-4(p)2
		Prevailing State Wage Rates (applicable for new projects >$400,000 and existing replacement/rehabilitation projects >$100,000).	DEPRCTSA 22a-482-4(p)3 & CGS 31-53
		Executive Order 17	
		Bidder's Qualification Statement.	
		Bidder's Non-Collusion Affidavit.	
		Agreement between Public Water System (PWS) and contractor. Note, agreement must include DWSRF contract requirements.	
		Bid Proposal (quantities, unit prices, etc.) consistent with specifications. Note, non-eligible items must be identified separately.	
		Inclusion of copies of Clean Water Fund Regulations Sections 22a-482-4(g) or equivalent, (h), (j) and (o).	DEPRCTSA 22a-482-4(g) & (j)2(C)vi
		Provisions for reporting and recovering archaeological finds (i.e. notification list, requirement to report, penalties for removing artifacts, stop work, etc.)	
		U.S. Department of Labor "Safety and Health Standards" standard paragraph or similar.	
		Reference to use of Project Sign and a detail of it, if deemed applicable.	
		Statement allowing access to the site and project records by DPH, DEP or authorized State representatives.	DEPRCTSA 22a-482-4(p)4
		Protection of traffic.	
		Pavement and landscape restoration.	
		Contractor exempt purchase certificate-exemption of sales & use tax (verify for DPH use).	
		Liquidated damages amount.	
		Change order profit amounts.	DEPRCTSA 22a-482-4(k)6

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Yes/ No	Reference:	Checklist Item:	State Regulation:
Auditing:			
		An applicant shall have all project costs audited by an independent public accountant approved by the State.	DEPRCTSA 22a-482-2(d)17 & 4(s)7

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