

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

PROJECT REVIEW FORM: PLANNING

Applicant:
Project Description:
Reviewed by:

Town:
DWSRF Application No.:
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:			
		Identification of proposed planning area.	DEPRCTSA 22a-482-2(c)1(A)i
		Identification of entity or entities that will be conducting the planning.	DEPRCTSA 22a-482-2(c)1(A)ii
		Nature and scope of proposed planning project.	DEPRCTSA 22a-482-2(c)1(A)iii
		Schedule for completion of tasks.	DEPRCTSA 22a-482-2(c)1(A)iii
		Itemized description of the estimated report costs, including contingencies (≤ 10%)	DEPRCTSA 22a-482-2(c)1(A)iv
		Proposed subagreements , or an explanation of the awarding of subagreements.	DEPRCTSA 22a-482-2(c)1(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)1(C)
		Evidence that authorization by PWS (municipality, commission, association, owner, etc.) to proceed with planning has been obtained.	DEPRCTSA 22a-482-2(c)1(C)
		Cash flow projection. (anticipated loan drawdown schedule for project payments).	DEPRCTSA 22a-482-2(c)1(D)
		Commission on Human Rights and Opportunities (CHRO) Forms [*] : <input type="checkbox"/> Contract Compliance, Information For Bidders/Contractors <input type="checkbox"/> Notice to Bidders/Contractors <input type="checkbox"/> Contract Compliance Requirements (Instruction Sheet) <input type="checkbox"/> Contract Compliance Questionnaire <input type="checkbox"/> EEO-4 Employment Data <input type="checkbox"/> Affirmative Action Policy Statement <input type="checkbox"/> 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 with 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.

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Yes/ No	Reference:	Checklist Item:	State Regulation:
Procurement of Engineer/Consultant:			
		Verification that PWS has taken affirmative steps to assure WBE/MBE requirements.	DEPRCTSA 22a-482-4(h)9
		Type of Contract (subagreement): <input type="checkbox"/> Cost Reimbursement <input type="checkbox"/> Fixed Price <input type="checkbox"/> Compensation <input type="checkbox"/> Per Diem (only if Cost Reimbursement & Fixed Price 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] <input type="checkbox"/> experience and technical competence. <input type="checkbox"/> past record of performance. <input type="checkbox"/> capacity to perform work. <input type="checkbox"/> familiarity with type of project.	DEPRCTSA 22a-482-4(i)3 & 4(i)6(B)i
		Solicitation and evaluation of proposals: [QBS] <input type="checkbox"/> 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. <input type="checkbox"/> 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)ii, iii, & iv
		Proposed subagreement costs: <input type="checkbox"/> as a minimum, costs are presented on EPA Form 5700-41. <input type="checkbox"/> 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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Engineering Report:			
		Identifies State permits needed: <input type="checkbox"/> DEP - diversion. <input type="checkbox"/> DPH - sale of excess water, water company land. <input type="checkbox"/> DPUC - certificate.	
		General: <input type="checkbox"/> Identifies need for project. <input type="checkbox"/> Evaluates all feasible alternatives. <input type="checkbox"/> 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)
		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).	DEPRCTSA 22a-482-2(d)25&3(a)4; CT Envir. Policy Act & CGS 22a-1a through 22a-1h
		FONSI: <input type="checkbox"/> Check Department of Environmental Protection's environmental classification document. <input type="checkbox"/> Check Conservation and Development Plan. <input type="checkbox"/> Includes: description, need, alternatives, environmental impact, planning objectives, mitigation of impacts, summary of public participation. <input type="checkbox"/> Public Notice allowing for 30 day comment period. Department's response to comments. <input type="checkbox"/> Office of Policy concurrence.	
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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