

**KENTUCKY FEDERALLY ASSISTED
DRINKING WATER AND CLEAN WATER STATE REVOLVING FUND
PLANS AND SPECIFICATIONS REVIEW CHECKLIST**

Loan Recipient: _____

Loan No.: _____

Contract ID (Name and #): _____

Name: _____

Design Firm: _____

The information provided is accurate for the above referenced contract to the best of my knowledge and belief.

Design Engineer: _____

Signature: _____ Date: _____

Please submit three copies of the plans and specifications with the other required construction permit forms and documents to the Division of Water. All plans and specifications must be prepared, sealed, signed and dated by a Professional Engineer licensed to practice in the state of Kentucky.

Note!

When the project is advertised a copy of the advertisement must be submitted to the Division of Water immediately.

Questions marked with (DOW) are to be completed by the Division of Water (DOW) Review Engineer.

I have reviewed the information provided by the design engineer, verified the accuracy, and completed the **(DOW)** questions.

(DOW) Review Engineer: _____

Signature: _____ Date: _____

Loan Recipient: _____

Loan No.: _____

Projected Sources of Funds

Source	Amount
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____

Contract Period, Number of Days: _____

Estimated Construction Amount: \$ _____ SRF Loan Amount \$ _____

SRF Eligible Amount: \$ _____ SRF Non-eligible Amount: \$ _____

Detailed description of proposed project:

Does the eligible portion include:

These questions are for ALL projects

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Demolition: Is it limited to that required for new construction?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Replacement of existing utilities: Is no "betterment" proposed?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Paving: Is it limited to the trench width and cutbacks?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Standby generators: Has justification been provided?

These questions are for CW Projects only

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Collector sewers: Is more than 50% of the expected flow from a community constructed prior to October 18, 1972?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Property service lines: Are they limited to the "Tee or Wye" and the service line needed to reach the property line and owned by the utility?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sewer cleaning machines: Has justification been provided?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sewer line inspection television equipment: Has justification been provided?

The following items are considered ineligible for SRF projects. Are any of these included in the specifications?

These questions are for ALL projects

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Bonus payments?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Immediately available hand tools?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mowers, snow blowers, trimmers?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Replacement of facilities previously funded by EPA or SRF, which are still within the useful life unless EPA or SRF has approved abandonment?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Redundant facilities (unless required by state or federal reliability requirements)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Routine maintenance items (oil, grease, filters, etc.)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Utility vehicles/golf carts?

List all SRF loan ineligible items in the project:

General

These questions are for ALL projects

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1a. Are permits to construct required from other Federal or State Agencies? If yes, indicate which Agencies. <hr/> <hr/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1b. Have the required permits been issued? Provide the DOW with copies.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1c. Have the required permits been applied for?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. If the project includes work that will cumulatively disturb more than 200 linear feet of a blue line stream as shown on a USGS 7.5-min. topographic map, has an application for 401 Certification been submitted to the DOW Water Quality Section?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. If the project involves construction within a floodplain, including stream crossings, has an application for the appropriate permits been submitted to the DOW Floodplain Management Section?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. If the loan recipient has requested to buy equipment and be exempt from sales tax, are the specifications written to accommodate this?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Have all required easements been obtained? NOTE: Clear Site Certificate is required before construction starts.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. If this project is a result of a DOW enforcement action, have all mandated construction related activities been addressed in the scope of work for this project? Notify the Division of Enforcement.

These questions are for DW Projects only

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. Are electric motors and components above the 100-year flood elevation?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. Are buildings protected from the 100-year flood and usable at the 25-year flood level?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. Does this project eliminate any existing water treatment plants?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10a. If this proposed project includes a sludge lagoon system has the DOW Groundwater Section been contacted regarding the need for a Groundwater Protection Plan (GWPP)?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10b. Is a GWPP required? Provide copies of correspondence.

*These questions are for **CW** Projects only*

- | <u>Yes</u> | <u>No</u> | <u>N/A</u> | |
|--------------------------|--------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 11. Does this design meet the 401 KAR 5:005, Section 13 reliability requirements? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 12. Has the design engineer provided demonstration of how the design meets the reliability requirements? This shall include calculations, which indicate that the permit limits can be met with the largest unit of each process out of service during times of anticipated cleaning and repair. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 13. Does this project eliminate any existing wastewater treatment plants? |

*These questions are for the **DOW** Review Engineer to answer*

- | <u>Yes</u> | <u>No</u> | <u>N/A</u> | |
|--------------------------|--------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 14. Does the DOW review engineer concur with the description of SRF ineligible items? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 15. Are the plans and specifications sealed, signed, and dated by a professional engineer? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 16a. Has the DOW written or issued an Environmental Statement (Environmental Impact Statement (EIS), Categorical Exclusion Document (CED), or a Finding of No Significant Impact (FONSI))? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 16b. Is the scope of the SRF project identified in the plans and specifications consistent with the Environmental Statement? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 17. Has a site certificate been received?
NOTE: Clear Site Certificate is required before construction starts. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 18. Does the WWTP discharge to a blue line stream or are easements provided to a blue line stream? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 19. Is the discharge from the WWTP within five miles upstream of a water plant intake? |

Clearinghouse Comments

These questions are for ALL projects

<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>The Recipient has:</u>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1a. Obtained Kentucky Department of Transportation encroachment permits?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1b. Has applied for Kentucky Department of Transportation encroachment permits?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Has assigned a place in the Contract Documents for Wage Determinations for federal wage rates? NOTE: The U.S. Department of Labor must be contacted for Wage Determinations when the Advertising Date is known. Davis-Bacon Wage Determinations may have to be added by Addendum if they change while the project is advertised.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. If state labor laws apply, do specifications indicate overtime pay is required for work in excess of an 8-hour day?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. If sludge is to be disposed of in a landfill, has the landfill operator provided a letter of intent?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. If sludge is to be land-farmed, has Division of Waste Management approved the proposed site? (Note: Submit copy of approval letter.)

This question is for CW Projects only

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. If land farming is proposed, does WWTP include a process to significantly reduce pathogens (PSRP)?

Proposal

These questions are for ALL projects

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Have SRF eligible and ineligible items been separated?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. What is the time of completion? _____ days
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. If the contract allows for substitution of equipment, is the method for determining the low bidder clearly indicated?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Has a base bid and any alternatives been specified?
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Are there any special conditions on evaluating lump sum contract? Please specify: _____

Environmental Considerations

*These questions are for **CW** Projects only*

- | <u>Yes</u> | <u>No</u> | <u>N/A</u> | |
|--------------------------|--------------------------|--------------------------|---------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. If the project includes a proposed WWTP, is it located within 200 feet of any present or future residence? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Have provisions been made to prevent by-passing during construction? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. If a construction permit is not necessary, has a reason been provided for not needing one? |

*These questions is for the **DOW** Review Engineer to answer*

- | <u>Yes</u> | <u>No</u> | <u>N/A</u> | |
|--------------------------|--------------------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. If bypass is proposed, have we coordinated with the DOW Regional Office or EPA Facilities Performance Branch, whichever is applicable? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. If the project includes an increase in WWTP capacity, modifications due to a change in effluent limits, or relocation of the discharge point have both a construction permit application and a KPDES permit application been submitted?
NOTE: KPDES permit must be submitted before a construction permit and Authorization to Bid is issued. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 6. Is the reason for not needing a construction permit justified by 401 KAR 5:005? |

Specifications and Contract Documents

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Have the specifications been prepared in accordance with Section 204 (a) (6) of P.L. 92-500? (Listing of one brand name followed by or equal).
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Are bid schedules written to not lead bidders and suppliers to believe that there is only one brand permitted for bidding the project?

NOTE: (DOW) column on the left is for DOW Review Engineer verification. Design Engineer must list the sections and page numbers for all items. Not completing these items is a reason for this project to receive a Notice of Deficiency.

Invitation to Bid or Advertisement

(DOW)	Section	Page	
<input type="checkbox"/>	_____	_____	1. Time and place of Bid Opening.
<input type="checkbox"/>	_____	_____	2. Where plans and specs may be obtained.
<input type="checkbox"/>	_____	_____	3. Work to be performed.
<input type="checkbox"/>	_____	_____	4. A statement bidders must comply with Title VI of the Civil Rights Act of 1964, the Anti-Kickback Act, and the Contract Work Hours Standard Act.
<input type="checkbox"/>	_____	_____	5. A statement that bidders must comply with the President’s Executive Order No. 11246 as amended, which prohibits discrimination in employment regarding race, creed, color, sex or national origin.
<input type="checkbox"/>	_____	_____	6. This project will be in compliance with Executive Order 11246 (Equal Employment Opportunity) as amended.
<input type="checkbox"/>	_____	_____	7. A statement that the Contractor/Subcontractor will comply with 41 CFR 60-4, in regard to affirmative action, to insure equal opportunity to females and minorities and will apply the time tables and goals set forth in 41 CFR 60-4.
<input type="checkbox"/>	_____	_____	8. A statement that the bidder will make positive efforts to use small, minority, women owned and disadvantaged businesses.
<input type="checkbox"/>	_____	_____	9. A statement that this procurement will be subject to DOW Procurement Guidance including the Davis-Bacon Act.
<input type="checkbox"/>	_____	_____	10. A statement that the contract is being funded in part with a SRF loan.
<input type="checkbox"/>	_____	_____	11. A statement that the award will be made to the lowest, responsive, responsible bidder.

Instructions to Bidders, General and Special Conditions

(DOW)	Section	Page	
<input type="checkbox"/>	_____	_____	1. Bid Bond Requirements (5% for Contracts over \$100,000).
<input type="checkbox"/>	_____	_____	2. 100% Performance Bond and 100% Payment Bond for contracts over \$100,000. Single Payment and Performance Bonds may be used for contracts under \$100,000. Performance Bond must be valid for one year beyond date of acceptance of the completed project.
<input type="checkbox"/>	_____	_____	3. Method of Award (to the low responsive, responsible bidder unless all bids are rejected). Refer to 40 CFR 31.36(d). All bids shall not be rejected without proper justification.
<input type="checkbox"/>	_____	_____	4. Basis for determining responsiveness and responsibility of low bidder.
<input type="checkbox"/>	_____	_____	5. Contract Time: _____ days.
<input type="checkbox"/>	_____	_____	6. Liquidated Damages: _____ dollars per day.
<input type="checkbox"/>	_____	_____	7. Criteria that are used to evaluate proposed "equal" products.
<input type="checkbox"/>	_____	_____	8. Workmen's Compensation Insurance.
<input type="checkbox"/>	_____	_____	9. Public Liability Insurance.
<input type="checkbox"/>	_____	_____	10. Fire and extended coverage insurance (Builders Risk).
<input type="checkbox"/>	_____	_____	11. Reasonable care shall be taken during construction to avoid damage to vegetation. Ornamental shrubbery and tree branches shall be temporarily tied back, where appropriate, to minimize damage. Trees that receive damage to branches shall be trimmed of those branches to improve the appearance of the tree. Tree trunks receiving damage from equipment shall be treated with a tree dressing.
<input type="checkbox"/>	_____	_____	12. Compliance with OSHA (P.L. 91-596) and the Contract Work Hours and Safety Standards Act (P.L. 91-54).
<input type="checkbox"/>	_____	_____	13. A statement that change orders to the construction contract must comply with DOW Procurement Guidance for Construction and Equipment Contracts.
<input type="checkbox"/>	_____	_____	14. Does the contract require cost, pricing, and certification for change orders exceeding \$100,000 as required by DOW Procurement Guidance for Construction and Equipment Contracts?
<input type="checkbox"/>	_____	_____	15. Does the contract require that the contractor provide project construction and payment schedules?

(DOW)	Section	Page	
<input type="checkbox"/>	_____	_____	16. Compliance with Title VI of the Civil Rights Act of 1964, the Anti-Kickback Act and the contract Work Hours Standards Act.
<input type="checkbox"/>	_____	_____	17. Provisions for timely periodic payments and for limiting retainage (40 CFR 31.36).
<input type="checkbox"/>	_____	_____	18. Provision to obtain a Section 404 permit from the Corps of Engineers, if applicable.
<input type="checkbox"/>	_____	_____	19. A statement in regard to minimizing siltation and soil erosion during construction.

*This question is for **CW** Projects only*

<input type="checkbox"/>	_____	_____	20. A statement that no wastewater by-passing will occur during construction unless a schedule has been approved by the State and/or by EPA/NEPA permit if required.
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American Iron and Steel Requirement (AIS)

*These questions are for **ALL** projects*

<u>Yes</u>	<u>No</u>	<u>N/A</u>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Are any of the following included in the project? Please indicate which apply:
			<input type="checkbox"/> Lined or unlined pipes or fittings
			<input type="checkbox"/> Manhole Covers
			<input type="checkbox"/> Municipal Castings (defined in more detail on page 11)*
			<input type="checkbox"/> Hydrants
			<input type="checkbox"/> Tanks
			<input type="checkbox"/> Flanges
			<input type="checkbox"/> Pipe clamps and restraints
			<input type="checkbox"/> Valves (EPA considers only the significant iron and steel components of a covered valve or hydrant – the body, bonnet, shoe, stem, and wedge/disc/gate/ball – to be within the definition of “iron and steel products”)
			<input type="checkbox"/> Structural steel (defined in more detail on page 12) **
			<input type="checkbox"/> Reinforced precast concrete
			<input type="checkbox"/> Construction materials (defined in more on page 12) ***

Yes No N/A

2. Will the Iron and Steel components for the items above or for construction, alteration, maintenance or repair of a Public Water System or Treatment Works be manufactured in the United States? *The term "iron and steel products" means the following products made primarily of iron or steel: lined or unlined pipes and fittings, manhole covers and other municipal castings, hydrants, tanks, flanges, pipe clamps and restraints, valves, structural steel, reinforced precast concrete, and construction materials.*

3. Are any waivers of the American Iron and Steel being requested? (Only EPA can issue waivers to authorize the use of a non-domestic item. If you answered item 1 yes and item 2 no, your project is NOT eligible for SRF funding. Please contact Terry Humphries at the DOW at (502) 782-6983.

4. Contracts must contain the following clause requiring compliance with the AIS requirements provided at the top of page 11. †
Please indicate page number containing the AIS clause _____.

†The Contractor acknowledges to and for the benefit of the _____ ("Purchaser") and the _____ (the "State") that it understands the goods and services under this Agreement are being funded with monies made available by the Clean Water State Revolving Fund and/or Drinking Water State Revolving Fund that have statutory requirements commonly known as "American Iron and Steel;" that requires all of the iron and steel products used in the project to be produced in the United States ("American Iron and Steel Requirement") including iron and steel products provided by the Contractor pursuant to this Agreement. The Contractor hereby represents and warrants to and for the benefit of the Purchaser and the State that (a) the Contractor has reviewed and understands the American Iron and Steel Requirement, (b) all of the iron and steel products used in the project will be and/or have been produced in the United States in a manner that complies with the American Iron and Steel Requirement, unless a waiver of the requirement is approved, and (c) the Contractor will provide any further verified information, certification or assurance of compliance with this paragraph, or information necessary to support a waiver of the American Iron and Steel Requirement, as may be requested by the Purchaser or the State. Notwithstanding any other provision of this Agreement, any failure to comply with this paragraph by the Contractor shall permit the Purchaser or State to recover as damages against the Contractor any loss, expense, or cost (including without limitation attorney's fees) incurred by the Purchaser or State resulting from any such failure (including without limitation any impairment or loss of funding, whether in whole or in part, from the State or any damages owed to the State by the Purchaser). While the Contractor has no direct contractual privity with the State, as a lender to the Purchaser for the funding of its project, the Purchaser and the Contractor agree that the State is a third-party beneficiary and neither this paragraph (nor any other provision of this Agreement necessary to give this paragraph force or effect) shall be amended or waived without the prior written consent of the State.

***Municipal castings** are cast iron or steel infrastructure products that are melted and cast. They typically provide access, protection, or housing for components incorporated into utility owned drinking water, storm water, wastewater, and surface infrastructure. They are typically made of grey or ductile iron, or steel. Examples of municipal castings are: Access Hatches; Ballast Screen; Benches (Iron or Steel); Bollards; Cast Bases; Cast Iron Hinged Hatches, Square and Rectangular; Cast Iron Riser Rings; Catch Basin Inlet; Cleanout/Monument Boxes; Construction Covers and Frames; Curb and Corner Guards; Curb Openings; Detectable Warning Plates; Downspout Shoes (Boot, Inlet); Drainage Grates, Frames and Curb Inlets; Inlets; Junction Boxes; Lampposts; Manhole Covers, Rings and Frames, Risers; Meter Boxes; Service Boxes; Steel Hinged Hatches, Square and Rectangular; Steel Riser Rings; Trash receptacles; Tree Grates; Tree Guards; Trench Grates; Valve Boxes, Covers and Risers.

****Structural steel** is rolled flanged shapes, having at least one dimension of their cross-section three inches or greater, which are used in the construction of bridges, buildings, ships, railroad rolling stock, and for numerous other constructional purposes. Such shapes are designated as wide-flange shapes, standard I-beams, channels, angles, tees and zees. Other shapes include H-piles, sheet piling, tie plates, cross ties, and those for other special purposes.

*****Construction materials** are those articles, materials, or supplies made primarily of iron and steel, that are permanently incorporated into the project, not including mechanical and/or electrical components, equipment and systems. Some of these products may overlap with what is also considered "structural steel". This includes, but is not limited to, the following products: wire rod, bar, angles, concrete reinforcing bar, wire, wire cloth, wire rope and cables, tubing, framing, joists, trusses, fasteners (i.e., nuts and bolts), welding rods, decking, grating, railings, stairs, access ramps, fire escapes, ladders, wall panels, dome structures, roofing, ductwork, surface drains, cable hanging systems, manhole steps, fencing and fence tubing, guardrails, doors, and stationary screens.

NOTE: Mechanical and electrical components, equipment and systems are not considered construction materials. Mechanical equipment is typically that which has motorized parts and/or is powered by a motor. Electrical equipment is typically any machine powered by electricity and includes components that are part of the electrical distribution system.

Fiscal Sustainability and Cost & Effectiveness (CWSRF Only)

Loan recipients with CWSRF projects with a SRF application submitted on or after October 1, 2014 (Fiscal Sustainability) and/or October 1, 2015 (Cost Effectiveness) are required to develop a Fiscal Sustainability Plan and/or perform a Cost and Effectiveness Analysis for the proposed project. Guidance for these requirements can be found on EPA’s [Water Resources Reform and Development Act Guidance](#) webpage. To demonstrate compliance, the loan recipient is required to submit certification to the DOW that these requirements have been met which can be found at the Division of Water’s [SRF Forms Library](#) webpage.

- | <u>Yes</u> | <u>No</u> | <u>N/A</u> | |
|--------------------------|--------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. Was the CWSRF loan application submitted after October 1, 2015 (DOW is using the KIA Board date as the submittal date)?
If No, when? _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Has a Fiscal Sustainability Plan Self Certification been attached as required? |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. Has a Cost & Effectiveness Self Certification been attached as required? |

Supplemental General Conditions

Have the Supplemental General Conditions (August 2019) been included in the specifications?

If not, has the required wording/information from the referenced attachments been included?

*These questions are for the **DOW** Review Engineer to answer*

Yes

No

N/A

1. Have the technical specifications been written to assure the maximum competition?
 - a. No unjustified experience clause (over five years, excessive construction for a time period).
 - b. Use of brand name or equal in specifications.
 - c. If manufacturers are listed on the bid schedule, at least three manufacturers should be listed (may ask for manufacturer if manufacturer names are not listed on bid schedule).

**DOW Review Engineer, forward Pages 14, 15, 16, and 17
and give to SRF & SPAP Section Project Administrator**

Note: The consultant must complete this section for each contract. If not applicable, complete where appropriate and explain.

AREAS OF WORK – DISADVANTAGED BUSINESS ENTERPRISE

Loan Recipient: _____ Loan No.: _____

Project Name: _____

Utility: _____

Contact Person: _____

Address: _____

Phone No: _____

Consultant: _____

Contact Person: _____

Address: _____

Phone No.: _____

Contract No./Type: _____ Estimated Bid Date: _____

This contract will include the following work:

General Construction

	<u>Check if Included</u>	<u>Estimated Cost</u>
Backhoe	<input type="checkbox"/>	\$ _____
Concrete Construction	<input type="checkbox"/>	\$ _____
Concrete Finishers	<input type="checkbox"/>	\$ _____
Demolition	<input type="checkbox"/>	\$ _____
Excavating	<input type="checkbox"/>	\$ _____

	<u>Check if Included</u>	<u>Estimated Cost</u>
General Construction	<input type="checkbox"/>	\$ _____
Material Haulers	<input type="checkbox"/>	\$ _____
Seeding	<input type="checkbox"/>	\$ _____
Sodding	<input type="checkbox"/>	\$ _____
Surveyors	<input type="checkbox"/>	\$ _____
Pipe Layers	<input type="checkbox"/>	\$ _____

Building Construction

	<u>Check if Included</u>	<u>Estimated Cost</u>
Drywall	<input type="checkbox"/>	\$ _____
Electrical Contractors	<input type="checkbox"/>	\$ _____
Flooring	<input type="checkbox"/>	\$ _____
HVAC	<input type="checkbox"/>	\$ _____
Insulation	<input type="checkbox"/>	\$ _____
Landscaping	<input type="checkbox"/>	\$ _____
Masonry	<input type="checkbox"/>	\$ _____
Painting Contractors	<input type="checkbox"/>	\$ _____
Plaster	<input type="checkbox"/>	\$ _____
Plumbing	<input type="checkbox"/>	\$ _____
Roofing	<input type="checkbox"/>	\$ _____
Sandblasting	<input type="checkbox"/>	\$ _____
Sprinkler System Installation	<input type="checkbox"/>	\$ _____
Wiring	<input type="checkbox"/>	\$ _____

Roadway Construction

	<u>Check if Included</u>	<u>Estimated Cost</u>
Asphalt Removal	<input type="checkbox"/>	\$ _____
Guardrail Work	<input type="checkbox"/>	\$ _____
Roadway and Right-of-Way Work	<input type="checkbox"/>	\$ _____

Water Line Construction

	<u>Check if Included</u>	<u>Estimated Cost</u>
Pipe Fabrication	<input type="checkbox"/>	\$ _____
PVC or D.I. Pipe Supplier	<input type="checkbox"/>	\$ _____
Water Line Work	<input type="checkbox"/>	\$ _____
Water Valve Supplier	<input type="checkbox"/>	\$ _____
Fire Hydrant Supplier	<input type="checkbox"/>	\$ _____

Sewer Construction

	<u>Check if Included</u>	<u>Estimated Cost</u>
Pipe Fabrication	<input type="checkbox"/>	\$ _____
PVC Sewer Pipe Supplier	<input type="checkbox"/>	\$ _____
Storm and Sewer Line Work	<input type="checkbox"/>	\$ _____

Specialized Construction

	<u>Check if Included</u>	<u>Estimated Cost</u>
Asbestos Removal	<input type="checkbox"/>	\$ _____
Installation of Alarm Systems	<input type="checkbox"/>	\$ _____
Safety Equipment Installation	<input type="checkbox"/>	\$ _____
Steel Erecting and Tying	<input type="checkbox"/>	\$ _____
Installation of Telemetry	<input type="checkbox"/>	\$ _____

Supplier

	<u>Check if Included</u>	<u>Estimated Cost</u>
Construction Equipment Sales	<input type="checkbox"/>	\$ _____
Glass Suppliers and Glazing	<input type="checkbox"/>	\$ _____
Industrial Chemical Suppliers	<input type="checkbox"/>	\$ _____
Industrial Equipment Suppliers	<input type="checkbox"/>	\$ _____
Manufacturer - canopies, aluminum windows, and aluminum handrails	<input type="checkbox"/>	\$ _____
Plumbing Suppliers	<input type="checkbox"/>	\$ _____

	<u>Check if Included</u>	<u>Estimated Cost</u>
Sheet Metal Manufacturer	<input type="checkbox"/>	\$ _____
Steel Fabrication	<input type="checkbox"/>	\$ _____
Steel Supplier	<input type="checkbox"/>	\$ _____
Trucking	<input type="checkbox"/>	\$ _____
Water Treatment Chemicals and Equipment	<input type="checkbox"/>	\$ _____
Window Replacements	<input type="checkbox"/>	\$ _____

Given the nature of the scope of work of this contract, is a DBE participation of 3 and 5 percent achievable?

Yes No

DOW will send this checklist to the following agencies:

Kentucky Procurement Technical Assistance Center
Kentucky Science & Technology Corporation
PO Box 1049
200 West Vine Street, Suite 420
Lexington, Kentucky 40588-1049

Office for Civil Rights & Small Business Development
Department of Transportation
200 Mero Street
Frankfort, Kentucky 40622

For Projects West of Elizabethtown:
Minority Economic Development Initiative of Western Kentucky, Inc.
1101A South Main Street
Hopkinsville, Kentucky 42240