

**PRECONSTRUCTION  
CONFERENCE  
PACKET**

**For Conference Calls**

**SRF LOANS  
FUNDS A & F**

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## CHECKLIST FOR COMPLETION

- During the meeting, circulate the Preconstruction Meeting sign-in form (p.5) or similar form and return to DOW Project Administrator.
  
- After the meeting, have the authorized representative sign the “Preconstruction Meeting Form” (pp.6-8) and return to DOW Project Administrator.
  
- If not already done, complete the Design Life Certification (p.9) on engineer’s letterhead and return to DOW Project Administrator.
  
- Review and retain suggested filing system (pp.10-11) for use, as well as the list of required documents to retain.
  
- Send the following items to Project Administrator:  
***\*\*Failure to send these items will delay the start of construction and the execution of your assistance agreement. Pay requests cannot be processed until after the assistance agreement has been executed.***
  - Executed Contract
  - Notice of Award
  - Notice to Proceed
  - Bid Bond
  - Payment Bond
  - Performance Bond
  - Completed Preconstruction Meeting Sign-in Form (p.5)
  - Signed “Preconstruction Meeting” Form (pp.6-8)
  - If not already done, Design Life Certification on engineer’s letterhead (example on p.9)

## **CONTACT INFORMATION**

### **Your DOW Project Manager:**

—  
Kentucky Division of Water  
Water Infrastructure Branch  
SRF & SPAP Section  
300 Sower Boulevard, 3<sup>rd</sup> Floor  
Frankfort, Kentucky 40601

Phone: (502) 782-\_\_

Email: \_\_

Web site: [www.water.ky.gov](http://www.water.ky.gov)

### **Your DOW Project Engineer:**

—  
Kentucky Division of Water  
Water Infrastructure Branch  
Engineering Section  
300 Sower Boulevard, 3<sup>rd</sup> Floor  
Frankfort, Kentucky 40601

Phone: (502) 782-\_\_

Email: \_\_

Web site: [www.water.ky.gov](http://www.water.ky.gov)

### **KIA Contact Information:**

—  
Kentucky Infrastructure Authority (KIA)  
1024 Capital Center Drive, Suite 340  
Frankfort, Kentucky 40601

Phone: (502) 573-0260

Email: \_\_

Web site: [www.kia.ky.gov](http://www.kia.ky.gov)



# PRECONSTRUCTION MEETING FORM

Date: \_\_\_\_\_

Project #: \_\_\_\_\_

Project: \_\_\_\_\_

Recipient: \_\_\_\_\_

Mayor/Chairman: \_\_\_\_\_

Project Administrator (*Recipient*): \_\_\_\_\_

Project Consultant (*Engineer*): \_\_\_\_\_

DOW Project Manager: \_\_\_\_\_

DOW Project Engineer: \_\_\_\_\_

Loan Date of Award: \_\_\_\_\_

Loan Amount: \$ \_\_\_\_\_

ATA Issued: \_\_\_\_\_

**Be sure you have retained the documents listed in the signed Project Review and Cost Summary form that you filled out prior to the Preconstruction Meeting. You are required to keep those documents on file for discussion and review.**

Contracts:

NUMBER/NAME	TYPE <small>(Construction/Engineering)</small>	TOTAL AMOUNT	SRF PORTION
		\$	\$
		\$	\$
		\$	\$
		\$	\$
		\$	\$

**1. Has the Applicant completed and returned the Design Life Certification form?**

Yes  No      If no, complete example on page 9 and return to DOW.

**2. Has the Applicant submitted the Clear Site Certificate (required prior to start of construction) (not included)?**       Yes  No

**3. Filing System** – Person responsible for maintaining the files:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

- See copy of suggested filing system on pages 10-11.

**4. List any outstanding conditions of the ATA letter and Conditional Commitment letter and discuss:**

- \_\_\_\_\_
- \_\_\_\_\_

**5. Pay requests and processing procedures:**

- Who will prepare pay request and submit to DOW?  
\_\_\_\_\_
- Pay requests must be emailed to [kia.srfloans@ky.gov](mailto:kia.srfloans@ky.gov). KIA/DOW no longer requires or accepts copies of pay requests that are mailed in.
- Pay requests must be emailed by the 5<sup>th</sup> calendar day of the month to be disbursed within the same month (funds are normally in the borrowers account by the 18<sup>th</sup>). If a pay request is received after the 5<sup>th</sup>, it will be held until the following month.
- Requests must be made using KIA’s Draw Request Form Exhibit B along with supporting documentation (schedule of values, engineering invoices, etc.). You will receive a copy of the Exhibit B form as part of your executed Assistance Agreement.
- All pay requests are reviewed by KIA/DOW and are subject to be adjusted/held by KIA/DOW.
- No payments will be released until after the borrower and KIA have entered into an Assistance Agreement.
- Payments for change order work must be in the approved loan budget as a contingency line item. If budgeted, payments associated with change order work will not be paid until DOW has approved the change order work. DOW must approve all change order work regardless of funding.
- No payments will be released for work incurred beyond the approved construction contract completion date. Time extensions may be granted by change order only.

**6. Monthly Progress Reports:**

- Progress on the project must be reported to DOW on a monthly basis. The Monthly Progress Report form (p.12) may be used to meet this requirement; or if you would prefer, you may submit monthly progress meeting minutes in lieu of the report.

**7. Final Pay Request:**

- It is DOW/KIA’s procedure to retain \$25,000 or 20% of the final pay request, whichever is higher, until all closeout documents have been received and approved.
- The Final Pay Request cannot be paid until the Project Closeout is completed.

**8. Project Closeout:**

- When construction is approximately 80% completed, KIA will request an Initiation of Operation Letter from the borrower. The borrower shall submit to KIA, in writing, the project’s initiation of operation date, which signifies when the constructed items were/are capable to function in the capacity they were designed for. Once this date is established, KIA will complete an administrative review and identify any deficiencies, if applicable. Once all deficiencies are resolved, KIA will send a Certificate of Completion form to the borrower. This form must be completed and returned along with the following documentation:
  - Release of Lien from the contractor(s),
  - Final Adjusting Change Order(s), if applicable,
  - As-built Record Drawings; these can be a .pdf document,
  - and a Certificate of Completion Letter submitted by the consulting engineer stating that the project was constructed/tested in accordance with the project’s approved plans and specifications.
- Closeout document should be emailed to [kia.srfcloseout@ky.gov](mailto:kia.srfcloseout@ky.gov).
- The DOW engineer must also perform a final inspection before the loan can be closed out.
- Once KIA has received all closeout documentation and DOW has conducted the final inspection, DOW will certify that the project is complete. KIA will then pay the Final Pay Request and send the borrower an Exhibit F and resize the loan.
- All project files must be kept for a minimum of three years after the loan is closed out by DOW/KIA.

**9. Comments:**

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DOW Project Administrator

---

Date

---

Borrowers Signature

---

Date



## **DESIGN LIFE CERTIFICATION EXAMPLE**

*This certification must be on the engineering consultant's letterhead and signed by the PE:*

As required by the Conditional Commitment letter for the City/County/Water District of \_\_\_\_\_, project \_\_\_\_\_, we certify that the facilities designed for this project under \_\_\_\_\_ (identify contract) have an estimated useful life of 20 years.

# **SRF LOAN SUGGESTED FILING SYSTEM**

## **Correspondence**

- A copy of all comment/transmittal/approval letters and general correspondence

## **Engineering Procurement/Contracts**

- Procurement Documentation
- All engineering agreements, amendments and subcontracts
- Comment/approval letters and related correspondence

## **Categorical Exclusion Determination (CED)/State Planning and Environmental Assessment Report (SPEAR)/Finding of No Significant Impact (FONSI)/Environmental Impact Statement (EIS)**

- CED/SPEAR/FONSI/EIS
- Facilities Plan document (where located if not in file)
- Preliminary Engineering Report, if applicable
- Public Hearing documentation
- Clearinghouse Comments
- Comment/approval letters and related correspondence

## **Application**

- Application and related documents (resolution, assurances, Title VI, etc.)
- Comment/Approval letters and related correspondence

## **Audits**

- Audit Reports as required

## **Plans and Specifications**

- Plans and specifications (where located if not in file or on microfilm)
- Addenda
- Site Certificates
- Value Engineering Report, if applicable
- Comment/approval letters and related correspondence

## **Agreements/Amendments**

- Certification of commitment letters, as applicable
- Loan agreements, including any amendments
- Comment/approval letters and related correspondence

## **Sewer Use Ordinance and User Charge System/Ordinance**

- Sewer Use Ordinance – enacted copy
- User Charge System/Ordinance – enacted copy
- Inter-local agreements, if applicable
- Comment/approval letters and related correspondence

## **Authority to Award (ATA)**

- Project Review and Cost Summary form
- Bid Proposal(s)
- Proof of Advertisement
- Tentative Award Resolution
- Certified Bid Tabulations
- /EEO/BE documentation
- Comment/approval letters and related correspondence

## **Contracts Construction and Change Orders** (separate file for each contract)

- Insurance Certificates
- Contract Documents (where located if not in file)
- Performance/Payment Bond
- Power of Attorney
- Wage Rates
- Change Orders w/log
- Comment/approval letters and related correspondence

## **Operation and Maintenance (O&M)**

- Draft/Final O&M Manual, if required
- Preliminary/Final Plan of Operation
- Comment/approval letters and related correspondence

## **Construction Inspection Reports**

- Interim and Final Inspection Reports and related data

## **Payments**

- Copy of signed pay request
- Invoices and estimates
- Payment log or record of payments
- Comment/approval letters and related correspondence

## **Closeout**

- Borrower and Consulting Engineers Certification of Completion Letters
- Initiation of Operation letter
- Contractor(s) release of lien
- Final record drawings

Commonwealth of Kentucky  
Energy and Environment Cabinet  
**Division of Water**

Monthly Progress Report

**General**

Date: \_\_\_\_\_  
Applicant Name: \_\_\_\_\_  
Project Name: \_\_\_\_\_  
Contract No./Name: \_\_\_\_\_  
Design Firm: \_\_\_\_\_  
Prime Contractor: \_\_\_\_\_

**Division of Water Project Information**

Project ID: \_\_\_\_\_ SRF Loan No.: \_\_\_\_\_  
Activity ID: \_\_\_\_\_ EPA Grant No.: \_\_\_\_\_

**Contract Information**

Award Date: \_\_\_\_\_ Original Contract Amount: \_\_\_\_\_  
Contract Length (days): \_\_\_\_\_ Approved Change Order Amount: \_\_\_\_\_  
Contract Completion Date: \_\_\_\_\_ Current Contract Amount: \_\_\_\_\_

**Work Completed**

Original Contract Work (\$): \_\_\_\_\_ Work Ending Date: \_\_\_\_\_  
Approved Change Orders (\$): \_\_\_\_\_ Liquidating Damages (\$) per day: \_\_\_\_\_  
CO Work not yet approved (\$): \_\_\_\_\_ Days Over: \_\_\_\_\_  
Stored Materials (\$): \_\_\_\_\_ Change Order Days not yet approved: \_\_\_\_\_  
Total Work Completed (\$): \_\_\_\_\_ Amount of Liquidating Damages (\$): \_\_\_\_\_  
Percent of Work Completed (%): \_\_\_\_\_ Percent of Time Passed (%): \_\_\_\_\_

**Description of Work Completed**

# SRF LOANS FUNDS A & F

# DAVIS-BACON REPORTING FORMS

(These forms should be submitted directly to KIA)

## Monthly Payroll Reporting

The prime contractor and all subcontractors are required to submit their certified monthly payroll to the borrower.

The U.S. Department of Labor's FORM WH-347 can be used when certifying payroll. This form can be found at <https://www.dol.gov/whd/forms/wh347.pdf>.

It is the borrower's responsibility to ensure that correct wages are being paid.

Copies of the certified monthly payroll for the first construction payment and the last construction payment will need to be submitted to DOW for monitoring. It is not necessary to submit other monthly payroll to DOW unless requested.

# Davis-Bacon Quarterly Compliance Certification

*This information is required for compliance of the Davis-Bacon provisions of the Clean Water SRF or Drinking Water SRF funded projects. This form should be submitted to KIA no later than the 5<sup>th</sup> day of each calendar quarter.*

Borrower Name:	
WX / SX Number:	
KIA Loan Number:	
Project Name:	
Number of prime contractors on-site for this reporting period:	
If more than one (1), please list:	
Number of subcontractors on-site for this reporting period:	
If more than one (1), please list:	
For reporting quarter ending:	

**Questions regarding Davis-Bacon determination:**

**Yes or No**

Have quarterly compliance certifications been received from <b>all</b> contractors and subcontractors for the above period?	
Are all contracts and subcontracts in compliance with Davis-Bacon provisions?	
Have weekly certified payrolls been received for each contract and subcontract with a Statement of Compliance (WH-347 Form or other acceptable form accompanied by a Statement of Compliance)?	
Have reviews of weekly payroll information submitted by the contractors and subcontractors been reviewed to verify payment of appropriate wages and compliance?	
Have on-site interviews been conducted as a result of suspected noncompliance or in response to an alleged violation of the prevailing wage requirements?	
If so, please submit copies of the Labor Standard Interview Sheet (SF 1445) for interviews conducted within the quarter.	

I certify the correct wage decision is being applied to the above noted project.

\_\_\_\_\_  
Signature of Authorized Official of Borrower

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of Authorized Official

*\* Attach copies of all contractor and subcontractor Davis-Bacon certifications received during the most recent quarter for KIA's files – **DO NOT** include payroll reports \**

**PLEASE NOTE:** KIA will use a combination of funding (CWSRF/DWSRF funds and non-CWSRF/DWSRF funds) to finance projects. Federal Davis-Bacon prevailing wages apply to this project.

## On Site Interviews

As of November 16<sup>th</sup>, 2012 loan recipients will no longer be required to provide interview documentation related to Davis-Bacon Terms and Conditions.

However, labor interviews are to be conducted if the Kentucky Infrastructure Authority finds that it is necessary or if there is a suspicion of noncompliance. Loan Recipients may still conduct interviews based on the assessment of the risks of noncompliance with Davis-Bacon. Loan Recipients shall immediately conduct necessary interviews in response to an alleged violation of the prevailing wage requirements.

If a labor interview is performed, the U.S. Standard Form 1445 must be used when conducting interviews. This form can be found at <http://www.gsa.gov/portal/forms/download/115910>.

The interview form should be submitted along with the Davis-Bacon Quarterly Compliance Certification form for the quarter in which the interview occurred.

### Tips for Interviews

- a. Interviews should be reviewed against payroll records received by the Loan Recipient to ensure payroll is accurately reporting that employee for the proper classifications and wages paid.
- b. In addition, labor interviews should be signed by the employee as well as the interviewer.
- c. Not all employees have to be interviewed; however, a sampling of contract employees for each contract should be interviewed.
- d. Owner-operators are exempt from reporting and DO NOT have to be interviewed. If someone was interviewed who is exempt from Davis-Bacon (i.e. owner-operator), make sure that is noted on the interview form.
- e. If interviews are needed and employees are no longer available, then attempts should be made to obtain interviews with employees. These attempts may include (1) contacting the employees on a different job site, (2) telephone interviews or (3) mailed interview forms provided with return envelop and required postage provided.



# Davis-Bacon Quarterly Compliance – Contractor

*Fill out one form for each contract awarded and submit to the SRF loan recipient. This information is required for compliance of the Davis-Bacon provisions of the Clean Water SRF or Drinking Water SRF funded projects. This form should be submitted to the SRF loan recipient no later than the 5<sup>th</sup> day of each calendar quarter.*

Borrower Name:	
WX / SX Number:	
KIA Loan Number:	
Project Name:	
<b>Federal Wage decision #, modification #, and Effective Date used in contract:</b>	
Contract Amount:	
Prime Contractor Name:	
Contractor Address:	
Certificate for Quarter Ending	

**Questions regarding Davis-Bacon determination:**

**Yes or No**

Was the appropriate wage rate paid to all workers from the first day on which work was performed?	
Have all weekly payroll information reports with a Statement of Compliance been submitted to the Borrower (WH-347 Form or other acceptable form accompanied by a Statement of Compliance)?	
Is the appropriate signage and notification of federal wage rates posted at the construction site?	

I certify the correct wage decision is being applied to the above noted project.

\_\_\_\_\_  
Signature of Authorized Official of Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of Authorized Official

- ***Every contractor (including every subcontractor) must keep a complete set of their own payrolls and other basic records such as time cards, tax records, and evidence of fringe benefit payments, for a Davis-Bacon project for at least 3 years after the project is complete.***

**PLEASE NOTE:** KIA will use a combination of funding (CWSRF/DWSRF funds and non-CWSRF/DWSRF funds) to finance projects. Federal Davis-Bacon prevailing wages apply to this project.

# Davis-Bacon Quarterly Compliance – Subcontractor

*Fill out one form for each contract awarded and submit to the Prime Contractor. This information is required for compliance of the Davis-Bacon provisions of the Clean Water SRF or Drinking Water SRF funded projects. This form should be submitted to the Prime Contractor no later than the 5<sup>th</sup> day of each calendar quarter.*

Borrower Name:	
WX / SX Number:	
KIA Loan Number:	
Project Name:	
<b>Federal Wage decision #, modification #, and Effective Date used in contract:</b>	
Contract Amount:	
Prime Contractor Name:	
Contractor Address:	
Subcontractor Name:	
Subcontractor Address:	
Subcontract Actual Start/ Anticipated End Date	
Active Work Dates on Site (Covered by this certificate)	
Certificate for Quarter Ending	

**Questions regarding Davis-Bacon determination:**

**Yes or No**

Was the appropriate wage rate paid to all workers from the first day on which work was performed?	
Have all weekly payroll information reports with a Statement of Compliance been submitted to the Prime Contractor or SRF loan recipient (WH-347 Form)?	
Is the appropriate signage and notification of federal wage rates posted at the construction site?	

I certify the correct wage decision is being applied to the above noted project.

\_\_\_\_\_  
Signature of Authorized Official of Sub-Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of Authorized Official

- ***Every subcontractor (including their subcontractors) must keep a complete set of their own payrolls and other basic records such as time cards, tax records, and evidence of fringe benefit payments, for a Davis-Bacon project for at least 3 years after the project is complete.***

**PLEASE NOTE:** KIA will use a combination of funding (CWSRF/DWSRF funds and non-CWSRF/DWSRF funds) to finance projects. Federal Davis-Bacon prevailing wages apply to this project.