

**State of Connecticut Department of Public Health
Drinking Water Section
Drinking Water State Revolving Fund Program**

Authorization to Award Professional Services Agreement Application Checklist

Introduction

This document was developed to assist an applicant seeking funds from the Drinking Water State Revolving Fund (DWSRF) for professional services comprising planning, design and/or construction oversight activities to be carried out under an Engineering/Architectural Agreement. In order for the Department of Public Health (DPH) to consider an Engineering/Architectural Agreement as eligible for Authorization to Award and to determine compliance with DWSRF requirements, an applicant as a minimum must satisfactorily implement all applicable items identified in Tables I and II under this application, complete and submit this application checklist to the DPH along with a copy of the proposed Engineering/Architectural Agreement, and any other supporting documentation as warranted. **For projects having a total projected building cost of \$10 million or more an applicant must conduct a Value Engineering (VE) process, submit the VE proposal, and complete the VE checklist (separate).**

Notes:

- An applicant must obtain a written “**Authorization to Award**” an Engineering/Architectural Agreement from the DPH prior to entering into an agreement in order for the work to be eligible for funding.
- An applicant must read and adhere to procurement requirements as stated in Section 22a-482-4(h) of the Regulations of Connecticut State Agencies (RCSA).
- An agreement must be negotiated in accordance with applicable requirements stated in Subdivisions (5) through (11) of Section 22a-482-4(i) and of the RCSA.
- An applicant and their consultant(s) are advised to review and be familiar with Sections 22a-482-2 through 22a-482-4 of the RCSA and other Statutory and/or requirements that may be applicable for a specific Public Water System or project, which may not be included within this application.
- Pursuant to Section 22a-482-3(d)3 of the RCSA, rejection of any VE recommendations shall be on the basis of cost-effectiveness, reliability, and other factors that may be critical to the treatment process, the environmental impact of the project and the extent of project delays.

Public Water System and Applicant Information

PWS Name: Ledyard WPCA - Ledyard Center and Gales Ferry System

Project Name/Description: LCRR Compliance

Project Address: 295 Meridian Street, Groton, CT 06340

Town: Town of Ledyard, CT

PWSID Number: CT0727091 & CT0727051 DWS Project Number: SFY 25-28

Print Name of PWS Representative: Ed Lynch, PE

Title: Chairperson, Ledyard WPCA

Address: 295 Meridian Street, Groton, CT 06340

Phone Number: 646-732-9224

Fax Number: _____

E-mail Address: catalyst05@comcast.net

Signature of PWS Representative

Date

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Table I Procurement of Engineering Firm Professional Services/ Qualification Based Selection (QBS) Process		
Item:	Applicable State Regulation:¹	Has item been submitted and is complete as required? (Yes or No)
A. Copy of Public Notice (advertisement) for a request of qualifications, which must include a deadline and place for the submission of qualifications, and verification of where published.	RCSA Sections 22a-482-4(i)2(A) & 4(i)6(B)i	
B. Requests for qualifications and/or proposals 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 Subsections (h), (i) and (o) of Section 22a-482-4 of the RCSA. The State of Connecticut will not be a party to this request or any resulting contract.	RCSA Sections 22a-482- 4(i)9(A) & 4(i)6(B)i	
C. A description and/or copy of criteria used in conducting objective evaluation of qualifications ² . Criteria which should be considered is identified as follows: i. experience and technical competence. ii. past record of performance. iii. capacity to perform work. iv. familiarity with type of project. v. avoidance of personal and organizational conflicts of interest Note: familiarity with processing Clean Water Fund and/or DWSRF projects is highly recommended as evaluation criterion.	RCSA Sections 22a-482-4(i)3 & 4(i)6(B)i	
D. Copy of written request for engineering/professional services proposal and list of candidates that were sent the request. Request must: i. be sent to no fewer than three candidates, unless fewer responded to advertisement. ii. contain the information necessary to enable a prospective candidate to prepare a proposal properly (description of project), include a solicitation statement and contain evaluation criteria. iii. include a deadline and place of submission of proposals.	RCSA Sections 22a-482-4(i)4(A) & 4(i)6(B)i	
E. Documentation of evaluation of proposals ² . Proposals must be evaluated: i. uniformly and taking into account method of accomplishing the work required. ii. objectively and confidentially iii. based on criteria stated in the request for proposals. Note: an evaluation form with a weighted point rating system is typically used.	RCSA Sections 22a-482-4(i)4(B) & 4(i)6(B)i	

1. Regulations of Connecticut State Agencies (RCSA) and/or Connecticut General Statutes (CGS).

2. Board or Committee conducting evaluation, to the extent practicable, should include persons of technical skills for the type of project to be pursued.

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Table II Content of Engineering Agreement		
Item : A copy of the proposed agreement, containing the necessary items as identified in Table II and attachments to it as identified, must be submitted to the DPH. Note: These items are applicable for any professional services agreement.	Applicable State Regulation:¹	a. Has item been included in agreement? (Yes or No) b. If applicable, location of Item within Agreement:
A. Scope and extent of work to be performed.	RCSA Section 22a-482-4(f)2(A)i	
B. Time frame for performance.	RCSA Section 22a-482-4(f)2(A)ii	
C. Type of Contract/Agreement: (Please check as applicable.) ☐ Cost Reimbursement with an established cost ceiling. ☐ Fixed Price with guaranteed maximum price. Cost reimbursement or fixed price which use a multiplier for compensation must be in adherence to Section 22a-482-4(i)(1)(D) of RCSA. ☐ Per Diem (only if Cost Reimbursement & Fixed price are proven not appropriate and as use per Section 22a-482-4(i)(1)(E) of RCSA)	RCSA Section 22a-482-4(i)1	
D. Total cost of Agreement.	RCSA Section 22a-482-4(f)2(A)iii	
E. Payment provisions.	RCSA Section 22a-482-4(f)2(A)iv	
F. Inclusion of subparagraphs (A) through (L) of Section 22a-482-4(f)3 of the RCSA.	RCSA Section 22a-482-4(f)3	
G. Compliance with State and Federal equal opportunity and affirmative action laws and regulations.	RCSA Sections 22a-482-2(d)25 & 4(f)2(B) CGS 46a-77 4a-60	
i. Signed copy of Minority Business Enterprise/Women's Business Enterprise (MBE/WBE) Clean Water Memo 2016-002 dated May 25, 2016, Subcontractor Verification Form, and MBE/WBE certificates.	RCSA Section 22a-482-4(h)9	
H. Costs presented on EPA Form 5700-41, and which identifies profit separately.	RCSA Section 22a-482-4(i)6(D)	

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