

**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.

<b>Public Water System and Applicant Information</b>	
PWS Name: _____	
Project Name/Description: _____	
Project Address: _____	
Town: _____	
PWSID Number: _____	DWS Project Number: _____
Print Name of PWS Representative: _____	
Title: _____	
Address: _____	
_____	
Phone Number: _____	
Fax Number: _____	
E-mail Address: _____	
_____	
Signature of PWS Representative	Date

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<b>Table I Procurement of Engineering Firm Professional Services/ Qualification Based Selection (QBS) Process</b>		
<b>Item:</b>	<b>Applicable State Regulation:<sup>1</sup></b>	<b>Has item been submitted and is complete as required? (Yes or No)</b>
<b>A.</b> 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>B.</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	
<b>C.</b> A description and/or copy of criteria used in conducting objective evaluation of qualifications <sup>2</sup> . 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	
<b>D.</b> 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	
<b>E.</b> Documentation of evaluation of proposals <sup>2</sup> . 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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<b>Table II Content of Engineering Agreement</b>		
<b>Item :</b> 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.	<b>Applicable State Regulation:<sup>1</sup></b>	<b>a. Has item been included in agreement? (Yes or No) b. If applicable, location of Item within Agreement:</b>
<b>A.</b> Scope and extent of work to be performed.	RCSA Section 22a-482-4(f)2(A)i	
<b>B.</b> Time frame for performance.	RCSA Section 22a-482-4(f)2(A)ii	
<b>C.</b> Type of Contract/Agreement: (Please check as applicable.) <input type="checkbox"/> Cost Reimbursement with an established cost ceiling. <input type="checkbox"/> 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. <input type="checkbox"/> 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	
<b>D.</b> Total cost of Agreement.	RCSA Section 22a-482-4(f)2(A)iii	
<b>E.</b> Payment provisions.	RCSA Section 22a-482-4(f)2(A)iv	
<b>F.</b> Inclusion of subparagraphs (A) through (L) of Section 22a-482-4(f)3 of the RCSA.	RCSA Section 22a-482-4(f)3	
<b>G.</b> 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	
<b>i.</b> 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	
<b>H.</b> Costs presented on EPA Form 5700-41, and which identifies profit separately.	RCSA Section 22a-482-4(i)6(D)	

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