



SRF WRR Sponsored Project Milestone Checklist

This checklist outlines the review and approval milestones for sponsored project. Please see pages three to five for a detailed description of *what is required* and *who is responsible*.

Project Information

Sponsored Project Name: _____
Applicant Name: _____
Applicant Sponsored Project Contact: _____
Applicant's Consultant: _____
SRF Project Manager: _____
SRF Technical Advisor: _____
SRF Sponsored Project Number: WRR Max Sponsored Project Amount: \$ _____
Associated CWSRF Number: CS192 CWSRF IUP Amount \$ _____

1. Project initiation meeting held (date): _____
 - a) Project initiation meeting minutes sent by SRF project manager (date): _____
2. Design concept review by SRF technical advisor & project manager
 - a) Site visit conducted (date): _____
 - b) Design concept submitted to SRF technical advisor & project manager (date): _____
 - c) Design concept approval/ response by SRF project manager (date): _____
 - d) Design review checklist/s provided by SRF technical advisor (date): _____
3. Schedule of work including design review milestones submitted (date): _____
4. 30% plans review by SRF technical advisor & SRF project manager
 - a) 30% plans submitted to SRF technical advisor & project manager (date): _____
 - b) 30% plans review comments issued (date): _____
5. 60% plans review by SRF technical advisor & SRF project manager
 - a) 60% plans submitted to SRF technical advisor & project manager (date): _____
 - b) 60% plans review comments issued (date): _____
 - c) Maintenance plan guidance provided by technical advisor (date): _____
6. 60% plans resubmittal review (if required)
 - a) Revised 60% plans submitted to SRF technical advisor & project manager (date): _____
 - b) Revised 60% plans review comments issued (date): _____
7. Required permit applications submitted to appropriate regulatory agencies (date): _____
8. Bond counsel contact made, and schedule for bid-letting and public hearing/loan resolution set.
9. Estimate of current sponsored project funding available requested from IFA (date): _____
 - a) Estimate amount: \$ _____

10. 90% plans and specifications review by SRF technical advisor & SRF project manager
 - a) Maintenance plan(s) submitted (date): _____
 - b) Design review checklist approval issued by SRF technical advisor (date): _____
 - c) 90% plans and specifications submitted to SRF technical advisor & SRF Project Manager (date): _____
11. Final plans and specifications review by SRF technical advisor & SRF project manager
 - a) Final plans and specifications submitted to SRF technical advisor & project manager (date): _____
 - b) Review comments of Final Plans and Specifications Approval Letter issued by SRF project manager (date):

12. Bidding procedure and materials approved by bond counsel
13. Bid-letting and lowest responsible, responsive bidder identified
14. Bid document review
 - a) Bid document checklist and documents submitted to SRF project manager (date): _____
 - b) Eligibility letter issued or additional information requested by SRF project manager (date): _____
 - c) Sponsored project Performance Agreement prepared by SRF project manager and sent for signature (date):

15. Performance Agreement signed by applicant and sent to SRF project manager (date): _____
16. Loan Amendment application prepared (date): _____
17. Notice to proceed issued and sent to SRF project manager (date): _____
18. Pre-construction meeting (date): _____
19. Interim inspections scheduled with technical advisor (date/s): _____
20. Change Orders (if applicable)
 - a) Change order submitted to SRF technical advisor & SRF project manager (date): _____
 - b) Change order reviewed and eligibility determination issued by SRF project manager (date): _____
21. Final inspection (date): _____
 - a) Final Inspection Email issued by SRF project manager (date): _____
22. Loan closeout

For more information, contact your SRF project manager.

SRF WRR Sponsored Project Milestone Checklist Description and Directions



- 1. PROJECT INITIATION MEETING**- The project initiation meeting will be scheduled by the SRF project manager following Environmental Protection Commission (EPC) approval of SRF sponsored project funding recommendations. This meeting will include appropriate applicant staff, SRF project manager, SRF technical advisor, Iowa Finance Authority (IFA), other project partners involved in the project funding, planning, design, construction, or maintenance. The project initiation meeting will cover the project design concept, SRF design and review requirements, roles and responsibilities, project schedule, stakeholder involvement, SRF sponsored project funding, and other considerations.
- 2. DESIGN CONCEPT**- Before design of the sponsored project can begin in earnest, a design concept must be prepared and submitted to the SRF project manager and SRF technical advisor and subsequently approved by the SRF project manager. The design concept needs to include assessment information (including information such as land use map, watershed/ drainage areas, erosion rate maps, etc.) and project map showing the potential project types and locations. A site visit will need to be conducted with the SRF technical advisor and SRF project manager and other project partners to evaluate the appropriateness of potential practices, project locations, and site considerations that may impact the design. Depending on the level of assessment and planning that was performed for the application, the design concept may be approved based on the application materials following the project initiation meeting. Once reviewed, the SRF technical advisor and SRF project manager will provide comments on the design concept, and the SRF project manager with either issue approval to proceed or require the design to be revised and resubmitted. Following the design concept approval by the SRF project manager the SRF technical advisor will provide the applicable design review checklists and guidance on information that needs to be included with the 30% plans submittal.
- 3. Schedule OF WORK & COMMUNICATION PLAN**- It is generally standard practice for consultants to provide a schedule of work when contracted to design a project. When the consultant prepares their schedule of work for the sponsored project it should include the SRF design review and approval milestones (30%, 60%, 90%, and Final Plans and Specs) and allow 30 days for each of the design review submittals. The schedule of work should be submitted to the SRF project manager and SRF technical advisor so that they know the expected design schedule and can provide comments (if necessary) regarding considerations that could impact the proposed schedule.

As required in the sponsored project application, project applicants are encouraged to develop a comprehensive communication plan to inform and seek input from stakeholders about the proposed projects. Stakeholders may include City Council, Departments, Staff, 28 E project partners, affected landowners and businesses, adjacent residents, homeowner associations, and the general public. The communication plan may involve City Council updates, City staff/department meetings, project partner meetings, public meetings, individual outreach, etc.

- 4. 30% PLANS**- The 30% plans submittal should include preliminary plan view sheets of the project layout along with any additional assessment information that has been performed following the design concept approval, design calculations and information such as drainage area, water quality volume, sizing of practice/s, soils, identification of potential required permits, and any other information as specified by the SRF technical advisor. The SRF technical advisor will request additional information or provide comments on the 30% plans along with guidance on the information that needs to be included with the 60% plans submittal. If necessary, the SRF project manager may provide additional comments regarding SRF eligibility or review requirements.
- 5. 60% PLANS**- The 60% plans submittal should incorporate and address all 30% comments and include plan view, cross sections, profiles, design review checklists, and planting plan (species and layout) and any other information as specified by the SRF technical advisor. The SRF technical advisor will provide comments on the 60% plans along with guidance on the information that needs to be included with the 90%/pre-bid plans and specifications submittal. The SRF technical advisor will also provide guidance for developing the maintenance plans for the practice/s being

constructed. If necessary, the SRF project manager may provide additional comments regarding SRF eligibility or review requirements.

6. **RESUBMITTAL OF 60% PLANS**- Based on the comments on the 60% plans and recommendation of the SRF technical advisor, the SRF project manager may require that the 60% plans be revised and resubmitted. The SRF technical advisor and SRF project manager will review the revised 60% plans and provide comments.
7. **PERMIT APPLICATIONS**- If the project requires any State or Federal permits or clearances (e.g. flood plains, US Army Corps, US Fish and Wildlife Threatened and Endangered Species, etc.) a Joint Application or appropriate consultation should be submitted to the appropriate regulatory agency as soon as possible.
8. **BOND COUNSEL CONTACT**- The applicant will need to coordinate with their bond counsel to ensure that the necessary steps to amend the CWSRF loan to include the sponsored project (e.g. set schedule for bid-letting and public hearing, loan resolution etc.) are completed in a timely manner.
9. **ESTIMATE OF SPONSORED FUNDING AVAILABLE**- The applicant should request an estimate of available sponsored project funds from IFA. There may be changes to sponsored project funds that will be available at the time of loan amendment related to the final amount drawn, or the schedule of principal payments, for the associated CWSRF loan.
10. **90% PRE-BID PLANS AND SPECIFICATIONS**- The 90% (pre-bid) plans and specifications submittal should address all comments from the 60% plans and include plan view, cross sections, profiles, typical drawings, and planting plan (species and layout), seeding/restoration plan, and maintenance plan. Plans and specifications clearly depict and describe the expected manner in which the project elements are to be constructed as opposed to referencing standard specifications (i.e. SUDAS, ISWMM, NRCS, etc.). This may involve including standard specification typical drawings in the plans instead of referencing standard specifications, specifically describing the construction methods to be used for key practices or elements (if you want it built in a certain manner spell it out), specifying seeding and planting dates, how erosion control matting is to be laid out and staked, etc. The SRF technical advisor and SRF project manager will provide comments on the pre-bid plans, specs, and maintenance plan. The SRF project manager will ensure the SRF front-end documents have been provided.
11. **FINAL PLANS AND SPECIFICATIONS**- The final plans and specifications submittal should address all comments on the 90% pre-bid plans and specs and include SRF front-end documents, approved Iowa Department of Agriculture and Land Stewardship design review checklists, bid item spreadsheet, any required permits/clearances received, bid-letting schedule, and signed maintenance plan. The SRF project manager will provide review comments or approve final plans and specs for bid letting and issue a final plans and specs approval letter along with a spreadsheet identifying SRF sponsored project eligible bid items. The SRF project manager will also provide the bid document checklist.
- 12 & 13. **BID-LETTING**- Bidding procedures and materials need to be approved by the applicant's bond counsel prior to bid-letting. Bid-letting must comply with State bidding laws. After bid-letting the lowest responsible, responsive bidder is identified.
14. **BID DOCUMENT REVIEW**- Following the identification of the bidder recommended for award, the bid documents checklist and required documents are submitted to the SRF project manager. The SRF project manager will review and respond either requesting any additional information or issuing an eligibility letter and SRF sponsored project eligibility spreadsheet identifying the eligible bid items and costs. The eligibility letter will also provide instructions on who to contact at IFA to request a Loan Amendment Application.
15. **PERFORMANCE AGREEMENT**- A Performance Agreement between the borrower and Iowa DNR must be signed. The purpose of the Performance Agreement is to ensure that the approved practice will be constructed on schedule, according to the approved plans and specifications, and maintained for its useful life according to the maintenance agreement.

16. **LOAN AMENDMENT APPLICATION**- The final amount of sponsored project principal is verified with IFA, the loan amendment application is completed and submitted to IFA, Bond Counsel prepares proceedings and City Council takes actions to execute the loan amendment, and the loan amendment is executed.
17. **NOTICE TO PROCEED**- Once issued, a copy of the notice to proceed needs to be sent to the SRF project manager.
18. **PRE-CONSTRUCTION MEETING**- Both the SRF technical advisor and the SRF project manager need to be invited to the pre-construction meeting. At the pre-construction meeting the construction schedule, specific construction methods, and other pertinent construction details will be discussed. The SRF technical advisor will identify important construction items that require inspection.
19. **INTERIM INSPECTIONS**- The SRF technical advisor will coordinate with the consultant and contractor to setup construction inspections. The SRF project manager should be invited to these meetings but their attendance is not necessarily required. The SRF technical advisor will inspect the construction elements with the consultant and contractor. If deficiencies are identified, the technical advisor will provide comments to the SRF project manager, City, consultant, and contractor. The identified deficiencies need to be addressed by the consultant and contractor as soon as possible.
20. **CHANGE ORDERS**- All change orders need to be submitted to the SRF project manager and SRF technical advisor for review and approval. It is recommended that change orders be reviewed and approved by the SRF project manager prior to execution, but we understand that this is not always possible. Change orders to increase or decrease eligible bid items need to be submitted for review, but will generally be eligible. Any changes to the design or function of the practices as approved in the final plans need to be reviewed and approved, as these changes may not be SRF eligible or may impact the eligibility of the entire project. The SRF project manager will provide an approval and updated eligibility determination after a fully executed change order has been submitted.
21. **FINAL INSPECTION**- As construction of the project reaches substantial completion a final inspection needs to be scheduled with the SRF project manager and SRF technical advisor. If deficiencies are identified during the final inspection the SRF technical advisor will provide comments to the SRF project manager, City, consultant, and contractor, and corrective actions will need to be completed and re-inspected. Following the final inspection, the SRF project manager will issue a letter/email stating that construction has been satisfactorily completed.
22. **LOAN CLOSEOUT**- In order to closeout the loan the Works in Operation/ Engineer's Certificate/ Owner's Acceptance form, contractor's final pay request, MBE/WBE form, all approved change orders need to be submitted to IFA. The final inspection needs to have been completed and letter/email of completion issued by the SRF project manager. Once all of these steps have been completed IFA will make the final loan disbursement.