

200 - Pre-Design and Environmental Checklist

At the beginning of the Project and prior to hiring an Architect-Engineer, the University Department Representative and the Project Manager will meet to prepare the joint Pre-Design Checklist.

Each party will arrive at the meeting adequately prepared to complete the Pre-Design checklist by assembling critical information. Planning and communication will ensure that Pre-Design Checklist preparation will go smoothly.

If an Architect-Engineer is providing the programming services for the University Department, then the Pre-Design Checklist will be completed by the Architect-Engineer and the Project Manager.

Yes No
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Preparation: The University Department Representative and the Project Manager have reviewed the requirements in Chapter 1 – General and Chapter 2 – Pre-Design of the Capital Construction Project Procedures Manual.

PRE-DESIGN CHECKLIST

1. Utility Investigations: Provide a complete list, including utility, availability and contacts.

Yes No
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Sewer: (DFMS Facilities Management) is there adequate capacity and acceptance?

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Water: (DFMS Facilities Management) is there adequate supply, pressure, and acceptance?

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Flow Test: Has a flow test been performed?

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Electricity: Coordination with DFMS Facilities Management – is there adequate electrical supply?

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Gas: Is there adequate supply and availability?

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Communications: Is there adequate supply and availability?

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Steam: Is there adequate supply and availability?

☐ ☐

Other Utilities

2. Administrative Items:

Yes No
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Coal Life Cycle Analysis: Has a Coal Life Cycle Cost Analysis been performed? (See Section 230000-4)

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Subsurface Investigation: Has preliminary Subsurface Investigations been initiated? (See Section 211 Subsurface Investigations)

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Hazardous Materials: Has a Hazardous Materials Survey been performed?

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Site Ownership: Has the Site Ownership been verified, and site survey Initiated?

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High Performance Building Standards: Has the appropriate High Performance Building Standard to the project been determined? (See Section 106)

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Air Permits: Are any Air Pollution Permits required? (See Section 224 – Air Quality)

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Airports: Is the project site located near an airport? If yes, then it is likely that an FAA Permit for Air Space Encroachment & Airport Zoning will be required. (See Section 225 Kentucky Airport Zoning Commission)

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Federal Funds or other Grant Funds: Are Federal or Grant Funds being used?

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Parks: Is the project impacting any Park or Recreation Area?

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Cultural/Archaeological Analysis: Is a Cultural (Archaeological) Analysis required? It is required if a 404 permit is required or if the project is on State Park property (See Section 222 Historic Preservation and Cultural Analysis; and item 8 Environmental Checklist this Section)

3. LEED Certification:

Yes No
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LEED: Has the appropriate LEED Certification required by the High-Performance Building Standards been determined in conjunction with the University Department?

4. Agency:

Yes No
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Is the University Department providing a program?

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Will the University Department be providing funding?

5. CCPA:

Yes No
☐ ☐

Total Estimate of Funds Required through Design - This is performed by the Project Manager. This estimate is based on the Total Project Cost listed on the B210 (See Section 202.1). Has the B210 been initiated?

ENVIRONMENTAL CHECKLIST

6. Surface Waters - Corps of Engineers 404 Permit - Streams and Wetlands:

Yes No
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Water Body: Is there a body of surface water such as a lake, pond, stream, creek, culvert, canal, wetland, ephemeral or intermittent feature etc. within the boundaries of the property? If the answer to A is yes, name the body of water and show location on plan site:

If **Yes**, is river or stream involvement proposed?* ☐ Yes ☐ No

If **Yes**, indicate what type of involvement: ☐ Bridge ☐ Culvert
☐ Embankment Fill ☐ Relocation ☐ Low Water Crossing

If **Yes**, indicate type of disturbance: ☐ Temporary ☐ Permanent

*If stream impact is >500 linear feet, an Individual USACE permit is required; if stream impact is >200 linear feet, an Individual Water Quality Certification is required.

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Discharge: Will there be discharge to surface water of waste waters other than storm water run-off?

If **Yes**, what contaminants will be contained in storm water run-off?

☐ ☐

Off-Site Water Body: Identify the nearest off-site *named* body of water, such as a waterway, river, stream, pond, lake, canal, irrigation ditch, or year-round drainage way: _____ Show location on site plan.

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Nationwide Section 404 Permit: Will the project affect Waters of the US requiring a nationwide USACE Section 404 permit? If a nationwide Section 404 Permit is required, then a Section 401 Water Quality Certification permit is also required.

☐ ☐

Individual Section 404 Permit: Will the project affect Waters of the US requiring an individual USACE Section 404 permit? If an individual Section 404 Permit is required, then a Section 401 Water Quality Certification permit is also required. Individual permits take significantly longer to acquire and need to be addressed in the overall project schedule.

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Area ≥ 1 Acre: Will project construction affect an area equal or greater to one (1) acre? If construction site ≥ 1 acre, KDOW KPDES Permits are required. (See Section 220 SWPPP Storm Water Pollution Prevention Plan of the Procedures Manual KPDES information.)

6. Surface Waters - Corps of Engineers 404 Permit - Streams and Wetlands: (continued)

- | Yes | No | |
|--------------------------|--------------------------|---|
| ☐ | ☐ | Wastewater: Will wastewater be discharged into a Water of the Commonwealth?
(See Section 221 Wastewater Collection Systems) |
| ☐ | ☐ | Special Use Waters: Are there any State-listed Special Use Waters in the project vicinity? |
| ☐ | ☐ | Wild Rivers: Are there federally listed Wild and Scenic Rivers in the project vicinity? |
| ☐ | ☐ | Federal Funding: Is the project federally funded? |

6.1. 401 Water Quality Certification & Floodplain Management:

- | | | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | 100 Year Floodplain: Does the project encroach onto the 100-year floodplain? * See FEMA Online Map Service Center for most up to date information. |
| ☐ | ☐ | FEMA: Is FEMA No-impact Certification, Letter of Map Revision (LOMAR), or Conditional Letter of Map Revision (CLOMAR) required? |
| ☐ | ☐ | Water Quality Certification: Is a Water Quality Certification permit required? Note: A Water Quality Certification is required if a USARC 404 permit is required. |

7. Wetlands:

- | Yes | No | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Wetlands Involved: Will the project involve part of a wetland as defined by the US Army Corps of Engineers? Finding and limits defined by:

_____ |
| | | If yes , what is the estimated acreage of wetlands impact? _____acres* |
| ☐ | ☐ | If yes , will the project require the dredging or filling of wetlands?
Estimated fill quantities: _____cubic yards
Estimated dredge quantities: _____cubic yards |
| ☐ | ☐ | If yes , have all practicable alternatives and measures to the proposed construction in wetlands been evaluated? |
| ☐ | ☐ | *Is impact>0.1 acres? Nationwide 404 Permit required, and mitigation may be required. |
| ☐ | ☐ | *Is impact >0.5 acres? Individual 404 Permit and mitigation will be required. |
| ☐ | ☐ | 404 Permit: Will a US Army Corps of Engineers 404 Permit will be required?
Note: If any of the answers are Yes in the Surface Water, Floodplain or Wetlands section of the checklist then a 404 permit will likely be required. |

8. Historic and Archeological Resources: (Section 222 - Historic Preservation and Cultural Analysis)

- | Yes | No | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Historic Register Impact: Are National Register of Historic Places (NRHP) eligible/potentially eligible sites affected by the project? Consult with State Historic Preservation Officer (SHPO). |
| ☐ | ☐ | Historic Register: Are eligible/potentially eligible sites/districts listed on the National Register of Historic Places present within the project view shed? |
| ☐ | ☐ | Old Buildings: Does Project involve an undertaking to a building 50 years or older? |
| ☐ | ☐ | If yes , is there a SHPO letter determining that project would have No Effect/No Adverse Effect/Adverse Effect on the listed or potentially listed property? |
| ☐ | ☐ | Undisturbed Land: Does the project involve the acquisition or easement of any undisturbed land? |
| ☐ | ☐ | Archaeological Resources Affected: Are known archaeological resources affected by the project? Check OSA database. |
| ☐ | ☐ | Archaeological Resources Nearby: Is there potential for archaeological resources within the project vicinity? |
| ☐ | ☐ | Archaeological Survey: Has an archeological survey been completed to determine if there are any sites present? |
| ☐ | ☐ | Native American Consultation: Is Native American Consultation (NAC) required? This applies to federally funded projects. |

9. Threatened and Endangered Species (T&E):

- | Yes | No | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Website Search: Did any of the following websites identify the potential for Threatened and Endangered species? |
| ☐ | ☐ | US Fish and Wildlife:
https://www.fws.gov/program/endangered-species |
| ☐ | ☐ | KY State Nature Preserves Commission:
https://eec.ky.gov/Nature-Preserves/Pages/default.aspx |
| ☐ | ☐ | KY Department of Fish and Wildlife Resources:
https://fw.ky.gov/Pages/default.aspx |
| ☐ | ☐ | Federally Listed Species: Are federally listed T&E species potentially present in project vicinity? |
| ☐ | ☐ | Field Evaluation: Was a field evaluation conducted by a qualified Biologist? |
| ☐ | ☐ | If yes , did the field evaluation by a qualified Biologist indicate the presence of Federally listed T&E species in the project vicinity. |
| ☐ | ☐ | Biological Assessment: Is a Biological Assessment required?
If yes , anticipate Completion Date: _____ |
| ☐ | ☐ | Potential Affects: Does the project have the potential to adversely affect federally listed T&E species? |
| ☐ | ☐ | Survey Required: Do any of the federally listed T&E species which are potentially present in the project vicinity require surveys by biologists during a specific time of year? Several federally protected plant species that occur in KY may require identification by a qualified biologist and can only be positively identified during specific times during the growing season. |
| ☐ | ☐ | Tree Removal/Bat Habitat: Are there are trees in the project area to be removed? (Potential Indiana Bat habitat) If yes, then an assessment of the quality of the trees should be made by a qualified biologist. Indiana bat surveys must be performed by biologists with appropriate collection permits and must be performed during a narrow survey season (June 1 to August 15). Removal of trees in Indiana Bat habitat can only be performed from October 15 to March 31. (Verify the dates per the location). |

10. Hazardous Materials:

- | Yes | No | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Asbestos: Do any structures appear to have been built before 1970 (potential to contain Asbestos Containing Materials)? |
| ☐ | ☐ | Known Contamination: Are there known or potentially contaminated sites (service stations, landfills, automotive repair, junkyard, asbestos containing structures, etc.) present in the project vicinity? |
| ☐ | ☐ | If yes , is vegetation stressed or discolored on these sites? |
| ☐ | ☐ | If yes , are underground and aboveground tanks present on these sites? |
| ☐ | ☐ | Property Acquisition: Is property acquisition a part of the project? If yes then a Phase I and Phase II Environmental Site Assessments may be required. (See Section 203 Property Acquisitions and Section 212 Hazardous Materials) |
| ☐ | ☐ | If yes , Did Phase II site investigations reveal contamination that requires remediation? |

End of Pre-Design and Environmental Checklist