

## 200 - Pre-Design and Environmental Checklist

At the beginning of the Project and prior to hiring an Architect-Engineer, the Using Agency 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. Advance planning and communication will ensure that Pre-Design Checklist preparation will go smoothly.

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

Yes    No  
   

**Preparation:** The Using Agency 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.

<b>PRE-DESIGN CHECKLIST</b>
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**1. Utility Investigations:** Provide a complete list, including utility, availability and contacts.

Yes    No  
   

**Sewer:** (Division of Water) is there adequate capacity and acceptance of local utility?

  

**Water:** (Division of Water) – is there adequate supply, pressure and acceptance of local utility?

  

**Flow Test:** Has a flow test been performed?

  

**Electricity:** Coordination with local utility – is there adequate electrical supply?

  

**Other Utilities:** Is there adequate supply and availability? (i.e., gas, communications, etc.)

**2. Administrative Items:**

Yes    No  
   

**Coal Life Cycle Analysis:** Has a Coal Life Cycle Cost Analysis been performed? (See Section 230000-4)

  

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

  

**Human Remains:** Is there potential for human remains? (See Section 223 - Discovery of Human Remains)

  

**Hazardous Materials:** Has a Hazardous Materials Survey been performed? (See Section 212 and Section 907.2)

  

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

  

**High Performance Building Standards:** Has the High Performance Building Standard appropriate to the project been determined? (See Section 106 Item 106.5 High Performance Building Standards 200 KAR 6:070)

  

**Coal Burning Facility:** Will there be a Coal Burning Facility requiring an Air Quality Permit? (See Section 224 – Air Quality)

  

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

  

**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 s will be required. (See Section 225 Kentucky Airport Zoning Commission)

  

**Federal Funds:** Are Federal Funds being used?

  

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

  

**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

**LEED:** Has the appropriate LEED Certification required by the High Performance Building Standards been determined in conjunction with the Using Agency?

**4. Agency:**

Yes No

Agency Program

Agency Cost Estimate

Agency to set up account and provide funding

**5. Division of Engineering and Contract Administration:**

Yes No

**Total Estimate of Funds Required through Design - Form B-210-12** This is performed by the Project Manager. This estimate is based on the Total Project Cost (See Section 202.1).

**ENVIRONMENTAL CHECKLIST**

**6. Surface Waters - Corps of Engineers 404 Permit - Streams and Wetlands:** (See Section 217)

Yes No

**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.

**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.

**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. (See Section 214 - Environmental Permitting Overview.)

**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                       |   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Individual Section 404 Permit:</b> 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. (See Section 214 - Environmental Permitting Overview.) |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Area ≥ 1 Acre:</b> 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.)  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Wastewater:</b> Will wastewater be discharged into a Water of the Commonwealth? (See Section 221 Wastewater Collection Systems)  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Special Use Waters:</b> Are there any State-listed Special Use Waters in the project vicinity?   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Wild Rivers:</b> Are there federally listed Wild and Scenic Rivers in the project vicinity?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Federal Funding:</b> Is the project federally funded?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Federal Lands:</b> Is the project located on federal land?   |

**6.1. 401 Water Quality Certification & Floodplain Management: (See Section 218)**

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <b>100 Year Floodplain:</b> Does the project encroach onto the 100-year floodplain?* See FEMA Online Map Service Center for most up to date information. <a href="http://www.msc.fema.gov">http://www.msc.fema.gov</a> |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>FEMA:</b> Is FEMA No-impact Certification, Letter of Map Revision (LOMAR), or Conditional Letter of Map Revision (CLOMAR) required?   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Water Quality Certification:</b> Is a Water Quality Certification permit required? Note: A Water Quality Certification is required if a USARC 404 permit is required.   |

**7. Wetlands: (See Section 216 Wetlands)**

- |                          |                          |  |
|--------------------------|--------------------------|--|
| Yes                      | No                       |  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Wetlands Involved:</b> Will the project involve part of a wetland as defined by the US Army Corps of Engineers? Finding and limits defined by:<br><br>_____   |
|                          |                          | If <b>Yes</b> , what is the estimated acreage of wetlands impact? _____acres*  |
| <input type="checkbox"/> | <input type="checkbox"/> | If <b>Yes</b> , will the project require the dredging or filling of wetlands?<br>Estimated fill quantities: _____cubic yards<br>Estimated dredge quantities: _____cubic yards  |
| <input type="checkbox"/> | <input type="checkbox"/> | If <b>Yes</b> , have all practicable alternatives and measures to the proposed construction in wetlands been evaluated?  |
| <input type="checkbox"/> | <input type="checkbox"/> | *Is impact>0.1 acres? Nationwide 404 Permit required and mitigation may be required;   |
| <input type="checkbox"/> | <input type="checkbox"/> | *Is impact >0.5 acres? Individual 404 Permit and mitigation will be required.  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>404 Permit:</b> Will a US Army Corps of Engineers 404 Permit will be required?<br><b>Note:</b> If <b>any</b> of the answers are <b>Yes</b> 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                       |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Historic Register Impact:</b> Are National Register of Historic Places (NRHP) eligible/potentially eligible sites affected by the project? Consult with State Historic Preservation Officer (SHPO).  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Historic Register:</b> Are eligible/potentially eligible sites/districts listed on the National Register of Historic Places present within the project view shed?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Old Buildings:</b> Does Project involve an undertaking to a building 50 years or older?<br>If <b>Yes</b> , is there a SHPO letter determining that project would have No Effect/No Adverse Effect/Adverse Effect on the listed or potentially listed property? |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Undisturbed Land:</b> Does the project involve the acquisition or easement of any undisturbed land?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Archaeological Resources Affected:</b> Are known archaeological resources affected by the project? Check OSA database.   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Archaeological Resources Nearby:</b> Is there potential for archaeological resources within the project vicinity?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Archaeological Survey:</b> Has an archeological survey been completed to determine if there are any sites present?   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Native American Consultation:</b> Is Native American Consultation (NAC) required? This applies to federally funded projects.   |

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

- | Yes                      | No                       |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Website Search:</b> Did any of the following websites identify the potential for Threatened and Endangered species?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>US Fish and Wildlife:</b><br><a href="http://ecos.fws.gov/tess_public/StateListing.do?state+KY&amp;status=listed">http://ecos.fws.gov/tess_public/StateListing.do?state+KY&amp;status=listed</a>   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>KY State Nature Preserves Commission:</b><br><a href="http://naturepreserves.ky.gov/Pages/default.aspx">http://naturepreserves.ky.gov/Pages/default.aspx</a>   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>KY Department of Fish and Wildlife Resources:</b><br><a href="http://fw.ky.gov/kfwis/speciesInfo/speciesInfo.asp?lid+562&amp;NavPath=C267">http://fw.ky.gov/kfwis/speciesInfo/speciesInfo.asp?lid+562&amp;NavPath=C267</a>   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Federally Listed Species:</b> Are federally listed T&E species potentially present in project vicinity?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Field Evaluation:</b> Was a field evaluation conducted by a qualified Biologist?<br>If <b>Yes</b> , did the field evaluation by a qualified Biologist indicate the presence of Federally listed T&E species in the project vicinity.   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Biological Assessment:</b> Is a Biological Assessment required?<br>If <b>Yes</b> , anticipate Completion Date: _____   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Potential Affects:</b> Does the project have the potential to adversely affect federally listed T&E species?   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Survey Required:</b> 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.  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Tree Removal/Bat Habitat:</b> 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                       |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Asbestos:</b> Do any structures appear to have been built before 1970 (potential to contain Asbestos Containing Materials)?   |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Known Contamination:</b> Are there known or potentially contaminated sites (service stations, landfills, automotive repair, junkyard, asbestos containing structures, etc.) present in the project vicinity?              |
| <input type="checkbox"/> | <input type="checkbox"/> | If <b>Yes</b> , is vegetation stressed or discolored on these sites?   |
| <input type="checkbox"/> | <input type="checkbox"/> | If <b>Yes</b> , are underground and aboveground tanks present on these sites?  |
| <input type="checkbox"/> | <input type="checkbox"/> | <b>Property Acquisition:</b> Is property acquisition a part of the project? If yes then a Phase I Environmental Site Assessment may be required. (See Section 203 Property Acquisitions and Section 212 Hazardous Materials) |
| <input type="checkbox"/> | <input type="checkbox"/> | If <b>Yes</b> , Did Phase II site investigations reveal contamination that requires remediation?   |

**End of Pre-Design and Environmental Checklist**