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.

### PRE-DESIGN CHECKLIST

#### 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?
- [ ] Yes  [ ] No  **Water**: (Division of Water) – is there adequate supply, pressure and acceptance of local utility?
- [ ] Yes  [ ] No  **Flow Test**: Has a flow test been performed?
- [ ] Yes  [ ] No  **Electricity**: Coordination with local utility – is there adequate electrical supply?
- [ ] Yes  [ ] No  **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)
- [ ] Yes  [ ] No  **Subsurface Investigation**: Has preliminary Subsurface Investigations been initiated? (See Section 211 Subsurface Investigations)
- [ ] Yes  [ ] No  **Human Remains**: Is there potential for human remains? (See Section 223 - Discovery of Human Remains)
- [ ] Yes  [ ] No  **Hazardous Materials**: Has a Hazardous Materials Survey been performed? (See Section 212 and Section 907.2)
- [ ] Yes  [ ] No  **Site Ownership**: Has the Site Ownership been verified and site survey Initiated?
- [ ] Yes  [ ] No  **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)
- [ ] Yes  [ ] No  **Coal Burning Facility**: Will there be a Coal Burning Facility requiring an Air Quality Permit? (See Section 224 – Air Quality)
- [ ] Yes  [ ] No  **Air Permits**: Are any Air Pollution Permits required? (See Section 224 – Air Quality)
- [ ] Yes  [ ] No  **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)
- [ ] Yes  [ ] No  **Federal Funds**: Are Federal Funds being used?
- [ ] Yes  [ ] No  **Parks**: Is the project impacting any Park or Recreation Area?
- [ ] Yes  [ ] No  **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)

- **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.)

- **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?

- **Federal Lands**: Is the project located on federal land?

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

- **100 Year Floodplain**: Does the project encroach onto the 100-year floodplain?* See FEMA Online Map Service Center for most up to date information. [http://www.msc.fema.gov](http://www.msc.fema.gov)

- **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: (See Section 216 Wetlands)

- **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)

- **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):

- **Website Search:** Did any of the following websites identify the potential for Threatened and Endangered species?
  - **US Fish and Wildlife:**
  - **KY State Nature Preserves Commission:**
    - [http://naturepreserves.ky.gov/Pages/default.aspx](http://naturepreserves.ky.gov/Pages/default.aspx)
  - **KY Department of Fish and Wildlife Resources:**
  - **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:

- **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 Environmental Site Assessment 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