



SRF Project Milestone Checklist

This checklist outlines the review and approval milestones for sponsored project.

- Applicant Name: _____
- Applicant Sponsored Project Contact: _____
- Applicant's Consultant: _____
- SRF Project Manager: _____
- SRF Technical Advisor: _____
- Associated CWSRF Number: CS192
- Sponsored project amount approved by EPC \$ _____
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 (within 30 days) by SRF project manager (date): _____
 - d) Design review checklist/s provided by technical advisor (date): _____
 3. Schedule of work including design review milestones submitted (date): _____
 - a) Development of project communications plan
 4. 30% plans review by technical advisor
 - a) 30% plans submitted to SRF technical advisor & project manager (date): _____
 - b) 30% plans review comments issued (within 30 days) by technical advisor (date): _____
 5. 60% plans review by technical advisor
 - a) 60% plans submitted to SRF technical advisor & project manager (date): _____
 - b) 60% plans comments and design review checklist approval issued (within 30 days) by technical advisor (date): _____
 - c) Maintenance plan guidance provided by technical advisor (date): _____
 6. 60% plans resubmittal review (if required by SRF project manager)
 - a) Revised 60% plans submitted to SRF technical advisor & project manager (date): _____
 - b) Revised 60% plans review comments issued (within 30 days) by technical advisor (date): _____
 7. ☐ Required permit applications submitted to appropriate regulatory agencies (if applicable): (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 of estimate): _____

10. Pre-bid plans and specifications review by SRF technical advisor & project manager
- a) Maintenance plan prepared (date): _____
 - b) Pre-bid plans and specifications submitted to SRF technical advisor & project manager (date): _____
 - c) Pre-bid plans and specifications review comments issued (within 30 days) by SRF Project Manager (date):

11. Final plans and specifications review
- a) Final plans and specifications submitted to SRF technical advisor & project manager (date): _____
 - b) Review comments or approval of final plans and specifications and eligibility letter issued (within 30 days) 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) Award concurrence letter issued or additional information requested (within 5 business days) by SRF project manager (date): _____
15. Loan Amendment application prepared (date): _____
16. Notice to proceed issued and sent to SRF project manager (date): _____
17. Pre-construction meeting (date): _____
18. Change Orders (if applicable)
- a) Change order submitted to SRF technical advisor & project manager (date): _____
 - b) Change order reviewed and eligibility determination issued (within 5 business days) by SRF project manager (date): _____
19. ☐ Interim inspections scheduled with technical advisor (date/s): _____
20. Final inspection (date): _____
- a) Satisfactory completion letter issued by SRF project manager (date): _____
21. ☐ Loan closeout

***For more information, please contact Lee Wagner at 515-725-0992 or
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Explanation of SRF Project Milestone Checklist Steps

1. **PROJECT INITIATION MEETING**- The project initiation meeting will be scheduled by the SRF project manager following EPC approval of SRF Sponsored Project funding recommendations. This meeting will include appropriate applicant staff, SRF project manager, SRF technical advisor, Iowa Finance Authority, 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 considerations among other things.
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 technical advisor and 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 project manager and other project partners. Depending on the level of assessment and planning that was performed in the development of the application, the design concept may be able to be approved based on the application materials following the project initiation meeting. Review of the design concept may take up to 30 days. Once reviewed, the design concept will either be approved, or comments will be provided and design concept will need 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**- When the consultant prepares their schedule of work for the sponsored project/s it should include the SRF design review and approval milestones (30%, 60%, Pre-bid, and Final Plans and Specs) and allow 30 days for each of the design review submittals.

Applicants are strongly encouraged to develop a comprehensive communication plan to inform stakeholders about the proposed projects and seek input from them. Stakeholders may include City Council, Departments, Staff, 28 E project partners, affected landowners/ 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 (i.e. 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 provide comments on the 30% plans within 30 days of submittal along with guidance on the information that needs to be included with the 60% plans submittal.
5. **60% PLANS**- The 60% plans submittal should incorporate/ address comments from the SRF technical advisor on the 30% plans 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 and SRF project manager will provide comments on the 60% plans within 30 days of submittal along with guidance on the information that needs to be included with the pre-bid plans and specifications submittal as well as guidance for developing the maintenance plans for the practice/s being constructed.
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 within 30 days of the resubmittal.

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 with the 60% plans.
8. **BOND COUNSEL CONTACT**- The applicant will need to coordinate with their bond counsel to ensure that the necessary steps (setting the schedule for bid-letting and public hearing/ loan resolution) to amend the associated CWSRF loan to include the sponsored project are completed in a timely manner.
9. **ESTIMATE OF SPONSORED FUNDING AVAILABLE**- If there is question about the amount of Sponsored Project funds that will be available related to the final amount that will be drawn on the associated wastewater loan or the schedule of the loan amendment for the sponsored project as it relates to a principal payment, an estimate of available sponsored project funds should be requested from IFA.
10. **PRE-BID PLANS AND SPECIFICATIONS**- The pre-bid (90-100%) plans and specifications submittal should incorporate/ address comments from the SRF technical advisor on the 60% plans and include plan view, cross sections, profiles, typical drawings, and planting plan (species and layout), seeding/ restoration plan, and maintenance plan. It is highly recommended that the 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 and specs and maintenance plan within 30 days of submittal. The SRF project manager will provide the SRF front-end documents (if not already provided).
11. **FINAL PLANS AND SPECIFICATIONS**- The final plans and specifications submittal should incorporate/ address comments from the SRF technical advisor on the pre-bid plans specs and include SRF front-end documents, approved IDALS design review checklists, bid item spreadsheet, any required permits/ clearances received, bid-letting schedule, and signed maintenance plan. Within 30 days the SRF project manager will provide review comments or approve final plans and specs for bid letting and issue an eligibility 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. Following the 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 for review. Within 5 business days the SRF project manager will review and respond either requesting any additional information or issuing a bid concurrence letter and SRF sponsored project eligibility spreadsheet identifying the eligible bid items and costs, and IFA sends the loan amendment application.
15. **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.
- 16 & 17. **NOTICE TO PROCEED & PRE-CONSTRUCTION MEETING**- Once issued, a copy of the notice to proceed needs to be sent to the SRF project manager and the SRF technical advisor needs to be included in scheduling the pre-construction meeting and the SRF project manager needs to be invited to the pre-construction meeting once scheduled. At the

pre-construction meeting the construction schedule, specific construction methods, and other pertinent construction details will be discussed and the SRF technical advisor identify important construction items that require inspection.

- 18. 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. In general, change orders to increase or decrease eligible bid item quantities will 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/ eligibility determination within 5 business day or receipt.
- 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 with the consultant and contractor will inspect the construction elements, and, 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. FINAL INSPECTION AND LOAN CLOSEOUT**- As construction of the project reaches substantial completion a final inspection needs to be scheduled with the SRF project manager and technical advisor. If deficiencies are identified during the final inspection the 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 SRF project manager will issue letter/ email stating that construction has been satisfactorily completed.
- 21. 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, and 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.