

Construction Phase Engineering Contract Requirements for KPWSLF

For construction phase services of engineering contracts for Kansas Public Water Supply Loan Fund projects the following items must be addressed. If the system chooses to be responsible for any of the first 4 items listed, KDHE will need to be notified in writing. The engineering contract must include the remaining items.

- O& M manual
- Final Plan of Operation
- Project management services
- Inspection of construction
- Project Performance services
- Follow KPWLF Disadvantaged Business Enterprise implementation procedures
- Contract Provisions of Kansas Statute Annotated (K.S.A.) 44-1030 Kansas Act Against Discrimination.

O&M Manual

Municipalities using Kansas Public Water Supply Loan Fund money for projects are required to submit a final operation and maintenance manual prior to 90% construction completion. The operations and maintenance manual must include, but is not limited to, a description of the operation and managerial responsibility, detailed operation and controls, operators and personnel classification and requirements, operational testing, equipment maintenance schedule, operational records, and emergency operating and shutdown procedures. The O&M manual requirement can be waived if the project is strictly for pipeline construction and the Final Plan of Operation indicates that the O&M for the completed project will be consistent with the system's existing O&M practices. Two templates are included (one for treatment plants and one for wells, water storage, and pump stations).

Final Plan of Operation

Municipalities using Kansas Public Water Supply Loan Fund money for projects are required to submit a final plan of operation prior to 50% construction completion. The plan of operation must include, but is not limited to, an overall Project completion schedule, annual operating cost projections for a minimum of five years, a description of the financial management system, and the projected revenues to operate and maintain the public water supply system. Revenue projections shall also include the Loan Repayments. The Final Plan of Operation serves as a snap shot of how the loan fund project has progressed, a projection of how it will be completed, and how the addition of the project effects the operation and management of the public drinking water system in whole. The Final Plan of Operation further confirms that the system has the required Technical, Financial, and Managerial capacity. A proposed format is included.

Project Management Services

These services can include interpretation of specifications, review of contractor data submittals for conformance with design, recommendation of change orders, and review contractor requests for payment.

Inspection of Construction

Observe key phases of construction and provide opinions on compliance with contract documents.

Project Performance Services

The Municipality must assure that the engineering firm principally responsible for supervising construction and for providing engineering services during construction will continue its relationship with the Municipality for a period of up to one year after initiation of operation of the Project. At that time the consultant will need to make a determination on whether the project operates as designed. If the project does not meet performance standards or design specifications at the end of this period, a corrective action report must be submitted containing: an analysis of the cause of the Project's inability to meet performance standards; actions necessary to bring it into compliance, and a reasonably scheduled date for positive certification of the Project. If needed during this period, the engineering firm shall direct the operation of the Project, train operating personnel and prepare curricula and training material for

operating personnel.

Kansas Act Against Discrimination Requirements

All contracts must certify they comply with the Kansas Act Against Discrimination Requirements and attach a copy of the certification to the contract. The Kansas Act Against Discrimination requirements are included.

Disadvantaged Business Enterprise (DBE) Requirements

Any agreement that covers construction phase services for a KPWSLF project must follow the procurement procedures for contacting disadvantaged business enterprises for any subcontract solicitations. This includes submitting information about DBE engineering subcontractors to KDHE. If no subcontracts are to be used during construction phase services or no DBE subcontractors exist for the type of work available for subcontracting the worksheet must include such a statement. Implementation procedures are included.

OPERATION AND MAINTENANCE MANUAL FORMAT
For Water Treatment Plants

This Operation and Maintenance Manual Format is presented for use in the Kansas Public Water Supply Loan Fund program in conformance with K.A.R. 28-15-61(b)(4). The following subjects and topics, applicable to the actual Loan project being constructed, must be addressed in the text of the O&M Manual. The Consultant is encouraged to call KDHE to discuss scope and applicability of this requirement.

I. INTRODUCTION - Manual User Guide

- A. Operation and Managerial Responsibility
1. Operator responsibilities defined
 2. Manager responsibilities
 3. List of available training
 4. List of recommended publications
 5. List of publications furnished facility

- B. Process Type Description
1. Type of treatment process
 - a) Brief description of major process
 - b) Brief description of individual units
 2. Flow pattern with diagram

II. PERMITS AND STANDARDS

- A. Treatment requirements/effluent limitations
- B. List of permits affecting facility (including NPDES, Corps of Engineers Section 10/404, etc.)
1. Permit number and renewal date
 2. Permit requirements/regulations of permitting agency
 3. Reporting procedure for spills

III. DESCRIPTION, OPERATION, AND CONTROL OF PROJECT FACILITIES

- A. For each unit process, general coverage of the following:
1. Description, function, flow routing and design process removal efficiency
 2. Listing of major components and mechanical equipment
 3. Relationship to adjacent units
 4. Methods of control

5. Discussion of common operating problems and control
 6. Start-up procedures
 7. Emergency shut-down procedures
- B. For each unit process, specific coverage of the following:
1. Normal operation (valve positions, sludge depths, etc.)
 2. Alternate operation modes
 3. Emergency operations/failsafe features
- C. Sludge Hauling and Application Equipment
- D. Sludge Disposal Method and Final Disposal Location

IV. PERSONNEL

- A. Staffing And Training Plan
1. Supervision
 2. Administration
 3. Operation
 4. Maintenance
 5. Total personnel
 6. Annual training
 7. Laboratory training needs
- B. Qualifications
1. Training
 2. Skills required
 3. Experience
 4. Certification required
- C. Certification
1. Copy State rules and regulations
 2. Certification requirements, this facility

V. LABORATORY TESTING

- A. Outline of sampling and testing program, discussion of purpose
- B. Discussion of laboratory results, expected ranges and process control adjustments from test results
- C. Provision of sample laboratory worksheet, instructions, and test results forms
- D. Recommended list of laboratory references
- E. Laboratory equipment, supplies and chemicals inventory

VI. RECORDS

- A. General - importance of record keeping
- B. Facility construction records
- C. Sample, daily operating log of process operations, instructions
- D. Sample, monthly operating report to State Agency, instructions
- E. Sample, annual report format
- F. Operating cost record keeping system recommendations
- G. Personnel record system recommendations
- H. Emergency conditions; bypass reports, permit violations, etc.
- I. Maintenance and laboratory, if not provided elsewhere

VII. MAINTENANCE

- A. Conceptual Description of Maintenance Program
- B. Equipment Record System
 - 1. Equipment numbering system
 - 2. Equipment catalog (configuration list)
 - 3. Maintenance record cards, instructions
 - 4. Nameplate data cards, all major equipment
 - 5. List of warranted equipment, warranty provisions
- C. Miscellaneous Maintenance Records
- D. Planning and Scheduling
 - 1. Normal preventive maintenance schedule provided
 - 2. Lubrication schedule, lubricant list
 - 3. Emergency, corrective maintenance
 - 4. Work order system and sample forms
- E. Storeroom and Inventory System
 - 1. Recommended list of spare parts
 - 2. Procedures; stockroom inventory, sample forms and records
- F. Special tool list, toolroom control
- G. Maintenance personnel staffing requirements
- H. System for cost accounting and budgeting
- I. Recommended list outside contract maintenance tasks, firms

VIII. EMERGENCY OPERATING AND RESPONSE PLAN

- A. Objectives
- B. Vulnerability analysis
- C. Mutual aid list
- D. Emergency equipment list
- E. Records preservation
- F. List of industrial sources (including monitoring and response system)
- G. Police/fire coordination
- H. Personnel assignment in detail
- I. Readiness/emergency response center
- J. Emergency/operating plan

IX. SAFETY

- A. Importance of safety program
- B. Content
 - 1. Emergency phone list
 - 2. Safety equipment list
 - 3. Sewer hazards
 - 4. Electrical hazards
 - 5. Mechanical equipment hazards
 - 6. Explosion and fire hazards
 - 7. Bacterial infection
 - 8. Chlorine hazards
 - 9. Oxygen deficiency/gases
 - 10. Laboratory hazards
 - 11. Process chemicals handling
 - 12. List of references
- C. Periodic safety program review
- D. Accident report form

X. UTILITIES

- A. List of utility suppliers
 - 1. Electrical
 - 2. Telephone
 - 3. Natural gas
 - 4. Water
 - 5. Fuel oil

- B. Capacities, limitation, responsibility coordination

XI. ELECTRICAL SYSTEM

- A. Power source description
- B. Distribution system
- C. Control and monitoring system
- D. Emergency procedures

XII. APPENDIX

- A. Schematics
- B. Valve indices
- C. Sample forms
- D. Process chemicals/source
- E. Detailed design criteria
- F. Equipment suppliers
- G. Manufacturer's manuals
- H. Sources; service & parts
- I. As-built drawings
- J. Approved shop drawings
- K. Dimension prints
- L. Construction photos
- M. Warranties, bonds
- N. Piping color code
- O. Protective coating list
- P. Recommended references

OPERATION AND MAINTENANCE MANUAL FORMAT

For Water Towers, Wells, and Pump Stations

This Operation and Maintenance Manual Format is presented for use in the Kansas Public Water Supply Loan Fund program in conformance with K.A.R. 28-15-61(b)(4). The following subjects and topics, applicable to the actual Loan project being constructed, must be addressed in the text of the O&M Manual.

- I.** Title – Name and list type of infrastructure, brief description of what the Manual is to be used for.
- II.** Location – Describe location using Section Township and Range, Highways, Longitude and Latitude, or show location on map.
- III.** Personnel – Describe operator’s classification requirements and managerial responsibility associated with the operation of the infrastructure.
- IV.** General Operation – Describe how infrastructure interacts with entire water system, where it receives water from, where it transports water to, etc. Describe how the infrastructure is controlled.
- V.** Infrastructure Description – Describe capacity and component information For water storage include type (ground, standpipe, or elevated), overflow elevation, distances from foundation to overflow and to the bottom of the storage volume for elevated storage, diameter of standpipe/tank for ground storage and riser pipe and storage volume for elevated storage, interior/exterior coating system, etc. For pump stations include number of pumps, model #'s, capacity, electrical requirements, pump and motor manufacturers, and any treatment facilities (e.g., disinfection, fluoridation, sequestration, etc.) included as part of the project. For wells include well type (line shaft turbine, pitless, horizontal collector, etc.), bore and depth, depth to first screen, yield (capacity) and pump information. Where applicable include well house dimensions, a description of any equipment within including ventilation, and a brief discussion of treatment facilities (e.g., disinfection, fluoridation, sequestration, etc.) included as part of the project.
- VI.** Operation and Maintenance – Outline daily, weekly, monthly, semi annual, annual, and or biennial, etc., testing, maintenance, and operation duties. Describe valve operation system and specific configurations to achieve specific results. Describe telemetry system operation. Describe operation of system during water conservation or emergency conditions.
- VII.** Access – Describe any special requirements to access the infrastructure.

- VIII.** Records – List location of construction records, outline what information should be retained for records of maintenance, repair, and testing, and how they should be stored.
- IX.** Safety – Describe any safety issues and requirements associated with the infrastructure, include ventilation system description, particularly if disinfection treatment is included.
- X.** Contacts – List emergency contact information, equipment manufacturer and dealer contact information, regulatory contact information, etc.
- XI.** Appendix. Items in the appendix do not need to be submitted to KDHE for O&M manual approval. Suggested items include water system map, sample forms, as-built drawings, construction photos, warranty information, maintenance agreements, specifications, electrical schematics, equipment manuals, copy of KDHE permit, copy of emergency plan, etc.

PLAN OF OPERATION FORMAT

The Plan of Operation Format is to be used to develop the Final Plan of Operation for Kansas Public Water Supply Loan Fund Projects as required by K.A.R. 28-15-61(b)(3). The Plan of Operation must include/discuss the following subjects:

1. **General Information:**

Name of Project, Project Number, Project Consulting Engineer, and Brief Project Description

2. **Chronological summary:** *Implementation dates, including design phase, bid date, construction start date, projected construction completion date, and projected final loan disbursement date.*

3. **Staffing and training:** *What additional Staff or Staff skills will be necessary? Will special start-up training be needed?*

4. **Records and reports:** *What records are to be produced during the construction of the project (progress/inspection reports, contract change orders, contractor pay requests, etc)? Will new records and reports be needed due to the addition of the project (disinfection residual records, maintenance records, financial record keeping due to loan requirements, water use reports, etc)?*

5. **Laboratory control:** *What additional new equipment and new testing protocols will be necessary to assure quality control after completion of the project (only applies to projects that alter treatment processes)?*

6. **Process control and "fine tuning" procedures:** *What additional testing, monitoring and treatment control applications will be necessary to assure compliance with the regulations (only applies to projects that alter treatment processes)?*

7. **Safety:** *What areas of safety need to be addressed and what areas of increased risk are associated with the operation of the system when the project is completed, if any?*

8. **Emergency operating plan:** *Does the system have an Emergency Operating Plan approved by KDHE? Does it need to be updated for the addition of the project?*

9. **Maintenance management:** *What systems of routine maintenance need to be placed in service to ensure maximum life from the project? (If the project is for pipeline, address how leaks, services, flushing, disinfection, and valve exercising activities will be routinely carried out.)*

10. **Operation and maintenance manual:** *Will the addition of the project to the system alter an existing O&M manual? Will an O&M Manual be needed because the project created a system component that*

did not exist before? (Typically, pipeline projects will not require an O&M manual if a statement is made in this section indicating that the O&M for the completed project will be consistent with the system's existing O&M practices. Projects for wells, storage, and pump stations will still require an O&M manual but the O&M manual need not be as detailed as an O&M manual would need to be for changes in treatment processes.)

11. **O&M budget and ordinance development:** Describe the process for calculating annual cost projections for the system as a whole, including cost projections for long term capital needs. Also describe the process that would alert the system that the user rate structure would need to be adjusted.
12. **Project performance criteria:** Describe how the project will be evaluated to determine whether it has met its operational goals. How will you determine the project met the need it was designed to fulfill?
13. **Project construction schedule:** Provide a schedule of the remaining construction milestones with special attention to the times and the areas where existing facilities or operations will be impacted.
14. **Estimated remaining construction payments schedule:** Summarize the remaining construction contract and reimbursement requests from the loan fund.
15. **Projections of annual operating costs and revenue:** Provide a summary of loan repayments, operational costs, maintenance and replacement costs, and revenues for the next 5-year period.

	Year 1	Year 2	Year 3	Year 4	Year 5
Revenue					
Expenses					
Debt Service					
Excess/Shortfall					

16. **Description of existing Financial Management System of water supply utility:** Who makes financial decisions for the system? Explain how the system's finances are maintained. Are revenues regularly transferred to support other municipal operations? Does the system have a minimum year end cash balance goal?



STATE OF KANSAS
ACT AGAINST DISCRIMINATION
CONTRACT PROVISIONS

During the performance of this contract, the contractor agrees as follows:

1. The contractor shall observe the provisions of the Kansas Act Against Discrimination and shall not discriminate against any person in the performance of work under the present contract because of race, religion, color, sex, physical handicap unrelated to such person's ability to engage in the particular work, national origin, or ancestry;
2. In all solicitations or advertisements for employees, the contractor shall include the phrase "Equal opportunity employer" or a similar phrase to be approved by the Commission;
3. If the contractor fails to comply with the manner in which the contractor reports to the Commission in accordance with the provisions of K.S.A. 1977 Supp. 44-1031, the contractor shall be deemed to have breached the present contract and it may be cancelled, terminated, or suspended, in whole or in part, by the contracting agency;
4. If the contractor is found guilty of a violation of the Kansas Act Against Discrimination under a decision or order of the Commission which has become final, the contractor shall be deemed to have breached the present contract and it may be cancelled, terminated or suspended, in whole, or in part, by the contracting agency; and
5. The contractor shall include the provisions of paragraphs (1) through (4) inclusively of this subsection (a) in every subcontract or purchase order so that such provisions will be binding upon such subcontractor or vendor.
 - (b) The Kansas Commission on Civil Rights shall not be prevented hereby from requiring reports of contractors found to be not in compliance with the Kansas Act Against Discrimination.
 - (c) The provisions of this section shall not apply to a contract entered into by a contractor (1) who employs fewer than four (4) employees during the term of such contract; or (2) whose contracts with the governmental entity letting such contract cumulatively total five thousand dollars (\$5,000) or less during the fiscal year of such governmental entity. (K.S.A. 44-1030; L. 1977, ch. 183, 1; July 1)

PROJECT/CONTRACT NAME AND No.

MUNICIPALITY _____

KWPCRLF No. or
KPWSLF No. _____

ENGINEER'S
SIGNATURE _____

TITLE _____

DATE _____

KANSAS
DEPARTMENT OF HEALTH & ENVIRONMENT
DIVISION OF ENVIRONMENT
BUREAU OF WATER

KANSAS PUBLIC WATER SUPPLY LOAN FUND
KANSAS WATER POLLUTION CONTROL REVOLVING LOAN FUND

Participation By Disadvantaged Business Enterprises Information Sheet

As a recipient of EPA SRF Capitalization Grants, the Kansas Department of Health and Environment (KDHE) is required by 40 CFR Part 33 to seek and is encouraged to utilize small, minority, and women-owned businesses in procurement under loan agreements associated with those grants . Because this project will receive funding, at least in part, from KDHE through a Kansas Public Water supply Loan Fund (KPWSLF) or a Kansas Water Pollution Control Revolving Loan Fund (KWPCRLF) loan agreement, those requirements are applicable to the loan recipient (municipality), engineering firm responsible for construction phase services, and prime contractor.

This information sheet explains requirements of the KPWSLF and KWPCRLF for Disadvantaged Business Enterprises (DBE) utilization. A copy of this Information Sheet must be included within engineering contracts for construction phase services and must be included within the contract documents of construction specifications.

Definitions

Disadvantaged Business Enterprise - entities owned and/or controlled by socially and economically disadvantaged individuals (as described in 42 USC 7601 and 42 USC 4370d - which includes Women's Business Enterprises (WBE) and Minority Business Enterprises (MBE) as defined in this information sheet); a Small Business Enterprise (SBE); a Small Business in Rural Area (SBRA); a Labor Surplus Area Firm (LSAF); or a Historically Underutilized Business (HUB) Zone Small Business Concern or a concern under a successor program.

Socially disadvantaged individual – individuals who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities, and are further defined as:

Black Americans	Asian Pacific Americans	Indian Tribes
Hispanic Americans	Native Hawaiian Organizations	Women
Native Americans	Historically Black Colleges and Universities	

Economically disadvantaged individual - those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital or credit opportunities, as compared to others in the same business area who are not socially disadvantaged.

Women's Business Enterprise (WBE) – a business concern which is at least 51% owned or controlled by women for purposes of 42 USC 7601 of 42 USC 4370d.

Minority Business Enterprises (MBE) - a Disadvantaged Business Enterprise other than a SBE, SBRA, LSAF, or WBE.

KDHE Implementation Requirements for DBE Procurement Opportunities

KDHE has an objective of using an amount equal to 4.1% of the capitalization grant as awarded by EPA to KDHE, for construction procurement performed by MBE entities and 6.9% of the capitalization grant for WBE entities. This is referred to as a fair share objective. The loan recipient (municipality), engineering firm responsible for construction phase services, and prime contractor are required to adopt this same fair share objective. The fair share objective is not a quota and EPA cannot penalize KDHE, the loan recipient, engineering firm, or the prime contractor for not meeting MBE or WBE participation objectives.

The prime contractor and consulting engineer responsible for construction phase services **are** required to make the good faith efforts and apply the administrative requirements listed below. If the good faith efforts are not made when subcontracts are considered for the prime construction contract or for engineering construction phase services, the ability of the KDHE to fund this project, or portion thereof, will be jeopardized. Under no circumstances are race and/or gender conscious actions required by EPA or KDHE.

Good Faith Efforts

1. Ensure DBEs are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities.

This step may include sending letters or making other personal contacts with DBEs. DBEs should be contacted when other potential subcontractors/suppliers are contacted, within reasonable time (i.e. minimum of fifteen days) prior to bid submission or closing date for receipt of initial offers. Those letters or other contacts should communicate the following:

- i. Specific description of the work to be subcontracted or supplies to be purchased;
 - ii. How and where to obtain a copy of plans and specifications or other detailed information needed to prepare a detailed price quotation;
 - iii. Date the quotation is due to the prime contractor;
 - iv. Name, address, and phone number of the person in the prime contractor's firm whom the prospective DBE subcontractor/supplier should contact for additional information.
2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.

3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs.
4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.
5. Use the services and assistance of the SBA and the Minority Business Development Agency of the Department of Commerce.

Administrative Requirements

The prime contractor/engineering firm responsible for construction phase services:

1. Must pay its subcontractor for satisfactory performance not more than 30 days from the prime contractor's receipt of payment.
2. Must notify KDHE in writing prior to termination of a DBE subcontractor for convenience.
3. Must employ the good faith efforts when soliciting a replacement subcontractor, if the original subcontractor fails to complete work for any reason.
4. Shall provide EPA Form 6100-2—DBE Program Subcontractor Participation Form to all of its DBE subcontractors. Subcontractors can submit this form to KDHE if there are any concerns regarding the project.
5. Must have its DBE subcontractors complete EPA Form 6100-3—DBE Program Subcontractor Performance Form, and submit it with the bid or proposal package.
6. Must complete and submit EPA Form 6100-4—DBE Program Subcontractor Utilization Form with the bid or proposal package (use additional copies of form if needed).
7. Shall not discriminate on the basis of race, color, national origin or sex in the performance of this contract. The contractor shall carry out applicable requirements of 40 CFR part 33 in the award and administration of contracts awarded under EPA financial assistance agreements. Failure by the contractor to carry out these requirements is a material breach of this contract which may result in the termination of this contract or other legally available remedies.

Finding DBE Firms

The Central Contractor Registration (CCR) maintains a database for the U.S. Federal Government that can be searched for various DBE contractors certified by SBA. The database is located on the web at <https://www.bpn.gov/CCRSearch/Search.aspx>.

The Kansas Department of Transportation Directory of Disadvantaged Business Enterprise (DBE) can be found on the web at <http://www.ksdot.org/divAdmin/DBEConstruction/dbedir.aspx>.

The Minority Business Development Agency of the Department of Commerce maintains a business locator database on the web at <http://www.mbda.gov>.

KDHE and the municipality are required to maintain a list of bidders that have competed for loan fund projects. This list can be used in conjunction with the directories listed above to find DBE firms. This list can be found on the web at <http://www.kdheks.gov/pws/loan/SRFbidlist.xls>.

DBE firms are not limited by the directories listed above. Prime contractors should use any means necessary to locate and contact DBE firms.

In order for a DBE to participate as an MBE or WBE, that entity must be certified by one of the following; the (1) Environmental Protection Agency (EPA), (2) Small Business Administration (SBA), (3) US Department of Transportation, or (4) any other state or local government or private organization certification that has standards that meet or exceed the EPA certification program. MBE's and WBE's must be certified in order for procurement to count towards meeting Fair Share Goals.

Determination of Compliance

Prime contractors must demonstrate compliance with DBE requirements in order to be deemed responsive prior to contract award. Demonstration of compliance shall include submittal of EPA Form 6100-3, EPA Form 6100-4, and a list of DBE subcontractors contacted and the method used to contact them (the attached Demonstration of Compliance with DBE Good Faith Efforts Worksheet can be used for this purpose).

Engineering firms responsible for construction phase services must demonstrate compliance with DBE requirements prior to the construction contract award. Demonstration of compliance shall include submittal of EPA Form 6100-3, EPA Form 6100-4, and a list of DBE subcontractors contacted and the method used to contact them (the attached Demonstration of Compliance with DBE Good Faith Efforts Worksheet can be used for this purpose).

The municipality is required to submit a copy of this information to KDHE as well as submit the Applicant Assurance with Respect to Good Faith Efforts for DBE Utilization form prior to the award of the construction contract. The municipality is also required to submit to KDHE by April 15 and October 15 (during project construction), EPA Form 5700-52A - MBE/WBE Utilization under Federal Grants, Cooperative Agreements, and Interagency Agreements. If MBE/WBE firms are utilized, proof of certification must be submitted with EPA Form 5700-52A



Environmental
Protection Agency

OMB Control No: 2090-0030
Approved: 05/01/2008
Approval Expires: 01/31/2011

**Disadvantaged Business Enterprise Program
DBE Subcontractor Participation Form**

NAME OF SUBCONTRACTOR¹	PROJECT NAME
ADDRESS	CONTRACT NO.
TELEPHONE NO.	EMAIL ADDRESS
PRIME CONTRACTOR NAME	

Please use the space below to report any concerns regarding the above EPA-funded project (e.g., reason for termination by prime contractor, late payment, etc.).

CONTRACT ITEM NO.	ITEM OF WORK OR DESCRIPTION OF SERVICES RECEIVED FROM THE PRIME CONTRACTOR	AMOUNT SUBCONTRACTOR WAS PAID BY PRIME CONTRACTOR

_____	_____
Subcontractor Signature	Title/Date

¹Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



Environmental
Protection Agency

OMB Control No: _____
Approved: _____
Approval Expires: _____

**Disadvantaged Business Enterprise Program
DBE Subcontractor Performance Form**

NAME OF SUBCONTRACTOR ¹		PROJECT NAME
ADDRESS		BID/PROPOSAL NO.
TELEPHONE NO.		E-MAIL ADDRESS
PRIME CONTRACTOR NAME		
CONTRACT ITEM NO.	ITEM OF WORK OR DESCRIPTION OF SERVICES BID TO PRIME	PRICE OF WORK SUBMITTED TO PRIME CONTRACTOR
Currently certified as an MBE or WBE under EPA's DBE Program? _____ Yes _____ No		
_____ Signature of Prime Contractor		_____ Date
_____ Print Name		_____ Title
_____ Signature of Subcontractor		_____ Date
_____ Print Name		_____ Title

¹Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



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**Disadvantaged Business Enterprise Program
DBE Subcontractor Utilization Form**

BID/PROPOSAL NO.	PROJECT NAME
NAME OF PRIME BIDDER/PROPOSER	E-MAIL ADDRESS
ADDRESS	
TELEPHONE NO.	FAX NO.

The following subcontractors¹ will be used on this project:

COMPANY NAME, ADDRESS, PHONE NUMBER, AND E-MAIL ADDRESS	TYPE OF WORK TO BE PERFORMED	ESTIMATE D DOLLAR AMOUNT	CURRENTLY CERTIFIED AS AN MBE OR WBE?

I certify under penalty of perjury that the forgoing statements are true and correct. In the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302(c).

Signature of Prime Contractor

Date

Print Name

Title

¹Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

Demonstration of Compliance with DBE Good Faith Efforts Worksheet

Project Name _____

KPWSLF or KWPCRLF Project No. _____

Prime Contract Bidder/Engineering Firm _____

Address _____

Contact Person: _____ Telephone No. _____

The following firms were made aware of subcontracting/supplier opportunities related to the project listed above.

DBE Subcontractor/Supplier contacted _____

Address _____

Contact Person: _____ Telephone No. _____

Email _____ Method used to contact (circle one): Phone Mail Fax

Is entity also a certified as a MBE _____ or WBE _____? (if no leave blank)

MBE/WBE status certified by (circle one) EPA SBA Other _____

DBE Subcontractor/Supplier contacted _____

Address _____

Contact Person: _____ Telephone No. _____

Email _____ Method used to contact (circle one): Phone Mail Fax

Is entity also a certified as a MBE _____ or WBE _____? (if no leave blank)

MBE/WBE status certified by (circle one) EPA SBA Other _____

DBE Subcontractor/Supplier contacted _____

Address _____

Contact Person: _____ Telephone No. _____

Email _____ Method used to contact (circle one): Phone Mail Fax

Is entity also a certified as a MBE _____ or WBE _____? (if no leave blank)

MBE/WBE status certified by (circle one) EPA SBA Other _____

DBE Subcontractor/Supplier contacted _____

Address _____

Contact Person: _____ Telephone No. _____

Email _____ Method used to contact (circle one): Phone Mail Fax

Is entity also a certified as a MBE _____ or WBE _____? (if no leave blank)

MBE/WBE status certified by (circle one) EPA SBA Other _____

Comments _____

Prepared By: _____

Date: _____

(Use additional copies of this sheet if needed)