

# RIDEM Certificate of Approval Instructions

v. 03/08/2023

The Certificate of Approval (CA) checklist for a CWSRF project is attached, it includes two additional forms, indicated below. Here is some clarification to guide these items:

- Please indicate the Stage of project for which you are seeking funding now: Planning, Design, Construction Management, and/or Construction. (Please note that for the CWSRF program to fund engineer consultants, the procurement for such must be made via a pure qualifications-based solicitation and selection process, which meets the federal Brooks Act (cost shall not be a factor).
- A. In cover letter, if not otherwise included in the application package, please include:
- A detailed description of the project (you may attach excerpts of such from supporting documents)
  - The purpose of the project, including a statement specifying the water quality benefit that the project achieves
  - Name of planning document in which this project is identified
  - Name and date of preliminary engineering report (PER) or design report for this project.
- B.1. This statement needs to come from authorized official, such as the City Manager/Mayor, Town Administrator, Executive Director, etc. Please note that procurement for Architectural or Engineering services (if CWSRF funds are requested to be expended for such) must be a purely qualifications-based selection in accordance with federal Brooks Act (40 USC 1101 et seq.) and RIGL 45-55-8.1. (for info: <http://www.dem.ri.gov/programs/water/finance/srf-contract-documents.php> )
- B.2. This has to do with the Scope of Work for engineering/professional services to do planning, design, or construction oversight/inspections/management (not the scope of work of the project itself). If you are using your own in-house staff to perform these services, submit copies of their resumes.
- C.1. These are the second and third sheets that are attached to the Certificate of Approval application—these need to be filled out and signed by authorized official. Each sheet lists a number of state or federal laws that need to be adhered. CWSRF funds are a blend of state and federal money and therefore, both sets of laws must be followed.
- C.2. The resolution needs to indicate that an SRF loan is being sought from the RI Infrastructure Bank.
- C.3. Provide a list breaking down total project costs. If you are seeking reimbursement for design costs in a CA application for construction, and/or seeking to pay for construction management services to be paid from the loan, be sure to state this in your project description and be sure to include the design and/or CM costs as separate line items on the summary sheet listing total project costs.
- C.4. I don't need a firm date—a timeline schedule will suffice.
- C.5. Be sure to include all major components of the project, including for each its respective estimated useful life, which may differ. This statement should be prepared by an engineer.

## **RIDEM Certificate of Approval Instructions, cont.**

D. Environmental Review Process. Applicable for “Treatment Works” projects only. This applies to wastewater treatment facility, sewer projects, and traditional and gray stormwater infrastructure projects. (Most nonpoint source projects, and green stormwater infrastructure—which is small-scale distributed stormwater infrastructure that uses soils and/or vegetation to treat stormwater where it lands prior to entering a storm drainage system—are not considered ‘treatment works,’ in which case this section is not applicable.) This is the State Environmental Review Process (SERP) to cover the National Environmental Policy Act environmental review requirements for federally funded projects. Environmental reviews need to be conducted at the planning stage / preliminary design stage of a project and must be completed prior to initiation of final design. Please note that after RIDEM receives the environmental review documents, there is a required 30-day public notice that must be posted. A CA can be issued after the notice period ends and all the requirements for the CA have been met.

Most wastewater projects need to be in the Wastewater Facilities Plan. If you haven’t already, please coordinate with RIDEM Wastewater Planning & Design section about what will be needed for the WW facility plan, the project design, and the State Environmental Review Process.

### **For Facility Plan Loans:**

- Include a statement per checklist item
- attach the RIDEM Facilities Plan Checklist to your RFQ/RFP

### **For Design and Construction Loans:**

- attached Facility Plan approval letter that covers the project (if applicable)
- if project is not already covered by a Categorical Exclusion (CE) determination, DEM-issued Finding of No Significant Impact (FONSI), or Record of Decision, you must submit a Request for a Categorical Exclusion (if appropriate) or an Environmental Information Document, including all supporting information for RIDEM review and approval.

E. All construction projects must be designed and approved in order for a Construction CA to be issued. This includes applicable permits/approvals from RIDEM and/or RI CRMC. The borrower is responsible for obtaining any other necessary permits or approvals from any local, state, or federal agency with authority over the project or project area.

F. Informational: Once a CA has been issued, there are additional requirements throughout the life of the project. If you have any questions, please contact the RIDEM CWSRF Program. Please note that before the project goes out to bid, the plans and specs must be submitted to the SRF program for review to ensure that all of the required CWSRF contract documents have been included in the bidding package. These documents can be found here: <https://dem.ri.gov/programs/water/finance/srf-contract-documents.php> )