



# Fiscal Sustainability Plan Certification



SRF Project Number \_\_\_\_\_ Project Name \_\_\_\_\_

Project Sponsor \_\_\_\_\_

- Please see “Instructions” on Page 3 to determine if Item 1 or Item 2 applies to the project.
- Check the box and sign **Item 1** if Section 603(d)(1)(E) of the Federal Water Pollution Control Act (FWPCA) applies to the project. Be sure to *complete the “FSP Summary”* on Page 2.
- Check the box and sign **Item 2** if Section 603(d)(1)(E) does not apply to the project.

Section 603(d)(1)(E) of the Federal Water Pollution Control Act (FWPCA) states:

*(E) for a treatment works\*\* proposed for repair, replacement, or expansion, and eligible for assistance under subsection (c)(1), the recipient of a loan shall—*

*(i) develop and implement a fiscal sustainability plan that includes—*

- (I) an inventory of critical assets that are a part of the treatment works;*
- (II) an evaluation of the condition and performance of inventoried assets or asset groupings;*
- (III) a certification that the recipient has evaluated and will be implementing water and energy conservation efforts as part of the plan; and*
- (IV) a plan for maintaining, repairing, and, as necessary, replacing the treatment works and a plan for funding such activities; or*

*(ii) certify that the recipient has developed and implemented a plan that meets the requirements under clause (i).*

\*\* “Treatment Works” is defined in the Federal Clean Water Act; see Instructions, General Information.

**Item 1. The FSP Requirement Applies to This Project**

Pursuant to Section 603(d)(1)(E) of the FWPCA, I certify that: 1) the Project Sponsor has developed and implemented a fiscal sustainability plan (FSP) that meets the minimum requirements under clause (i) above and that the FSP will be updated as necessary; and 2) the loan recipient has evaluated and will be implementing water and energy conservation efforts as part of the FSP.

The Project Sponsor agrees to make FSP documentation available for review upon request of the Environmental Protection Agency (EPA) or the South Carolina State Revolving Fund (SRF) Program.

\_\_\_\_\_  
Signature of Project Sponsor’s Representative Date

\_\_\_\_\_  
Printed Name of Project Sponsor’s Representative

**Item 2. The FSP Requirement Does Not Apply to This Project**

As the authorized representative of the Project Sponsor indicated above, I certify that the project does not require development of a fiscal sustainability plan. (See discussion in “Instructions” on Page 3.)

\_\_\_\_\_  
Signature of Project Sponsor’s Representative Date

\_\_\_\_\_  
Printed Name of Project Sponsor’s Representative

## FSP Summary

1. Short project description

See attachment

2. Briefly list the assets critical to wastewater system operation that were funded by SC CWSRF:

See attachment

3. Briefly describe the condition and performance of listed assets:

See attachment

4. Describe how water and energy conservation was considered in the cost-effectiveness analysis for this project:

See attachment

5. Describe how the SC CWSRF-funded treatment works will be maintained, repaired, and/or replaced and include the plan for funding these activities:

See attachment

Submit by email to SCDES project manager or by mail to:  
State Revolving Fund Division, SCDES, 2600 Bull Street, Columbia, SC 29201

## INSTRUCTIONS – DES 3236

**PURPOSE:** The *Fiscal Sustainability Plan Certification* is used to certify that a Clean Water (CW) SRF Project Sponsor has complied with the actions required by Section 603(d)(1)(E) of the Federal Water Pollution Control Act (FWPCA), as seen on Page 1 of this form.

**GENERAL INFORMATION:** Pursuant to Section 603(d)(1)(E) of the FWPCA, CWSRF Project Sponsors must certify that the system has a fiscal sustainability plan (FSP) that covers the SRF-funded treatment works or that Section 603(d)(1)(E) of the FWPCA does not apply to the project. EPA interpretation allows for the FSP to be developed during the course of construction. The FSP will not be submitted to SCDES, but SCDES and/or EPA may request to see a copy.

Section 603(d)(1)(E) requires that there be an FSP that covers only the SRF-funded treatment work. However, as a best practice, systems are encouraged to develop a system-wide FSP over time and to regularly review and update the FSP document.

Definition of “Treatment works” [per 2014 amendment to FWPCA section 212(2)(A)]:

*The term “treatment works” means any devices and systems used in the storage, treatment, recycling, and reclamation of municipal sewage or industrial wastes of a liquid nature to implement section 201 of this Act, or necessary to recycle or reuse water at the most economical cost over the estimated life of the works, including intercepting sewers, outfall sewers, sewage collection systems, pumping, power, and other equipment, and their appurtenances; extensions, improvements, remodeling, additions, and alterations thereof; elements essential to provide a reliable recycled supply such as standby treatment units and clear well facilities; and acquisition of the land that will be an integral part of the treatment process (including land use for the storage of treated wastewater in land treatment systems prior to land application) or will be used for ultimate disposal of residues resulting from such treatment and acquisition of other land, and interests in land, that are necessary for construction.*

**Note:** The Project Sponsor’s final draw request will not be processed until a certification has been submitted and reviewed by SCDES.

**INSTRUCTIONS:** The Project Sponsor’s Representative enters the project information and signs the appropriate certification on Page 1 of the form (i.e., Item 1 or Item 2). When Item 1 is signed the FSP Summary on Page 2 must be filled out and submitted with Page 1.

**Item 1** is for projects that are required to complete an FSP pursuant to Section 603(d)(1)(E) of the FWPCA. An FSP is required for a Clean Water State Revolving Fund project that involves repair, replacement, or expansion of a treatment works. The FSP is required to cover only the SRF-funded treatment works. Note that the FSP Summary on Page 2 of this form may not be adequate to constitute an FSP. Length and detail of an FSP is dependent upon the size and scope of the treatment works system.

**Item 2** is for projects that are not required to complete an FSP pursuant to Section 603(d)(1)(E) of the FWPCA. FSPs are not required for new treatment works (unless they are physically replacing an existing treatment works or expanding the treatment capacity of an existing system) or projects that include an upgrade that does not involve repair/replacement or expand the treatment capacity (e.g., adding advanced treatment).

Please submit the FSP Certification form to the designated SCDES Project Manager by email or by mail to State Revolving Fund Division, SCDES, 2600 Bull Street, Columbia, SC 29201. The form can be submitted at any time during project construction, or, at the latest, at the time of the final draw request.

**SCDES REVIEW AND FILING:** The SRF Division will use this form to document compliance with Section 603(d)(1)(E) of the FWPCA by a CWSRF project. The form will be kept in the Loan file for the named project and will be retained for three years following the final SRF disbursement to the Project Sponsor - per SCDES Retention Schedule 15795.