



**2023 CWSRF Standalone Request Form
for Fiscal Sustainability Plans and Climate Adaptation Plans ONLY
DEADLINE FOR SUBMITTAL: 5:00 PM April 14th, 2023**

This information request is to be completed by loan applicants that are not requesting financial assistance for an infrastructure (construction) project and are interested in receiving principal forgiveness for a standalone new Fiscal Sustainability Plan and/or a Climate Adaptation Plan.

To properly evaluate and rank standalone Fiscal Sustainability Plans and Climate Adaptation Plans for potential CWSRF funding and possible loan principal forgiveness, the Department of Environmental Protection (DEP) needs specific information on the proposed plan. Please submit the following information for all plans that you are requesting potential CWSRF funding.

The completed form(s) ***must be e-mailed*** to, Maine.CWSRF.Grants@maine.gov, by **5:00 p.m. April 14th, 2023**. If you have any questions regarding the submittal process, please email Maine.CWSRF.Grants@maine.gov or contact Brandy Piers at (207) 287-6093.

Project Name:

Applicant Name:

Starting on April 4, 2022, the Data Universal Numbering System (DUNS) Number was replaced by a “new, non-proprietary identifier” requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is being called the Unique Entity Identifier (UEI). Please provide the

UEI for the applicant.

The UEI can be found at <https://sam.gov/content/home>

Name and title of contact person for applicant:

Address:

Town:

State:

Zip Code:

Email:

Telephone:

If an Engineering Firm has been selected, please state the firm’s name and project manager.

Name of Engineering Firm, if selected:

Name and title of engineer contact:

Address:

Town:

State:

Zip Code:

Email:

Telephone:

Section 1 - Sewer User Rates and Median Household Income:

(This section and the attached CWSRF FSP & CAP Loans Only User Rate Calculator, must be completed and submitted to the Department to be eligible for CAP or FSP principal forgiveness.)

Since the standalone CAPs and FSPs do not have infrastructure (construction) projects associated with them, it is difficult to prioritize the applications for funding using the Department’s Environmental Priority Point System. With limited funding for principal forgiveness, the Department still needs to prioritize the applications and will be doing so based on the applicant’s Affordability ranking. See Attachment 1 for Affordability ranking details. One of the key affordability criteria is the applicant’s sewer user rate. To establish the rate, the Department has adopted a standard method for assessing the sewer user rate using Equivalent Dwelling Units (EDUs), sometimes referred to as Equivalent Domestic Units by other funding agencies. Please use the attached CWSRF FSP & CAP Loans Only User Rate Calculator to establish the **Total annual EDU sewer user rate** (line 13 of the Calculator) for your community and report that number in Section A below.

A. Total Annual EDU Sewer User Rate (\$/yr.): \$ _____ per year.
(located on line 13 of the CWSRF FSP and CAP Loans Only User Rate Calculator)

B. Service Area Median Household Income (MHI): \$ _____
(Include MHI Data from the community. When available, the income data presented to the Department shall be prioritized in this order:

- 1) *A State approved system-wide income survey that was finalized within the past five years. Exceptions may be made for surveys outside the five-year window, if the project was on a previous IUP.*

If the applicant’s MHI data is from an approved system-wide income survey, identify the organization that conducted the survey and the date it was finalized.

Organization: _____ **Date Survey Completed:** _____

- 2) *Census Designated Place (CDP) data, if the sewer area closely approximates the CDP area; then*
- 3) *Town data.*

*CDP and town data shall be from the U.S. Census Bureau – <https://data.census.gov/cedsci/> enter: **dp03: selected economic characteristics “Your Town & State”**, select Product: **2021 ACS – 5 Year Estimates Data Profiles***

C. Loan Commitment Date: For the successful applicant to be guaranteed **ANY** CWSRF funding and to receive any offer of loan principal forgiveness, the applicant must enter a binding loan commitment (closing date) with the Maine Municipal Bond Bank (MMBB) by September 30, 2024.

Is the applicant prepared to enter a loan commitment with the MMBB by September 30, 2024?

Yes No

Section 2 - Plan Information:

(Please indicate if you are interested in CAP and/or FSP funding, pending availability.)

A. Climate Adaptation Plan (CAP): The Department is offering up to \$25,000 in additional loan PF to borrowers that want to develop a CAP and have not previously received funding from the Department for a CAP. For CAPs developed in accordance with the Department's minimum requirements¹, up to \$25,000 of additional loan in the form of principal forgiveness is available per borrower. See Attachment 3 for information on CAPs. If you are interested in up to \$25,000 in additional loan principal forgiveness as outlined above, please indicate so and state the amount you are interested in. Please note that CAPs are to be completed within one year after receiving the loan.

CAP amount requested (up to \$25,000) is \$ Yes No

(Note: Re-Instatement of Federal Flood Risk Management Standard for State Revolving Fund Programs, which can be found at <https://www.maine.gov/dep/water/grants/srfparag.html>)

B. Fiscal Sustainability Plan (FSP): The Department is offering up to \$50,000 in loan principal forgiveness (PF) for first time development of an FSP for applicants who have not previously received PF for an FSP or an Asset Management plan from the Department. This offer requires a 100% match from the borrower, either through expenditures or in-kind services. For FSPs developed in accordance with the Department's minimum requirements², 50% of the eligible costs would be in the form of principal forgiveness, up to a maximum of \$50,000 per borrower. See Attachment 4 for information on FSPs. If you are interested in up to \$50,000 in additional loan principal forgiveness as outlined, please indicate so and state the amount you are interested in.

FSP amount requested (up to \$50,000) is \$ Yes No

C. Fiscal Sustainability Plan Scope of Work: Depending on the size of your system and budget, the FSP does not have to cover all of the utility's assets and can be tailored to your needs, but it must meet the minimum requirements for asset planning area, e.g. sewers, pumping stations, and/or wastewater treatment facility. Please describe what the FSP funds will be used for, e.g. purchase of asset management software, CCTV sewer lines and perform condition assessment, develop and implement an FSP for the sewer system, pumping stations, and/or wastewater treatment facility, etc.

D. Fiscal Sustainability Plan Timeframe for Completion: Please indicate when you expect to complete the FSP for your planning area.

¹ CWSRF Requirements and Guidance for a CAP, Revised 2/28/2023

² CWSRF FSP Requirements & Guidance Jan 2023

I certify that I am knowledgeable of the projects included in these forms and have provided information that is accurate, truthful and complete.

Title and Name:

Date:

Signature: