Fiscal Sustainability Plan Certification

Section 603(d)(1)(E) of the Federal Water Pollution Control Act requires subject projects to develop and implement a Fiscal Sustainability Plan (FSP) for projects that involve the repair, replacement or expansion of publically owned treatment works1. Note that FSPs are not required for new treatment works. If that is the case, this certification must still be provided with the appropriate box checked at the bottom of the form.

An FSP must only cover the functional components related to the funded project. If an applicant has an Asset Management Plan, this certification must still be provided as an assurance that the AMP will be updated to include the funded project.

The following items constitute an FSP.

1. An inventory of critical assets that are part of the treatment works;
2. An evaluation of the condition and performance of inventoried assets or asset groupings;
3. A certification that the assistance recipient has evaluated and will be implementing

water and energy conservation efforts as part of the plan;

1. A plan for maintaining, repairing, and, as necessary, replacing the treatment works and a plan for funding such activities.

Signing this form indicates that the above steps will be undertaken by the conclusion of the project. Note also that ***this form serves as certification for item number 3*** therefore it should be included in the owner’s FSP materials.

Please check the appropriate box and return this certification to the Division of Water Infrastructure (DWI). The final project disbursement will not be processed until this certification form is completed and received in the DWI office.

[ ]  This project meets the criteria for requiring an FSP, and the items listed above will be implemented upon the completion of the project.

[ ]  This project does not require an FSP because the treatment works are not being repaired, replaced or expanded by the loan.

Project Owner/Applicant: Project Number:

Signature of Authorized Representative