CLEAN WATER STATE REVOLVING FUND
FEDERAL FISCAL YEAR 2017
FINAL INTENDED USE PLAN

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EXECUTIVE SUMMARY

The Clean Water State Revolving Fund (CWSRF or SRF) was created in 1987 under Title VI of the Federal Water Pollution Control Act (a.k.a. Clean Water Act) with the purpose of establishing a water pollution control revolving fund for providing assistance for construction of publicly owned treatment works, implementing nonpoint source management programs, and implementing conservation and management plans in National Estuary watersheds.

Under this authority the state receives federal capitalization grants from the Environmental Protection Agency (EPA) to fund the program. These grants must be matched with a 20% state share. These funds plus, the interest and principal repayments from previous loans are loaned to eligible borrowers at a low interest rate for a maximum term of 30 years, or the useful life of the project, whichever is less. Recent changes in the program have allowed for some of the loan principal to be forgiven.

Federal regulations require states with SRFs to develop Intended Use Plans (IUP) identifying the intended uses of the funds and describe how those uses support the goals of the SRF. The IUP must be prepared annually and must be subject to public comment and review before being submitted to EPA. The IUP must also be submitted to EPA prior to award of the capitalization grant.

The Department of Environmental Protection (Department) has developed this Intended Use Plan to comply with the requirements set forth in the federal regulations. The IUP contains the programs long and short term goals, the Department’s environmental priority point system, the priority ranking system for the 2017 projects, and the methodology for distribution of loan principal forgiveness for affordability, fiscal sustainability plans, and climate adaptation plans. It also contains information on the available loan funds and the projects that are to be funded.

The Department and the Maine Municipal Bond Bank (Bond Bank) jointly administer the Clean Water State Revolving Fund. The Department administers the technical aspects of the program and the individual projects funded by it, while the Bond Bank is the financial manager of the fund.

The CWSRF is a major source of low interest financing for publicly owned wastewater treatment facilities and other municipal projects intended to protect and improve the quality of surface and ground water. The CWSRF provides interim funding for projects at an interest rate of 1.0% and provides long term loans, up to 30 years, at an interest rate that is 2% below the current bond market rate, with a minimum interest rate of 1.0%. SRF loans may be obtained for projects such as planning, design, and construction of wastewater collection systems; sewer system separation and upgrades; wastewater pumping station construction and improvements; reduction, treatment, or elimination of combined sewer overflows; wastewater treatment facility construction, improvement, or upgrading; wastewater outfalls; sludge treatment and disposal systems; non-point pollution abatement; landfill closures; sand/salt sheds; and other water pollution abatement projects. The Department reviews and approves potential projects for SRF eligibility. Under certain circumstances the SRF program may also benefit communities by refinancing pollution control projects that have already been constructed and financed by another agency.
Maine’s federal capitalization grant for 2017 is $10,263,000 and the required 20% state match is $2,052,600. Of the capitalization grant amount, the CWSRF is required to distribute $1,026,300 in additional subsidy to loan recipients and at its option, can provide up to $4,105,200 in total additional subsidies. The additional subsidy will be provided to borrowers in the form of loan principal forgiveness. In addition, the FY2017 Appropriations Act requires states to make no less than 10 percent ($1,026,300 for Maine) of their capitalization grant available to fund green infrastructure, water or energy efficiency improvements, or other environmentally innovative activities.

The Department solicited projects from municipalities and districts to be ranked for funding offers containing principal forgiveness and received funding requests for 34 projects from loan applicants totaling $51,946,954, including the Maine Forest Direct Link Program (MFDLP) commitment. After ranking the projects the Department made loan offers to all the applicants totaling $4,089,562 in principal forgiveness. The 2017 CWSRF Proposed Project List, starting on page 15, contains a listing of the applicants that accepted the offers of CWSRF financial assistance for 24 projects totaling $37,492,254, including the MFDLP commitment. The list also contains a brief description of the projects, the loan and principal forgiveness being offered for these projects, as well as other information pertinent to the CWSRF program.

Taking into consideration the available repayment, capitalization and state match funds, and the projects that the program has committed to fund but has not yet funded, the CWSRF will have approximately $45.5 million in funding available for new projects. The 2017 CWSRF Proposed Project List shows a funding need of approximately $37.6 million. The available funding not committed to the borrowers on the list, approximately $7.9 million, will be used to fund additional project requests that come in throughout the year.

In compliance with the requirement in the Clean Water Act, Section 606(c) to provide for public review and comment, the Department posted the Intended Use Plan in draft form at http://www.maine.gov/dep/water/grants/srfparag.html, on July 25, 2017. The Department also provided notice of the availability of the draft IUP to all organizations and individuals in its distribution list by email and/or letter on July 26, 2017, requesting all comments be submitted by 5:00 p.m., August 11, 2017 to John True, 287-7808 or john.n.true@maine.gov. No comments were received. The final IUP was posted at the website listed above, on or around August 14th.
CLEAN WATER STATE REVOLVING FUND
FEDERAL FISCAL YEAR 2017
INTENDED USE PLAN

A. Introduction

Federal fiscal year 1989 (FFY 1989) marked the beginning of Maine's transition from a grant program to fund water quality improvement projects to a program financed by the Clean Water State Revolving Fund (CWSRF or simply SRF). In FFY 1989 and 1990 fifty percent of Maine's federal allocation went to the grant program while the remaining fifty percent went to capitalize the loan fund. Since FFY 1991 Maine's federal allocation has gone to the CWSRF. States must provide a 20% match to receive the federal dollars authorized. Since inception, Maine citizens and the legislature have authorized over $60 million to fund the state match through FFY 2017. Historically, this has generally come from state bond referendums, however in state fiscal year 2015, the state match started to be provided from the State Wholesale Liquor Operation Revenues.

The Maine Municipal Bond Bank (MMBB) is the financial manager of Maine's CWSRF and the Department of Environmental Protection (DEP) administers the technical aspects of the program and the individual projects funded by it. The primary purpose of the fund is to, "acquire, design, plan, construct, enlarge, repair or improve publicly-owned sewage systems, sewage treatment plants or to implement related management programs". The long term goal of the SRF is to maintain and improve Maine's inventory of municipal sewage facilities in perpetuity. This will ensure preservation of the water quality gains that were realized by initial construction of them.

The FFY 2017 capitalization grant is the 28th that Maine has made application for to capitalize the state's revolving loan fund (SRF). This Intended Use Plan (IUP) identifies the projects that are expected to receive loans from FFY 2017 dollars. Maine's Environmental Priority Point System is used to rank CWSRF projects, but does not dictate the order of funding. The projects in this IUP are listed in Maine's Multi-Year SRF Project Priority List. FFY 2017 is the eighth year that the CWSRF has been authorized to provide additional subsidization to borrowers in the form of loan principal forgiveness. The Department of Environmental Protection (DEP) will be providing affordability loan principal forgiveness to some applicants and will also provide incentives of loan principal forgiveness for development of a climate adaptation plan and the implementation of fiscal sustainability plans or improvements to an existing one. The process for awarding loan principal forgiveness is described later in this document.

All treatment works projects which receive loan assistance must comply with the National Environmental Policy Act (NEPA) review requirements. The State of Maine Revolving Fund Rules, Chapter 595 administered by the Department and Maine Municipal Bond Bank contain these requirements. Section C.5, Required Environmental Review and Determinations, contains the environmental review procedures.
B. Long Term Goals

The Water Quality Act of 1987 created a new authority that allows EPA to make grants which capitalize State Water Pollution Control Revolving Funds (SRFs). Maine made the decision to take advantage of the federal dollars being offered and established an SRF. The primary purpose of the fund is to, "acquire, design, plan, construct, enlarge, repair or improve a publicly-owned sewage system, sewage treatment plant or to implement a related management program". The long term goal of the SRF is to maintain and improve Maine's water quality by providing financial assistance to water quality projects. The main emphasis of the program is to provide financial assistance to maintain the inventory of municipal sewage facilities in perpetuity. This will ensure the preservation of the water quality gains that were realized by the initial construction of the facilities.

In an attempt to meet the long term needs of treatment facilities and water quality projects in Maine, the Maine Municipal Bond Bank can lend additional bond dollars for every federal and state dollar available. This is accomplished by making parallel loans of program dollars at 0% and bond loan dollars at market rates. This maximizes the total loan amount available and allows the overall loan interest rate to remain below market rate. The ratio of additional bond dollars added to the funds available varies depending on the market rate; however for estimating purposes it is roughly 1:1.

Through FFY 2013 the state match had been funded, almost exclusively, by appropriations of State of Maine General Obligation Bonds as approved by voters. Current State fiscal policy is to reduce the State interest costs due to borrowing and seek other ways to fund the state match. With the enactment of Public Law 2013, Chapter 269 (LD 1555) the 126th Maine Legislature established a 10-year revenue stream, from the State’s wholesale liquor operation revenues. These funds, up to $3.5 million annually, are to be used to provide the required state match starting in state fiscal year 2015 with the funding of the FFY 2014 match.

It is the goal of Maine’s CWSRF program to preserve the principal amounts of capitalization grant and state match dollars in perpetuity while fulfilling its lending obligations to treatment facilities within Maine in the easiest and most cost effective manner possible. In order to maintain, in perpetuity, the environmental review and technical administration, and the financial administration of the program, the DEP charges a 3.5% administration fee and the Bond Bank charges a 1.5% fee. These funds are held outside the SRF and will be used to fund the administration of the SRF program and support other water quality related positions within the Department.

The CWSRF provides interim funding for projects at an interest rate of 1.0% or at two-thirds of the one-year AAA municipal tax-exempt rate, whichever is higher. In addition, the CWSRF provides long term loans, up to 30 years or the useful life of the asset being financed, whichever is less, at an interest rate that is 2% below the current market rate at the Bond Bank, down to a minimum interest rate of 1.0%.

In 1995, a Memorandum of Understanding (MOU) was signed with the Maine State Housing Authority (MSHA) to provide SRF loans for the repair and replacement of malfunctioning septic systems. In 2006, MSHA modified its income eligibility to allow more families to borrow money for this use. In 2016 MSHA reviewed their administration
costs of the program and fees that they could assess in compliance with the federal Real Estate Settlement Procedures Act. MSHA determined that the administrative costs exceeded the allowable fees and the program was suspended.

In 1996 the 117th Maine Legislature expanded the eligible use of the Maine SRF to include the remediation of municipal landfills that affect groundwater and for any projects authorized under the federal Clean Water Act.

In 2001 a MOU was signed by the MMBB, DEP, the State Department of Agriculture, and the Finance Authority of Maine (FAME) to allow FAME to administer a loan program to farmers to construct manure storage facilities and other facilities to reduce Non-Point Source (NPS) pollution from farm and agricultural operations. In 2012 this program was further expanded to include additional agricultural non-point source abatement projects mostly in the areas of sediment control, in-stream flow and water level protection, and water conservation.

In 2004 the DEP expanded the eligible use of SRF funds for municipalities to design and construct sand/salt sheds in areas that the DEP has determined that ground water or surface water has been contaminated by sand/salt piles. In 2013 the DEP expanded this eligibility, as authorized under the CWA for protection of water quality, to include all uncovered municipal sand/salt piles.

Beginning in 2006, the SRF may make loans for municipal storm water treatment and improvement projects to Phase 2 National Pollutant Discharge Elimination System (NPDES) permitted communities.

In 2007, an MOU was signed by the DEP, MMBB, and the Department of Conservation, Maine Forest Service to implement a direct-link loan program to provide subsidized loans as incentive financing to loggers for the purchase of timber harvesting equipment and other best management practices that reduce the risk of nonpoint source pollution from silviculture activities.

In 2009, the passage of the American Recovery and Reinvestment Act of 2009 necessitated the DEP and the MMBB to initiate rulemaking to allow for loans at 0%, or negative percent loans, or loan principal forgiveness as allowed under the federal stimulus bill. In accordance with this the SRF rules were amended to state that further adjusting the interest rate down to accommodate for fees shall not apply to loans where the interest rate is 0% or less. These amendments were needed in order for the DEP and MMBB to provide continued administration of the program while offering beneficial financial instruments to the borrowers.

In the 2014, the Federal Water Pollution Control Act (FWPCA) was amended to allow States to provide up to 30% of their capitalization grant amount in the form of additional subsidies to borrowers, with no minimum amount. However, the FY 2017 Appropriations Act requires states to provide a minimum of 10% of their capitalization grant as additional subsidies. EPA has determined that these amounts, $3,078,900 and $1,026,300 for Maine, are additive bringing the total amount of additional subsidies that can be offered to $4,105,200. Congress and EPA encourage States to target this subsidy for public health and water quality protection projects to communities that would experience a significant hardship raising the revenue necessary to finance a project. In addition, green
infrastructure, water or energy efficiency improvements and sustainable infrastructure through implementation of asset fiscal sustainability plans are also a priority to EPA. An explanation of how principal forgiveness will be allocated in 2017 is included in the project priority system section of this document.

In 2016 the DEP, MMBB, and the Finance Authority of Maine (FAME) began working on a CWSRF pass-through loan program, to be administered by FAME, to fund the renovation, removal, disposal or replacement of underground or aboveground commercial oil storage tanks or facilities. The DEP is currently in the process of amending the State’s Nonpoint Source Plan to include this activity and FAME is in the process of rulemaking for the program. All parties are hopeful that an MOU will be signed for the program and that loans will be made during the current year.

C. Short Term Goals

Projects in this IUP are for renovations and improvements to publicly owned treatment works and appurtenant facilities, and for non-point source pollution abatement practices. The projects will maintain or restore compliance in many facilities and improve or protect water quality in others.

The table entitled Federal Fiscal Year 2017 Available Funds, on page 11, lists the sources of funds available to be loaned to applicants. Taking into consideration the available repayment, capitalization and state match funds, and the projects that the program has committed to fund but has not yet funded, the CWSRF will have $45,505,078 in funding available for new projects. The 2017 CWSRF Proposed Project List, starting on page 15, contains a listing of applicants that accepted the offers and are seeking CWSRF financial assistance. The list also contains a brief description of the projects, the loan and principal forgiveness being offered for these projects, as well as other information pertinent to the CWSRF program. The total CWSRF funding needed for the proposed projects and program commitments is $37,647,254. This amount is more than 120% of the $10,263,000 Capitalization Grant and is $7,857,824 less than the total of all available SRF loan funds. The Department intends to use this surplus and repayment funds that come back to the program to fund additional projects from applicants that apply for loans throughout the remainder of the fiscal year. Potential loan applicants of these funds are listed on the Multi-Year SRF Project Priority, the Additional Needs, and the Sand/Salt Storage Areas lists starting on page 34.

The table on page 12, CWSRF Appropriation, contains a listing of the proposed projects to be funded with the 2016 Capitalization Grant, State Match Funds, and/or Repayment Funds. This table also contains the applicants’ project number and National Pollution Discharge Elimination System (NPDES) permit number (if available), a brief project description, the loan assistance amount, the Clean Water needs category, and the State’s environmental priority and environmental points rating.

On page 14, the table entitled Projected Binding Commitment Schedule, lists the projects that are anticipated to receive federal capitalization grant funds, the amount of assistance, the loan binding commitment date, and the draw amounts by federal fiscal year quarter.
D. Loan Commitment Date to Secure Loan Principal Forgiveness

The Department will be providing loan principal forgiveness to qualified applicants for financial affordability, fiscal sustainability plans, and/or climate adaptation plans, as described later in the IUP. Timely implementation of projects that receive principal forgiveness is important to fairly distribute these funds to applicants that can utilize them in the near future. As such, applicants that have received offers for principal forgiveness from the Department must enter into a binding loan commitment with the MMBB for their project by the end of FFY 2018 (Sept. 30, 2018) in order to receive principal forgiveness. The Department reserves the right to waive this requirement should evidence of extenuating circumstances beyond the applicant’s control be presented.

E. State Match, 40 CFR §35.3135(b)

The FFY 2017 capitalization grant requires a 20% state match of $2,052,600. The required match for FFY 2017 was deposited in the CWSRF on June 30, 2017 and came from the State Wholesale Liquor Operation Revenue Fund.

F. Binding Commitments, 40 CFR §35.3135(c)

The DEP and the MMBB will schedule the capitalization grant payments to assure that loan binding commitments equal to at least 120 percent of each quarterly grant payment are made within one year of receipt of payment.

G. Expeditious and Timely Expenditure, 40 CFR §35.3135(d)

Maine’s FFY 2017 CWSRF capitalization grant will provide funding for a portion of the needed program administrative costs and loan money for projects identified in this IUP. Projects on the Multi-Year SRF Project Priority List, the Additional Needs list, or the Sand/Salt Storage Area list may be added to the FFY 2017 Project List or replace another project on the list. To assure the timely and expeditious use of the capitalization grant, the Department will encourage loan recipients to start construction within one year of being placed on the IUP.

H. First Use of Funds, 40 CFR §35.3135(e)

The Maine CWSRF will first use funds in the SRF equaling the amount of the grant, all repayments of principal and payment of interest on the initial loans from the grant, and the State match to address publicly owned treatment works that the Region and State have previously identified as part of the National Municipal Policy (NMP) list for the State. The State has no unresolved needs that were previously identified as part of the NMP list.

I. Compliance with Title II Requirements, 40 CFR §35.3135(f)

The Department will assure that equivalency projects will comply with the appropriate sections of the FWPCA in accordance with 40 CFR §35.3135(f).
J. **Federal Cash Draw Proportionality Ratio, 40 CFR §35.3155(d)(5)**

Currently the CWSRF program is not issuing bonds for leveraging. The State CWSRF intends to comply with the proportional Federal share requirements under 40 CFR § 35.3155(d)(5) by disbursing 100 percent of the State’s required 2017 match in advance of drawing any Federal funds associated with the FFY 2017 capitalization grant.

K. **Transfer and Cross-Collateralization of Clean Water State Revolving Funds and Drinking Water State Revolving Funds, Section 302 SDWA**

Section 302 of the Safe Drinking Water Act allows for the transfer of funds from the Clean Water State Revolving Fund to the Drinking Water State Revolving Fund or from the Drinking Water State Revolving Fund to the Clean Water State Revolving Fund. No transfer of funds are planned at this time, however the State reserves the right to transfer funds in the future.

L. **Additional Subsidy Commitments on Open Grants**

In 2016 States were required to provide a minimum 10 % of their capitalization grant to borrowers as additional subsidies. For Maine this amount was $1,034,300. To date, binding commitments for additional subsidies total $466,830. The remaining required amount of $567,470 will be met by the remaining $3,952,871 in additional subsidy loan offers.

M. **Audits and Reporting**

The Maine CWSRF is committed to transparency and accountability. To that end, program information, Intended Use Plans, Annual Reports, and other program materials are posted on the SRF website: [http://www.maine.gov/dep/water/grants/srfparag.html](http://www.maine.gov/dep/water/grants/srfparag.html)

An independent audit of the CWSRF program is conducted annually by an outside CPA firm in accordance with OMB Circular A-133.

The Maine CWSRF will prepare an Annual Report and submit to EPA no later than September 30th annually.

The Maine CWSRF will enter the required program data elements into the National Information Management System (NIMS), the Clean Water Benefits Reporting (CBR) database, and the Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting System (FSRS).

N. **Davis-Bacon Wage Rates, Section 602(b)(6) FWPCA**

Section 602(b)(6) of the Federal Water Pollution Control Act requires the application of Davis-Bacon prevailing wage rates to all treatment works projects funded in whole or in part by the CWSRF. The Davis-Bacon requirements do not apply to nonpoint source or decentralized wastewater treatment projects. Davis-Bacon applies to construction contracts over $2,000 and their subcontractors (regardless of the subcontract amount).

To ensure compliance with these requirements, DEP will confirm that the correct wage determinations are being included in the bid specifications and/or construction contracts.
DEP will also provide assistance recipients with the specific EPA Davis-Bacon contract language that is to be included in bid specifications and/or contracts. In addition, at the time of disbursement requests the DEP will collect Certifications of Davis-Bacon compliance from assistance recipients.

O. **Architectural/Engineering Services Selection, Section 602(b)(14) FWPCA**

Section 602(b)(14) of the Federal Water Pollution Control Act requires that Architectural and Engineering (A/E) service contracts being carried out using funds made available by a capitalization grant be negotiated in the same manner as under chapter 11 of title 40, United States Code, or an equivalent State qualifications-based requirement. This requirement applies to loans totaling an amount equal to the State’s capitalization grant; it does not apply to all loans. This is termed an “equivalency” requirement, as it is equivalent in amount to the State capitalization grant. To comply with chapter 11, the A/E services are selected based on qualifications (a cost component is not allowed) and the borrower then negotiates the fee with the most qualified firm.

The CWSRF must report to EPA that loans totaling an amount equal to the State’s capitalization grant have been awarded meeting this and other equivalency requirements. To satisfy the equivalency requirement of Section 602(b)(14), Maine’s CWSRF program will be requiring borrowers with projects in excess of $1 million to either: 1) procure A/E services using a qualification based selection (QBS) process in accordance with chapter 11 of title 40 USC, 2) fund the engineering services with non CWSRF funds, or 3) take out two CWSRF loans – one for construction and one for A/E services. Loans where the A/E procurement is in accordance with chapter 11, or where no CWSRF funds were used for A/E services, will have met the conditions of Section 602(b)(14). Loans meeting the A/E services selection process as well as the other equivalency requirements will be tracked as “equivalency projects” in the Intended Use Plan and reported to EPA in the Annual Report.

P. **American Iron and Steel, Section 608 FWPCA**

Section 608 of the Federal Water Pollution Control Act requires assistance recipients, absent a waiver, to use iron and steel products that are produced in the United States for the construction, alteration, maintenance, and repair of treatment works in accordance with the *Implementation of Iron and Steel Provisions of F.L 113-76, Consolidated Appropriations Act of 2014.*

To ensure compliance with this requirement, DEP will provide assistance recipients with the specific American Iron and Steel language that is to be included in bid specifications and/or contracts. In addition, at the time of disbursement requests the DEP will collect Certifications of American Iron and Steel compliance from assistance recipients.

Q. **Public Review and Comment**

In compliance with the requirement in the Clean Water Act, Section 606(c) to provide for public review and comment, the Department posted the Intended Use Plan in draft form at [http://www.maine.gov/dep/water/grants/srfparag.html](http://www.maine.gov/dep/water/grants/srfparag.html), on July 25, 2017. The Department also provided notice of the availability of the draft IUP to all organizations and individuals
in its distribution list by email and/or letter on July 26, 2017, requesting all comments be submitted by 5:00 p.m., August 11, 2017 to John True, 287-7808 or john.n.true@maine.gov. No comments were received. The final IUP was posted at the website listed above, on or around August 14th.
# INTENDED USE PLAN

**TITLE VI - STATE WATER POLLUTION CONTROL REVOLVING FUNDS**

**FEDERAL FISCAL YEAR 2017 AVAILABLE FUNDS**

<table>
<thead>
<tr>
<th>Current Funds Available For Projects (as of 7/21/2017)</th>
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<tbody>
<tr>
<td>Federal Cap Grant (FY 2016)</td>
<td>$819,280</td>
</tr>
<tr>
<td>State Match (FY 2016)</td>
<td>$1,093,557</td>
</tr>
<tr>
<td>State Match (FY 2017)</td>
<td>$2,052,600</td>
</tr>
<tr>
<td>Federal Repayment Balance</td>
<td>$48,438,506</td>
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<tr>
<td>State Repayment Balance</td>
<td>$23,871,809</td>
</tr>
<tr>
<td>State Match Earnings Balance</td>
<td>$1,274,440</td>
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<tr>
<td>Maine Forest Service Direct-Link Program Recycled Funds Commitment (SFY 2017 repayments)</td>
<td>$2,758,154</td>
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**Total Funds Available**

$80,308,346

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<tr>
<th>Less Current Funds Committed To Projects (as of 7/21/2017)</th>
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<tr>
<td>FY 2015 IUP Projects Still To Be Funded</td>
<td>($4,798,973)</td>
</tr>
<tr>
<td>FY 2016 IUP Projects Still To Be Funded</td>
<td>($32,761,925)</td>
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<tr>
<td>Notification of Intent To Borrow</td>
<td>($7,094,850)</td>
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**Total Commitments**

($44,655,748)

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<th>Current Total Uncommitted Funds Available</th>
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<tr>
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<td>$35,652,598</td>
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<th>Additional FY 2017 Funds Available For Projects</th>
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<tr>
<td>FY 2017 Federal Cap Grant</td>
<td>$10,263,000</td>
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<tr>
<td>Less - 4% Administrative Fee</td>
<td>($410,520)</td>
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<td>FY 2017 State Match (see Current Funds Available)</td>
<td>$0</td>
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**Additional FY 2017 Funds Available**

$9,852,480

**Total FY 2017 Funds Available**

$45,505,078
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<tr>
<th>ENTITY and PROJECT TYPE</th>
<th>PROJECT NUMBER</th>
<th>PERMIT NUMBER</th>
<th>PROJECT DESCRIPTION</th>
<th>ASSISTANCE AMOUNT</th>
<th>NEEDS CATEGORY</th>
<th>PRIORITY</th>
<th>BASE POINTS</th>
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<tr>
<td>* Bangor, City of (212)</td>
<td>230071-11</td>
<td>ME0100781</td>
<td>Odlin Road Pump Station Upgrade, Exchange State and French Street Sewer Replacement, Davis Brook CSO Storage Tank</td>
<td>$5,030,000</td>
<td>V-A</td>
<td>4-H</td>
<td>27</td>
</tr>
<tr>
<td>* Bath, City of (212)</td>
<td>230043-07</td>
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<td>South Street Sewer Separation Section 2 - separation of 1,600 ft Combined Sewers</td>
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<td>* Greater Augusta Utility District (212)</td>
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<td>* Greater Augusta Utility District (212)</td>
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<td>Pipe renewal and replacement - reline/rehab/replace existing sewer mains that contribute to the PS4 Sewershed</td>
<td>$175,000</td>
<td>V-A</td>
<td>4-H</td>
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<tr>
<td>* Greater Augusta Utility District (212)</td>
<td>230173-14</td>
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<td>Siphon Replacement - Horizontal Directional Drilling of sewer siphon under the Kennebec Rv.</td>
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<td>Maine Forest Direct Link Program - Recycled Funds Commitment (319)</td>
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<td>Reduce the non-point source pollution from timber harvesting. This program allows the CWSRF to encourage Best Management Practices in timber harvesting to protect water quality</td>
<td>$2,758,154</td>
<td>VII-C</td>
<td>N/A</td>
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<td>Monmouth Sewer District (212)</td>
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<td>$896,000</td>
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### FEDERAL FISCAL YEAR 2017
#### CWSRF APPROPRIATION (continued)

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<th>ENTITY and PROJECT TYPE</th>
<th>PROJECT NUMBER</th>
<th>PERMIT NUMBER</th>
<th>PROJECT DESCRIPTION</th>
<th>ASSISTANCE AMOUNT</th>
<th>NEEDS CATEGORY</th>
<th>PRIORITY</th>
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**FISCAL SUSTAINABILITY PLANS AND CLIMATE ADAPTATION PLANS**

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<th>PERMIT NUMBER</th>
<th>PROJECT DESCRIPTION</th>
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**PROJECT TOTAL**

$37,647,254

* Indicates systems expected to be funded by the 2017 federal capitalization grant and to meet program equivalency requirements.
## FEDERAL FISCAL YEAR 2017
### PROJECTED BINDING COMMITMENT SCHEDULE

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<th>ENTITY</th>
<th>ASSISTANCE AMOUNT</th>
<th>BINDING COMMITMENT DATE</th>
<th>FY 2018 1ST QTR.</th>
<th>FY 2018 2ND QTR.</th>
<th>FY 2018 3RD QTR.</th>
<th>FY 2018 4TH QTR.</th>
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<td>$5,510,520</td>
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<td>Estimated Total Project Cost</td>
<td>Requested DEP Project Funding</td>
<td>Applicant’s Green Project Reserve (GPR) Cost</td>
<td>Green Category &amp; Case (Cat./Bus.)</td>
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<td>18.40</td>
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<td>Maine Forest Direct Link Program - Recycled Funds Commitment (319)</td>
<td>VII-C</td>
<td>Reduce the non-point source pollution from timber harvesting. This program allows the CWSRF to encourage Best Management Practices in timber harvesting to protect water quality</td>
<td>$2,758,154</td>
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**Forgiveness**

**Principal**

**Project Reserve**

**Total**

**Green Project Reserve (Project+CAP Costs)**

**Total Principal Forgiveness**

**Loan Payback Amount**

**Total Assistance Amount**

---

**Final 2017 CWSRF Proposed Project List for Capital Projects**

| Total Points | Entity and Project Type | Needs Category | Project Description | Estimated Total Project Cost | Requested DEP Project Funding | Applicant’s Green Project Reserve (GPR) Cost | Green Category & Case (Cat./Bus.) | Affordability Principal Forgiveness Points ** | Affordability Principal Forgiveness Percentage | Affordability Principal Forgiveness (3) | Fiscal Sustainability Plan Principal Forgiveness (4) | Climate Adaptation Plan Principal Forgiveness (5) | Total Green Project Reserve (Project+CAP Costs) | Total Principal Forgiveness | Loan Payback Amount | Total Assistance Amount |
# FINAL 2017 CWSRF PROPOSED PROJECT LIST FOR FISCAL SUSTAINABILITY PLANS AND CLIMATE ADAPTATION PLANS WITHOUT CAPITAL PROJECTS

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<th>Needs Category</th>
<th>Project Description</th>
<th>Estimated Total Project Cost</th>
<th>Requested DEP Funding</th>
<th>Applicant's Green Project Reserve (GPR) Cost</th>
<th>Green Category &amp; Case (Cat./Bus.)</th>
<th>Affordability Principal Forgiveness Points **</th>
<th>Fiscal Sustainability Plan Principal Forgiveness (4)</th>
<th>Climate Adaptation Plan Principal Forgiveness (5)</th>
<th>Applicant's Green Project Reserve (GPR) Cost</th>
<th>Total Principal Forgiveness</th>
<th>Loan Payback Amount</th>
<th>Total Assistance Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.71</td>
<td>Winter Harbor Utilities District (212)</td>
<td>I</td>
<td>Fiscal Sustainability Plan</td>
<td>$15,000</td>
<td>$7,500</td>
<td>$0</td>
<td>8.71</td>
<td>$7,500</td>
<td>$0</td>
<td>$0</td>
<td>$7,500</td>
<td>$0</td>
<td>$7,500</td>
<td>$0</td>
</tr>
<tr>
<td>7.65</td>
<td>Lincoln Sanitary District (212)</td>
<td>I</td>
<td>Climate Adaptation Plan</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$20,000</td>
<td>EI Categorical</td>
<td>7.65</td>
<td>$0</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$0</td>
<td>$20,000</td>
</tr>
<tr>
<td>7.17</td>
<td>Livermore Falls, Town of (212)</td>
<td>I</td>
<td>Fiscal Sustainability Plan</td>
<td>$160,000</td>
<td>$50,000</td>
<td>$0</td>
<td>7.17</td>
<td>$50,000</td>
<td>$0</td>
<td>$0</td>
<td>$50,000</td>
<td>$0</td>
<td>$50,000</td>
<td>$0</td>
</tr>
<tr>
<td>5.36</td>
<td>Vinalhaven, Town of (212)</td>
<td>I</td>
<td>Fiscal Sustainability Plan and Climate Adaptation Plan</td>
<td>$35,000</td>
<td>$27,500</td>
<td>$20,000</td>
<td>EI Categorical</td>
<td>5.36</td>
<td>$7,500</td>
<td>$20,000</td>
<td>$20,000</td>
<td>$27,500</td>
<td>$0</td>
<td>$27,500</td>
</tr>
<tr>
<td>5.12</td>
<td>Richmond Utilities District (212)</td>
<td>I</td>
<td>Fiscal Sustainability Plan</td>
<td>$105,000</td>
<td>$50,000</td>
<td>$0</td>
<td>5.12</td>
<td>$50,000</td>
<td>$0</td>
<td>$0</td>
<td>$50,000</td>
<td>$0</td>
<td>$50,000</td>
<td>$0</td>
</tr>
</tbody>
</table>

 Totals: $335,000 | $155,000 | $40,000 | $115,000 | $40,000 | $155,000 | $0 | $155,000 |

### Notes:

1. 212 is Publicly Owned Treatment Works; 319 is Non-Point Source; 320 is Non-Point Source National Estuary
2. GI = Green Infrastructure; WE = Water Efficiency; EE = Energy Efficiency; EI = Environmentally Innovative
3. Affordability PF is limited to $1,000,000 per Applicant
4. Fiscal Sustainability Plan PF is limited to $50,000 per Applicant
5. Climate Adaptation Plan PF is limited to $20,000 per Applicant
PROJECT PRIORITY POINT SYSTEM

INTRODUCTION

Multi-Year SRF Priority List

Maine's SRF was established to provide a perpetual funding mechanism for communities and districts with wastewater facilities. This list contains the State’s inventory of wastewater facilities and the SRF is a source of funding to each one, should they choose to use it. Each year the DEP will prepare an Intended Use Plan (IUP) and projects will be selected from this list and assigned an environmental priority by the Environmental Priority Point System at that time. However, if there are sufficient funds, any entity on the Multi-Year Priority List, Additional Need list, or the Sand/Salt Storage Areas list may apply for an SRF loan during the fiscal year.

Additional Needs

The Communities listed here do not have wastewater treatment facilities. Pollution problems may or may not exist that impairs water quality classifications/uses or endangers public health. These communities are also eligible for SRF assistance or the projects may be funded by a combination of grants and loans from the DEP and/or other sources. After construction of wastewater facilities is complete in these communities they will be transferred to the Multi-Year SRF Project List as part of the state’s inventory of wastewater facilities.

Municipal Landfills

In 1996, the 117th Maine Legislature expanded the eligible use of the Maine State Revolving Loan Fund (SRF) to include the remediation of municipal landfills that effect groundwater.

Sand/Salt Sheds

Beginning in 2004 the DEP will provide SRF funds to municipalities to design and construct sand/salt sheds in areas that the DEP has determined that ground water or surface water has been contaminated by uncovered sand/salt piles. In 2013 the DEP expanded this eligibility, as authorized under the CWA for protection of water quality, to include all uncovered municipal sand/salt piles.
ENVIRONMENTAL PRIORITY POINT SYSTEM

The Department of Environmental Protection has established an Environmental Priority Point System to place proposed wastewater treatment projects in a listing according to their relative priority of environmental impact or benefit. The system contains five (5) basic priorities which relate to the public health hazard created by the wastes or to the use of the waters to which wastes are discharged. In addition to these five basic priorities there is a subsystem with point values of 0, 6 or 12 points that indicates the intensity of the problem as being either low, medium or high. The subsystem points are added to the priority base points to arrive at the overall Environmental Priority Points for ranking the environmental importance of projects. Additional points will be awarded to projects to further rank them for the distribution of loan subsidization in the form of principal forgiveness. The details on the additional subsidization and awarding of points are described further in the section entitled 2017 CWSRF Wastewater Infrastructure Project Priority Ranking System.

All five priorities and the subsystems are discussed in detail below.

<table>
<thead>
<tr>
<th>Base Points</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Priority 1</strong></td>
</tr>
<tr>
<td>The project to be funded will eliminate a source of ground or surface water supply contamination. This priority denotes that a potential public health hazard does exist and that without such project alternative sources of water would be required or additional water treatment would be necessary.</td>
</tr>
<tr>
<td><strong>Priority 2</strong></td>
</tr>
<tr>
<td>This priority denotes that the project will eliminate or improve facilities discharging directly or indirectly to lakes and ponds which create detrimental impacts on trophic state.</td>
</tr>
<tr>
<td><strong>Priority 3</strong></td>
</tr>
<tr>
<td>This priority includes projects that will eliminate sources of contamination to shell fishing areas. The project will eliminate sources of waste that are partially or wholly responsible for a shellfishery area presently being closed.</td>
</tr>
<tr>
<td><strong>Priority 4</strong></td>
</tr>
<tr>
<td>This priority denotes that the project will reduce the level of pollutants to waterbodies of present classification or where a proposed project can be expected to raise quality to the next higher classification.</td>
</tr>
<tr>
<td><strong>Priority 5</strong></td>
</tr>
<tr>
<td>This category includes all structural deficiencies of collection, transport and treatment systems. Such things as untreated sewage creating a public health hazard, a project to meet general water quality standards or a treatment plant not meeting effluent criteria would be in this category.</td>
</tr>
</tbody>
</table>
PRIORITY SUBSYSTEMS

The priorities of water supply and shellfisheries involve other agencies in the state. The Maine Center for Disease Control – Division of Environmental Health is responsible for the water supply program in Maine (Priority 1). The Department of Marine Resources manages shellfishing areas (Priority 3). Accordingly these agencies have developed the subsystems which relate to the intensity of the problem for these priorities. DEP staff has developed the subsystems for priority 2, 4 and 5. Inland Fish and Wildlife is the agency responsible for management of inland and anadromous fisheries. DEP receives input from Inland Fish and Wildlife when water quality problems impact these fisheries.

The intensity of the problem (Low, Medium, and High) is identified by the subsystem for that category. The agency having jurisdiction applies the subsystem to each project in their category of responsibility. For example, if a category 3 project (Shellfishery Protection) was determined to be a medium intensity problem by the Department of Marine Resources it would be assigned 26 points on the priority list (3-M). Several projects may be in the same category and assigned equal points. The second regular session of the 113th Legislature included median household income, MHI, as a factor in determining funding priority. Projects with the same point assignment will be ordered by MHI with the lowest income community receiving the highest priority within that subsystem category.

Environmental Priority Points Assignment

<table>
<thead>
<tr>
<th></th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Water Supply Protection</td>
<td>30</td>
<td>36</td>
<td>42</td>
</tr>
<tr>
<td>2. Lakes Protection</td>
<td>25</td>
<td>31</td>
<td>37</td>
</tr>
<tr>
<td>3. Shellfishery Protection</td>
<td>20</td>
<td>26</td>
<td>32</td>
</tr>
<tr>
<td>4. Water Quality Concern</td>
<td>15</td>
<td>21</td>
<td>27</td>
</tr>
<tr>
<td>5. Facility Needs</td>
<td>10</td>
<td>16</td>
<td>22</td>
</tr>
</tbody>
</table>
1. Water Supply Protection

Five criteria are used in this subsystem with each having a point value of 1, 2, or 3 points. The summation of criteria points assigned in criteria 1 – 5 determines the level of intensity (low, medium, or high). The assignment to a level of intensity is arrived at as follows:

<table>
<thead>
<tr>
<th>Subsystem Points</th>
<th>Criteria Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td>(0)</td>
</tr>
<tr>
<td>Medium</td>
<td>(6)</td>
</tr>
<tr>
<td>High</td>
<td>(12)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria</td>
</tr>
<tr>
<td>---------</td>
</tr>
<tr>
<td>1. Population Served</td>
</tr>
<tr>
<td>2. Degree of Dependence on Water Source</td>
</tr>
<tr>
<td>3. Difficulty of Treatment</td>
</tr>
<tr>
<td>4. Existing Treatment</td>
</tr>
<tr>
<td>5. Cost of Treatment</td>
</tr>
</tbody>
</table>

2. Lakes Protection

<table>
<thead>
<tr>
<th>Subsystem Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
</tr>
<tr>
<td>Medium</td>
</tr>
<tr>
<td>High</td>
</tr>
</tbody>
</table>

Facility has minor effect on trophic state of a lake.

Existence of marginal trophic quality or increasing trophic conditions.

Conditions exist in a lake which cause non-attainment of class GPA.
3. Shellfishery Protection

Four criteria are used in this subsystem with each having a point value of 1, 2, or 3 points. The summation of criteria points assigned in criteria 1 – 4 determines the level of intensity (low, medium, or high). The assignment to a level of intensity is arrived at as follows:

<table>
<thead>
<tr>
<th>Subsystem Points</th>
<th>Criteria Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low (0)</td>
<td>Range (0 – 4)</td>
</tr>
<tr>
<td>Medium (6)</td>
<td>Range (5 – 8)</td>
</tr>
<tr>
<td>High (12)</td>
<td>Range (9 – 12)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Points</th>
<th>Criteria</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Shellfish Production</td>
<td>Potential</td>
<td>Limited</td>
<td>Commercial</td>
</tr>
<tr>
<td></td>
<td>Projected Area Reclassification</td>
<td>Conditionally Restricted</td>
<td>Restricted</td>
<td>Approved or Conditionally Approved</td>
</tr>
<tr>
<td></td>
<td>Economic Importance</td>
<td>&lt; 10 licenses</td>
<td>10 – 20 licenses</td>
<td>&gt; 20 licenses</td>
</tr>
<tr>
<td></td>
<td>State &amp; Local Interest</td>
<td>Low Interest</td>
<td>Medium Interest</td>
<td>High Interest</td>
</tr>
</tbody>
</table>

Definition of Terms

Shellfish Production:

**Potential**
A shellfish growing area is considered to be a potential growing area when all environmental factors (chemical, physical and biological) exist within levels suitable for the propagation of shellfish, or if historical records indicate the area to be one time productive.

**Limited**
A shellfish area is considered to have limited harvesting when current or past shellfish availability would yield quantities of less than 1 bushel per tide and/or less than 5 acres in size.

**Commercial**
A shellfish area is considered to have commercial harvesting when current or past shellfish availability would yield quantities greater than 1 bushel per tide and/or greater than 5 acres in size.
Projected Area Reclassification:

- **Conditionally Restricted**: If after abatement, the projected reclassification at best would meet the standards for Depuration and/or Relay Harvesting allowed except during specified conditions (rainfall, sewage treatment plant (STP) bypass or seasonal), then the lowest number of value related points will be given.

- **Restricted**: If after abatement, the projected area reclassification would meet the standards for Depuration and/or Relay Harvesting, then the next highest value related points will be assigned.

- **Approved or Conditionally Approved**: If after abatement, the projected area reclassification would meet the standards for open harvesting, harvesting allowed except during specified conditions (rainfall, STP bypass or seasonal), the highest number of value related points will be given.

Economic Importance:

Value related points will be assigned to those areas where the shellfishing resource is considered to have an economic impact on the local economy. The factor utilized in this determination will be the number of commercial harvesters in the town or towns abutting the resource. Consideration should be taken for past, present and future harvesters.

State and Local Interest (Shellfish Management Program):

Value related points will be given to those areas where a sincere interest in pollution abatement, shellfish management, aquaculture or other related interests in the marine resources has been demonstrated.

- **Low Interest**: Municipal program with open license sales and no conservation requirements, limited enforcement.

- **Medium Interest**: Municipal program with conservation requirements.

- **High Interest**: Strong municipal program with active shellfish committee, conservation requirements, and shellfish warden.
4. Water Quality Concerns

Subsystem Points
Low (0) Water quality standards are achieved; however, project would help maintain water quality.
Medium (6) Water quality standards are achieved; project would result in improved habitat, production or other enhancement of the fishery or other tangible improvements to water quality.
High (12) Water quality standards are not achieved for designated class; project would result in improvements to water quality, but not necessarily bring it into compliance.

5. Facility Needs

Subsystem Points
Low (0) A project with the base point assignment has a relatively minor problem by comparison with others in this category. A deficiency exists or the potential for a public health hazard is evident but the operational impact if any is minor and the public health dangers only slight.
Medium (6) This sub-priority indicates the existence of a substantial problem that may involve several of the factors in the Facility Needs category. The structural deficiencies cause problems and/or the risk of public health problems is more than slight.
High (12) The assignment of this level is made only for those facilities having the most severe structural or operational problems and/or a public health hazard exists.
ADDITIONAL POINTS ADDED TO ENVIRONMENTAL PRIORITY POINTS

Each of the following factors is rated as a percent of the environmental priority points determined in the Environmental Priority Point System. The various factors are summed and added to the environmental priority points for a final priority rating score.

1. “Green” projects (criteria stated in guidance by EPA). Projects assigned this factor include green infrastructure, water or energy efficiency improvements or other environmentally innovative activities. While these can be freestanding projects, often they may be elements of larger projects. To evaluate green components, the dollar value of green elements will be determined as a percent of the total project cost. This percent will be multiplied by a constant value of 0.2 to obtain a percentage increase to the environmental priority points.

   Increase in points up to: 20%

2. Regulatory requirements. This factor is applied if the project is necessary to meet a regulatory requirement such as a license condition, implementation of required plan or study (e.g. an approved CSO plan or a toxicity reduction plan), or the requirements of a consent agreement or court order.

   Required by consent agreement or court order - increase in points: 20%
   Other specific regulatory requirement
   (E.g. Compliance Initiative Letter, Letter of Warning, Notice of Violation)
   - increase in points: 10%

3. Expected degree of success in addressing pollution concerns. This factor reflects the Department’s estimate of how effectively the proposed project will address the local environmental problems for which the environmental priority points were assigned under the Environmental Priority Point System. In rating this factor, the Department recognizes that most projects have inherent limitations and water quality problems often have multiple contributing sources.

   Added reliability or decreased discharges – increase points: 5%
   Significant reduction of a discharge – increase points: 10%
   Elimination of one of several discharges – increase points: 15%
   Elimination of a significant discharge – increase points: 20%
   Elimination of a sole discharge source – increase points: 25%
4. **Regionalization of work.** This factor recognizes that some proposed projects may represent efforts by two or more jurisdictions to solve water quality issues of common concern. Often, such effort can be more efficient and make better use of public resources to find cost-effective regional solutions.

   Increase in points: 15%

5. **Co-funded projects.** If an applicant indicates that grant or loan money may be available from other sources (e.g. MDOT, EDI, FEMA, CDBG, State grant, STAG or RD), this has the potential to leverage all available funds with the result of more beneficial projects being done. The Department will consult with the other agencies to determine if grants and/or loans have been applied for the proposed project and the other agencies’ intent to fund before assessing these extra points.

   Increase in points: 20%
NOTES ON PRIORITY LIST FORMAT

Description of Projects

<table>
<thead>
<tr>
<th>TYPE</th>
<th>WORKS</th>
</tr>
</thead>
<tbody>
<tr>
<td>(NEW)</td>
<td>New waste treatment</td>
</tr>
<tr>
<td>(INC)</td>
<td>Modification of existing system with</td>
</tr>
<tr>
<td></td>
<td>increase in capacity (INC)</td>
</tr>
<tr>
<td>(INT)</td>
<td>Modifications of existing system with</td>
</tr>
<tr>
<td></td>
<td>increase in treatment level (INT)</td>
</tr>
<tr>
<td>(ICT)</td>
<td>Modification of existing system with</td>
</tr>
<tr>
<td></td>
<td>increase in both capacity and treatment</td>
</tr>
<tr>
<td></td>
<td>level (ICT)</td>
</tr>
<tr>
<td>(MOD)</td>
<td>Modification to existing system with no</td>
</tr>
<tr>
<td></td>
<td>increase in capacity or treatment level -</td>
</tr>
<tr>
<td></td>
<td>interceptor pumping station, etc. (MOD)</td>
</tr>
</tbody>
</table>

1. Outfall sewer
2. Interceptor sewer
3. Collector sewer
4. Force main
5. Pumping Station
6. Sewer infiltration correction
7. Separation of combined storm/sanitary sewers
8. Treatment Plant
9. Other Works

Needs Categories

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Needs Code</th>
<th>NPS Control</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>Secondary Wastewater Treatment</td>
<td>VI-B</td>
<td>Storm Water Treatment Systems</td>
</tr>
<tr>
<td>II</td>
<td>Advanced Wastewater Treatment</td>
<td>VI-C</td>
<td>Green Infrastructure</td>
</tr>
<tr>
<td>III-A</td>
<td>Infiltration / Inflow (I/I) Correction</td>
<td>VI-D</td>
<td>General Storm Water Management</td>
</tr>
<tr>
<td>III-B</td>
<td>Sewer Replacement / Rehabilitation</td>
<td>VII-A</td>
<td>NPS Control: Agriculture (Cropland)</td>
</tr>
<tr>
<td>IV-A</td>
<td>New Collector Sewers and Appurtenances</td>
<td>VII-B</td>
<td>NPS Control: Agriculture (Animals)</td>
</tr>
<tr>
<td>IV-B</td>
<td>New Interceptor Sewers and Appurtenances</td>
<td>VII-C</td>
<td>NPS Control: Silviculture</td>
</tr>
<tr>
<td>V-A</td>
<td>Combined Sewer Overflow Correction – Traditional Infrastructure</td>
<td>VII-D</td>
<td>NPS Control: Urban (excludes decentralized systems)</td>
</tr>
<tr>
<td>V-B</td>
<td>Combined Sewer Overflow Correction – Green Infrastructure</td>
<td>VII-J</td>
<td>NPS Control: Sanitary Landfills</td>
</tr>
<tr>
<td>VI-A</td>
<td>Storm Water Conveyance Infrastructure</td>
<td>VII-L</td>
<td>NPS Control: Individual/Decentralized Sewage Treatment</td>
</tr>
</tbody>
</table>
2017 CLEAN WATER STATE REVOLVING FUND (CWSRF) WASTEWATER INFRASTRUCTURE PROJECT PRIORITY RANKING SYSTEM FOR PRINCIPAL FORGIVENESS

For Federal Fiscal Year (FFY) 2017, the Department will use a rating system based on the existing Environmental Priority Point System to determine project order for receiving loan principal forgiveness. The primary objective for distributing funds is to focus on projects that will realize the most environmental benefit. However, additional points will be given for green components in projects, legal requirements necessitating a project, the degree of expected environmental success, availability of co-funding with other funding agencies, and benefits that can be derived from regionalization of water quality improvement efforts.

The CWSRF is a well-established program with an existing system for ranking projects based on five environmental priority levels with sub ratings within each. The Environmental Priority Point System results in a point score being assigned that ranges from 10 to 42 points. That point score will be adjusted in consideration of the factors as discussed above. Each adjustment will be in the form of a percent increase to the base point rating. The environmental priority points and the adjustments will be summed to obtain a final number of points that will represent the proposed project’s priority score. The priority score will be the order of precedence in establishing the projects for funding and distribution of principal forgiveness for affordability, climate adaptation plans, and fiscal sustainability plans or improvements. The methodology for adjusting the Environmental Priority Points for the factors above is more fully described in the Additional Points Added To Environmental Priority Points section.

2017 PRINCIPAL FORGIVENESS

In 2017, the Department will provide loan principal forgiveness to applicants for economic hardship assistance and incentives to encourage development of climate adaptation plans and implementation of or improvements to fiscal sustainability plans. EPA has notified the Department that the State’s CWSRF capitalization grant allotment is $10,263,000. Of this amount, the CWSRF is required to distribute $1,026,300 in additional subsidy to loan recipients and at its option, can provide up to an estimated $4,105,200 in total additional subsidies. In an effort to assist communities that might have a difficulty financing their project and to provide sustainability incentives for wastewater infrastructure, the Department intends to offer the maximum additional subsidy allowed to loan recipients in the form of loan principal forgiveness, to the extent practicable. The additional subsidy will be distributed in accordance with Section 603(i) of the Federal Water Pollution Control Act and EPA’s Sustainability Policy for targeting SRF assistance.
Affordability Principal Forgiveness

An estimated $3,485,200 of the principal forgiveness for 2017 will be available for those applicants’ projects that have the most environmental benefit and would experience a significant hardship financing the project if additional subsidies were not provided.

Public Law 113-121, the “Water Resources Reform and Development Act of 2014” (WRRDA) amended section 603(i) of the Federal Water Pollution Control Act (FWPCA); requiring the State to establish affordability criteria to assist in identifying municipalities that would experience a significant hardship raising the revenue necessary to finance a project, if additional subsidization is not provided. The Department developed affordability criteria utilizing the required minimum criteria of income and unemployment data, and population trends; as well as the additional criteria of poverty rate and the sewer user rate as a percentage of the median household income. The affordability criteria and analysis were provided to the public for comment on August 11, 2015 with a comment period until August 28, 2015. No comments were received and the affordability criteria became final on August 31, 2015.

The Department’s methodology for developing an affordability analysis was to compare the above five criteria for a municipality to the State’s average for those criteria, then assess a percentage over the State average that would likely constitute a significant hardship for the municipality to raise the revenue necessary to finance the project. Three of the five criteria index the municipal rate to the State rate. In this process the indexing expresses the municipal rate as a ratio to the State rate. An index of 1.0 indicates that the municipality’s rate is the same as the State rate. An index of less than 1.0 indicates that municipality’s rate is less than the State’s and conversely, a rate greater than 1.0 indicates that a municipality’s rate is greater than the State’s. Although the other two criteria could not be indexed, methods were developed to also assess establish points of 1.0 to be the State average for those criteria. With five criteria, each valued at 1.0 for the State average, the points were then summed to make the total of the State average points to be 5.0. Each municipality’s affordability points are then added up and compared to the State’s. A municipality with points below 5.0, would generally be considered to be in better position to afford a project, where as a municipality with points above 5.0 would likely be in more need of financial assistance. In establishing what constitutes a significant hardship in raising the necessary project revenue, the Department established that a municipality’s affordability points must exceed the total of the State average points by 40% in order to be eligible for additional subsidization (principal forgiveness). Therefore, the sum of a municipality’s affordability criteria must be a minimum of 7.0 (140% of 5.0) points to be eligible for possible affordability principal forgiveness. Details on the affordability criteria and the affordability analysis methodology are presented below.
Criteria and Methodology:

- **Poverty Rate**
  Data from U.S. Census Bureau – American FactFinder
  http://factfinder.census.gov/faces/nav/jsf/pages/index.xhtml
  Poverty Rate Index (PRI) is calculated as the ratio of the municipality’s poverty rate to the State’s poverty rate.
  \[
  PRI = \frac{\text{(Municipal Poverty Rate)}}{\text{(State Poverty Rate)}}
  \]

- **Income**
  The income data for the community is the Median Household Income. When available, 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 two years;
  2) Census Designated Place (CDP) data, if the sewered area closely approximates the CDP area; then
  3) Town data.
  CDP and town data shall be from the U.S. Census Bureau – American FactFinder
  http://factfinder.census.gov/faces/nav/jsf/pages/index.xhtml
  American Community Survey Use 5-year MHI estimates.
  The U.S. Census Bureau has an application on its website that lets you see the CDP boundaries without needing any GIS expertise: http://tigerweb.geo.census.gov/tigerweb/.
  Zoom into a small portion of the state at a time and select the “Places and County Subdivisions” checkbox to see the CDP boundaries.
  Income Index (II) is calculated as the ratio of the State’s Median Household Income to the municipality’s Median Household Income.
  \[
  II = \frac{\text{(State Median Household Income)}}{\text{(Municipal Median Household Income)}}
  \]
  Note: (Some projects, such as those for control of non-point sources of pollution, may not have traditionally defined sewer user rates. In those cases, the Department will use the average percentage of all the applicants for 2015 as a means of maintaining equity across the board.)

- **Unemployment Rate**
  Data from Maine Department of Labor (MDOL), Center for Workforce Research and Information http://www.maine.gov/labor/cwri/laus.html, Average Annual Labor Force Estimates – City/Town (Minor Civil Division)
  Unemployment Rate Index (URI) is calculated as the ratio of the municipality’s unemployment rate to the State’s unemployment rate.
  \[
  URI \text{ Points} = \frac{\text{(Municipal Unemployment Rate)}}{\text{(State Unemployment Rate)}}
  \]
• **Population Trend**

Data from U.S. Census Bureau – Population Estimates – Use most current information for the population trend over the past 10 years.

2005 data - City and Town Intercensal Estimates (2000-2010)


Maine Census Data for 2005 and 2015 can be found at SRF Loan Fund, Maine Department of Environmental Protection

The most current 10-year population trends (PT) for municipalities are compared to the State’s population trend over the same period.

\[
\text{PT as Percent} = \frac{\text{(Current Municipal Population)} - \text{(Municipal Population 10 years prior)}}{\text{(Municipal Population 10 years prior)}} \times 100
\]

Ranges for the municipalities’ 10-year population trends are established in 5% increments above and below the State’s rate/average (SR) and points assigned as follows:

<table>
<thead>
<tr>
<th>Population Trend Range</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Greater than 5% above the State Rate: &gt; (SR+5%)</td>
<td>0.0</td>
</tr>
<tr>
<td>State Rate to 5% above the State Rate: (SR+5%) to SR</td>
<td>0.5</td>
</tr>
<tr>
<td>State Rate to 5% below the State Rate: SR to (SR-5%)</td>
<td>1.0</td>
</tr>
<tr>
<td>5% below the State Rate to 10% below the State Rate: (SR-5%) to (SR-10%)</td>
<td>1.5</td>
</tr>
<tr>
<td>10% below the State Rate to 15% below the State Rate: (SR-10%) to (SR-15%)</td>
<td>2.0</td>
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<tr>
<td>15% below the State Rate to 20% below the State Rate: (SR-15%) to (SR-20%)</td>
<td>2.5</td>
</tr>
<tr>
<td>More than 20% below the State Rate: &lt; (SR-20%)</td>
<td>3.0</td>
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• **Sewer User Cost as a Percentage of the Median Household Income (MHI)**

Yearly Sewer User Cost data for a typical single-family residence is provided by the municipality. Cost data shall be based on a use of 8,000 cu. ft. per year.

Median Household Income data is derived as outlined previously under “Income”.

Sewer User Cost as a Percentage of the MHI (UC/MHI) Points are calculated by dividing the municipality’s yearly sewer cost for a typical single-family residence by the municipality’s Median Household Income then multiplying by 100.

\[
\text{UC/MHI Points} = \frac{\text{(Single Family Residence Yearly Sewer User Cost)}}{\text{(Municipality’s MHI)}} \times 100
\]
Affordability Principal Forgiveness Percentage:

The following formula will be used to determine possible percentage of affordability principal forgiveness for municipalities that have affordability points of 7.0 or more, i.e. 140% of State average.

Affordability Principal Forgiveness Percentage = (Municipality’s Affordability Points)²

This non-linear formula has the effect of providing proportionally greater assistance in the form of principal forgiveness to communities that are more in need of financial assistance and have higher Affordability Points. This is depicted graphically below.

![Graph of Affordability Principal Forgiveness Percentage vs. Affordability Points]

The principal forgiveness for 2017 will be available for those applicants’ projects that will realize the most environmental benefit and are dependent upon the project’s environmental ranking compared to other ranked applicant’s projects in the funding year. The Department will offer affordability principal forgiveness to the applicant with the highest environmental ranking, then subsequently to applicants with progressively lower rankings until the available affordability principal forgiveness has been committed. The percentage of principal forgiveness that will be offered, within the limits of availability, is defined earlier in this section. Due to the limited additional subsidy allowed, the maximum affordability principal forgiveness per borrower is initially set at $1,000,000. Borrowers that received affordability principal forgiveness from the Department in both of the previous funding years (2015 & 2016) are not eligible for affordability principal forgiveness in the 2017 funding year.
Climate Adaptation Plan and Fiscal Sustainability Plan Principal Forgiveness

The Department is making $620,000 of the principal forgiveness in 2017 available as incentives to encourage development of climate adaptation plans ($120,000), and the implementation or expansion of fiscal sustainability plans ($500,000).

In previous years, to receive principal forgiveness incentive financing for FSPs or CAPs the assistance recipient also had to be financing a capital project. In addition to principal forgiveness for FSPs and CAPs with a capital project, this year the Department will be offering standalone loans with 100% principal forgiveness for new FSPs and CAPs. The breakdown of this funding and requirements to receive it are described as follows.

For assistance recipients with a capital project:

1. Climate Adaptation Plans (CAP) – The Department intends to offer up to $20,000 per applicant in principal forgiveness, to the extent available, for the development of a CAP. The award of principal forgiveness for applicants with a capital project will be based on the project’s Environmental Priority Point System ranking.

   Any unused principal forgiveness in this category will first be used for CAPs without a capital project, then for fiscal sustainability plans with a capital project, then without, and lastly for affordability principal forgiveness, if needed.

2. Fiscal Sustainability Plans (FSP) - Loan recipients for all wastewater treatment works projects are required to develop and implement an FSP. An FSP is basically an asset management plan that takes into consideration water and energy conservation efforts. As such, energy audits are now subsidized as part of a new FSP or improvements to an existing one.

   The Department intends to offer up to $50,000 per applicant in principal forgiveness, to the extent available, for the development and implementation of an FSP or the improvement to an existing plan. The award of principal forgiveness for applicants with a capital project will be based on the project’s Environmental Priority Point System ranking with a preference to applicants that have not received any principal forgiveness from the Department for the development of a prior Asset Management Plan or Fiscal Sustainability Plan. This incentive offer requires a 100% match from the loan applicant. The applicant’s match can be in the form of additional CWSRF borrowing, in-kind services, or other funding.

   Any unused principal forgiveness in this category will first be used for FSPs without a capital project, then for CAPs with a capital project, then without, and lastly for affordability principal forgiveness, if needed.
**For assistance recipients without a capital project:** These are standalone loans with 100% principal forgiveness and do not require that the applicant also have a capital project that they are funding through the CWSRF.

3. **Climate Adaptation Plans (CAP)** – The Department intends to offer up to $20,000 per applicant in principal forgiveness, to the extent available, for the development of a CAP. The award of principal forgiveness for applicants without a capital project will be based on the applicant’s CWSRF Affordability ranking.

Any unused principal forgiveness in this category will first be used for CAPs with a capital project, then for fiscal sustainability plans with a capital project, then without, and lastly for affordability principal forgiveness, if needed.

4. **Fiscal Sustainability Plans (FSP)** - The Department intends to offer up to $50,000 per applicant in principal forgiveness, to the extent available, for the development and implementation of a new FSP. The award of principal forgiveness for applicants without a capital project will be based on the applicant’s CWSRF Affordability ranking. This offer is only for new FSPs where the applicant has not received any previous principal forgiveness from the Department for the development of an Asset Management Plan or a Fiscal Sustainability Plan. This incentive offer requires a 100% match from the loan applicant. The applicant’s match can be in the form of in-kind services or other funding. The intent of this offer is to not use additional CWSRF borrowing as the match to simplify the loan process at no cost to the borrower. However, if the applicant must borrow their match from the CWSRF, special arrangements may be made.

Any unused principal forgiveness in this category will first be used for FSPs with a capital project, then for CAPs with a capital project, then without, and lastly for affordability principal forgiveness, if needed.

**DISTRIBUTION OF UNALLOCATED PRINCIPAL FORGIVENESS**

If applicants on this year’s final IUP do not commit to a loan for the estimated assistance amount, the Department reserves the right to reallocate any additional uncommitted principal forgiveness to the remaining applicants on the IUP that have not closed on a loan. The distribution of the uncommitted principal forgiveness would be in accordance with the procedures outlined in the previous paragraphs, with the exception that the Department, at its discretion, could remove the maximum limit per borrower for affordability principal forgiveness.

The Department reserves the right to utilize unallocated principal forgiveness from previous years’ allocations and utilize them for affordability principal forgiveness on projects that experience unforeseen cost overruns. The method of award would be in accordance with the procedures outlined in the borrower’s IUP funding year.
## MULTI-YEAR SRF PROJECT PRIORITY LIST

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<thead>
<tr>
<th>Name</th>
<th>Project Number</th>
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## MULTI-YEAR SRF PROJECT PRIORITY LIST

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## Multi-Year SRF Project Priority List

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# MULTI-YEAR SRF PROJECT PRIORITY LIST

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## MULTI-YEAR SRF PROJECT PRIORITY LIST

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## MULTI-YEAR SRF PROJECT PRIORITY LIST

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### ADDITIONAL NEEDS

(Areas that currently do not have a central wastewater collection and treatment system)

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<th>Project Number</th>
<th>Description of Project (Type/Works)</th>
<th>Total Eligible Cost</th>
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# SAND/SALT STORAGE AREAS

## DEP PRIORITY 3 PROJECTS  
*(moderate contamination)*

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<td>Kingsbury Plantation</td>
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<td>Charleston, Town of</td>
<td>Limestone, Town of</td>
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<td>Livermore, Town of</td>
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<td>Webster Plantation</td>
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<tr>
<td>Grand Isle, Town of</td>
<td>Lovell, Town of</td>
<td>Woodville, Town of</td>
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## DEP PRIORITY 4 PROJECTS

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<td>Canaan, Town of</td>
<td>Drew Plantation</td>
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<td>Carroll Plantation</td>
<td>Dyer brook, Town of</td>
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<td>Cary Plantation</td>
<td>Eagle lake, Town of</td>
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<td>Caswell, Town of</td>
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<td>Cooper, Town of</td>
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## SAND/SALT STORAGE AREAS

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