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Executive Office of Energy & Environmental Affairs

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Clean Water State Revolving Fund

2025

Construction Project Evaluation

Form Instructions and Guidance

INTRODUCTION

This document contains the instructions, and other information relative to supporting documentation required to be submitted as part of the Project Evaluation Form for:

Clean Water Construction

The Massachusetts Department of Environmental Protection (MassDEP) seeks to finance projects that mitigate documented impacts to public health or the environment and encourages proponents to complete comprehensive planning and alternatives analysis for potential construction projects. Details supplied through the Project Evaluation Form (PEF) will help MassDEP to determine the extent to which the proposed project meets the goals of the State Revolving Fund (SRF) program.

GENERAL INFORMATION

Please complete all parts of this form on the eSRF Portal by using the following link:
State Revolving Fund Applications & Forms | Mass.gov

If you need assistance in filling out the online PEF, please contact our SRF Data Support Teamt at srfmadep@mass.gov

Use of This Form - This form is for proponents seeking financial assistance from the Massachusetts Clean Water Trust's State Revolving Fund (SRF) Program for construction of water pollution abatement projects.

General Eligibility – The Project schedule for any proposal must meet the following deadlines:

Local Appropriation of Project Cost: **June 30, 2025**
Financial Assistance Application: **October 15, 2025**

Construction Commencement: Six months from the issuance of the Project Approval Certificate (PAC) and no later than June 30, 2026.

If the Project cannot meet these deadlines, it risks being ineligible to receive SRF funding during the 2025 financing cycle.

Deadlines - Proponents seeking SRF financing for construction of water pollution abatement projects must complete the online PEF to be submitted no later than 12:00 noon on **July 26, 2024.**

No changes to the submitted narrative may be made or new documentation submitted to the PEF after the **July 26, 2024** deadline, unless MassDEP requests it. MassDEP reviewers will then evaluate and rank the PEFs based on the submitted information according to the scoring criteria contained within this Instructions and Guidance document. MassDEP reviewers may request additional documentation that was referenced but was not submitted with the PEF.

Project Ranking Information – CWSRF PEF Construction Ranking System

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE PROJECT EVALUATION FORM FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART I – APPLICANT AND PROJECT IDENTIFICATION AND CERTIFICATION

1. Local Government Unit (LGU) – Any town, city, district, commission, agency, authority, board or other instrumentality of the commonwealth or of any of its political subdivisions, including any regional local governmental unit defined in M.G.L. c. 29C, which is responsible for the ownership or operation of a water pollution abatement project and/or drinking water project and is authorized by a bond act to finance all or any part of the cost thereof through the issue of bonds.

2. Authorized Representative - Provide the name, title, complete mailing address, phone number and email address of the authorized representative. The application must contain a resolution or authorization designating by title the official (Mayor, City or Town Manager, Chairperson of the Board of Sewer Commissioners, Chairperson of the Select Board, etc.) to act as the representative of the applicant to sign for, accept, and take whatever action is necessary relative to the project. In the city form of government, the City Council will generally name the authorized representative. If the community is governed by Town Meeting, then the Town Meeting action will name the appropriate group, such as the Select Board or Board of Public Works. The appropriate governing body will then name the authorized representative. If the authority to file statement names an office, then a certified statement is required specifically identifying the individual currently holding that office. For wastewater districts, provide the requisite authorization of the governing board.

In the event the authorized official is replaced while the project is still active, a revised statement naming the new incumbent and the effective date of appointment must be submitted. On occasion an authorized representative may desire to delegate to another person the authority to also act on their behalf in processing paperwork during the implementation of the project. This is accomplished by having the authorized representative submit a letter advising of this delegation.

3. LGU Project Primary Contact Person (if different from above) – Provide the name, title, mailing address, phone number and email address.

4. Engineering/Consultant Firm, Agency or same as LGU (Prefilled by eSRF Portal)

5. Engineer or Consulting Firm Contact Person – Provide the name, mailing and email address and phone number.

6. Project Name (limited to 50 characters)

7. Project Description – (limited to 1000 characters) provide a brief description of the planned project. The description should include, as applicable, information such as the nature and severity of the public health/ environmental problem being addressed, the size and type of wastewater treatment plant(s), the size of pumping station(s), size and length of sanitary sewers and force mains, description of rehabilitation of sewers, type of non-point source abatement project, whether the project is part of a phased project, whether the project is required by enforcement action, and the anticipated outcome of the project. Link for examples of clean water project descriptions.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE PROJECT EVALUATION FORM FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART II – PROJECT COST AND SCHEDULE

1. Preliminary Project Information
- Provide planning report title, report date, start and finish date of the design of the plans and specifications.
- Provide planned loan application submittal date to MassDEP.
- Is the project a primarily a nutrient management project?
- Is the project subject to Massachusetts Environmental Policy ACT (MEPA) review?
- Is the project in compliance with the Federal Flood risk Management Standard (FFRMS) to comply with Executive Order (EO) 14030 which reinstated EO 13690?
- Has the project been submitted to the Massachusetts Historical Commission (MHC) for review?

2. Estimated Project Cost and Schedule
List each **Contract** number and name, along with the associated anticipated start and end dates and the total costs broken down by SRF-eligible and ineligible costs consistent with the MassDEP's "Policy on Eligible Project Costs". https://www.mass.gov/doc/clean-water-srf-eligible-project-costs-0/download

Attach an explanation of the basis of the cost estimate and reference the source of data.
If the project includes costs for police traffic detail, provide an explanation and detailed breakdown of the estimate.

The amount of financial assistance you are requesting is the calculated the Total Project/Eligible Cost ($) requested for this Project Evaluation Form.

Cost Breakdown

Construction Contingency shall be 10-percent of the estimated pre-bid construction contract costs.

Construction Services include the costs of bidding, general supervision, resident engineering, testing of materials, as-built plans, operations and maintenance manual, and start-up supervision.

Design (Other) costs are considered an eligible item for PFAS remediation design. MassDEP may limit the SRF loan for PFAS design projects to 10% of the construction cost of the remedy.

Police - Note that costs for police details are considered an administrative cost of the LGU and are not to be included in the bid items of the construction contract.

3. Local Funding Authorization
- Identify the governing body empowered to commit funding.
- Identify the type of action required to authorize funding.
- If local funding has been authorized
  - Provide authorized amount.
  - Provide date of authorization and include a certified copy of the appropriation document.

4. Other Assistance
If this project is receiving funding from another federal, state, or local program outside of the SRF, please enter the amount(s) to be received.

5. Permit Information
If applicable, identify the permit type associated with this project: NPDES, groundwater, stormwater, or other.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE PROJECT EVALUATION FORM FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART III – PROJECT EVALUATION

Project Narrative

The purpose of the project narrative is to allow applicants to concisely describe the nature of the problem and how the proposed project will address the issue. The narrative helps the MassDEP reviewers by providing a sense of what the proposal will address and provides the key areas on which the reviewer should focus.

Guidance for Project Narratives

MassDEP anticipates the narrative (without attachments) to be about 5 pages in length, but not more than 10 pages. The narrative must include a discussion of each of the following topics in the order presented below.

The narrative must be supported with documentation that verifies all claims associated with the problem being addressed. Any local, state, or federal enforcement actions that were taken to address the problem should be included with the documentation. Any engineering or planning report related to the problem being addressed should be submitted as an attachment to the PEF and include specific page references where the information is found.

Applicants should check all items that apply and are documented as described below. For each item checked, the applicant must provide details in the narrative including but not limited to: Area(s) examined, information or conditions found, conclusions, etc. Please remember, if you are working from a planning document that addresses any of the items, provide a copy with the PEF documentation and include specific page references where the information is found.

- Briefly describe the objectives of the project. What water quality or public health issues are being addressed, and how severe are the problems?

- Describe the scope of the project and key facilities or tasks being proposed. Describe the environmental benefit that you anticipate will result from implementation of the strategy you plan to implement.

- Proponents are required to submit with the PEF a map of the project area with an overlay of the service system and any relevant resource areas.

- Describe planning efforts that have been undertaken to develop this proposal, including any alternative analysis. Note in the narrative the Comprehensive Wastewater Management Plan (CWMP) or Preliminary Engineering Report (PER) from which the project was developed, and how the project is consistent with the Plan or Report. Please provide a copy of the report with the PEF documentation.

- For all construction projects, provide the basis of cost estimates and engineering services costs.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE PROJECT EVALUATION FORM FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

Project Tier Classification

Under the Tier Classification system, PEF proposals are ranked into one of five Tiers, each having a set point value, based on the threats to public health and/or the environment to be addressed by the proposed project.

The projects base points are 500 points for Tier V, 400 points for Tier IV, 300 points for Tier III, 200 points for Tier II and 100 points for Tier I. Additional points can be assigned based on documented public health impacts, environmental criteria and the Department's priorities as listed on the PEF ratings screen in the eSRF portal. The total additional points add up to 99 so that projects cannot be elevated to a higher tier. The project ranking is then defined within and across tiers to develop the Project Priority List and the Intended Use Plan. The possible priority ranking range is a maximum of 599 points for a Tier V project to a minimum of 100 points for a Tier I project. Tier V is the highest priority tier. The tier system approach greatly enhances MassDEP' s review of proposed projects and improves consistency. The scoring system ensures that Clean Water projects addressing the greatest environmental and/or public health needs are given priority for SRF financial assistance.

TIER V PROJECTS: 500 Points

Description: Clean Water projects proposed by applicants to eliminate or mitigate documented **high threats** to public health and/or **high impacts** to the environment to address **noncompliance** under high level enforcement (HLE) orders, or projects being implemented consistent with an area-wide wastewater management plan under section 208 of the federal Clean Water Act, 33 U.S.C. 1288 or a suitable equivalent plan determined by the Department of Environmental Protection. These proposals would include projects designed to address or correct an exceedance of an NPDES permit limit; groundwater discharge permit limit; projects intended to achieve a final Total Maximum Daily Load (TMDL); projects being implemented consistent with a Comprehensive Water Resources Management Plan (CWMP), Long-term CSO Strategy, Stormwater Management Plan, or an area-wide Water Quality Management Plan; or projects to abate contamination of a drinking water source. (See Examples)

TIER IV PROJECTS: 400 Points

Description: Clean Water projects proposed to protect public health and the environment by addressing **imminent threats** to the major elements of wastewater conveyance, treatment, and discharge systems. The following summarizes the information for Tier IV:

- Projects proposed to address/correct a significant public health and environmental threat that would result from a POTW treatment facility **exceeding its planned useful life cycle with documented signs of failure or deficiencies** that indicate imminent component failure, which have been identified in a MassDEP-approved Comprehensive Wastewater Management Plan (CWMP) or Facility Plan. If the threat remains unaddressed customers and the environment may be subject to unsafe conditions. An aging treatment plant would have at least one component that is creating significant deficiencies that impact the entire system.

- Projects proposed to address a major conveyance system component failure. Although not the sole component of a wastewater system, loss of a particular pump station, force main, or interceptor, which would affect 25% or more of the flows being conveyed to the treatment works.

(See Examples)

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PART IV – PROJECT RANKING

Project Tier Classification

TIER III PROJECTS: 300 Points
Description: Clean Water projects proposed to eliminate or mitigate documented **threats** to public health and/or **impacts** to the environment by addressing pollutant discharges and system failures that are not under an enforcement order or HLE to be completed and are proactive in nature to avoid a worsening problem. (See Examples)

TIER II PROJECTS: 200 Points
Description: Clean water projects proposed to upgrade, rehabilitate, or replace wastewater infrastructure components that are **approaching the end of their planned useful life cycle, but are neither subject to an enforcement order, nor are being recommended in a MassDEP-approved wastewater management plan or engineering report.** Although the infrastructure components may be currently operating with only minor problems, rehabilitation or replacement is proposed to proactively address the issue before problems occur. (See Examples)

TIER I PROJECTS: 100 Points
Description: Clean Water projects that focus on nonpoint source or wastewater pollution abatement, based on recommendations from local planning studies. Projects would not target an ongoing contamination issue, or projects that do not pose a threat to sensitive receptors. (See Examples)

PROJECT RANKING AND EVALUATION BEGINS

For all applicable questions, please reference the corresponding support page number(s) within the narrative or attachment ID and provide comments/clarification as needed.

Project Tier
Based on the Tier descriptions presented above, what Tier do you believe best characterized your project?

A. Public Health Impacts

What is the nature of the resource affected?

Describe the cause of the problems, discussing how the problem affects the resource(s). Substantiate problems using documentation such as a Watershed Management Plan, CWMP, Project Engineering Report (PER), sampling and lab results, or Board of Health records. Applicants must make direct connection between resources affected and documentation submitted. **Points for public health impacts in Part A will only be awarded if the resource is within the project area, the impact is documented, and the proposed project will address the problem.** On a project site map, show location of resources affected (public and private drinking water supplies, private homes, public streets, and parklands, etc.)

1) Public Drinking Water Supply - as defined in 310 CMR 22.02 (310 CMR 22.00: Drinking water | Mass.gov), is located within the project area. Document impacts to the supply via laboratory analysis or reports. If the supply is the only source available to the supplier, please note. For groundwater supplies, documentation must consist of sampling at either the withdrawal points or within the Zone II at a MassDEP Drinking Water Program-approved monitoring location. For example, in the case of nitrogen contamination, total N of 5 ppm or greater would demonstrate the existence of an impact, provided that the elevated concentration can be related to the problem, considering factors such as the existence of other potential pollution sources, the location of the wells in relation to the problem area, and the strata from which the groundwater is drawn. Document all potential hydrogeological impacts to a public drinking water supply.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE PROJECT EVALUATION FORM FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

A. Public Health Impacts

2) Private Drinking Water Supply - refers to private wells within the project area that are shown via sampling analysis to be affected by waterborne pollutants. Affected wells should be pointed out on the site map. Laboratory results should be provided to help delineate the areal extent, the type, and the level of contamination. Have alternatives such as connection to another source or point-of-use/point-of-entry systems been evaluated?

3) Private Homes - refers to any residence affected by sanitary sewer back- up from a municipal sewer system into the home. Some evidence of the back-up and how the project will mitigate or eliminate impacts should be presented. Boards of Health reports or reports from the local sewer authority are acceptable documentation.

4) Public Streets or Parklands - refers to incidences of raw sewage flowing directly into public streets or parkland areas that would increase the potential for exposure to people. Such incident locations should be noted on the site map. Documentation from the Board of Health or the local sewer authority should be supplied.

5) Swimming Areas - refers to a designated swimming area that is posted, maintained, and monitored by a health or recreation agency and that has a documented closure(s) Documentation should include an explanation how the project will improve or eliminate these impacts.

6) Boating Areas - refers to an area of the affected water body that has identified public access points and a documented impact on these locations.

7) Sensitive Population Affected - This refers to a concentration of population that is expected to be particularly at-risk via exposure. Applicable populations would include schools, nursing homes, and hospitals served by a private well, or whose grounds are affected directly by contamination. For stormwater projects, the point will be awarded if the sensitive population is in a flood zone within the project area.

8) Population Affected - The project-specific population immediately impacted or served by the proposed project, as applicable.

9) EJ communities - An EJ population must be located within the proposed project area and either affected by or serviced by project.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE PROJECT EVALUATION FORM FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

B. Environmental Criteria

What is the nature of the environmental problem encountered?

Briefly, in narrative form, describe the nature and extent of any problems identified in the checklist, discussing the manner in which the problem affects the resource(s) noted. CSO and SSO remediation projects are presumed to affect bacteria, turbidity and aesthetic issues and are awarded those points.

1) Aquatic Toxicity - Project addresses receiving water toxicity problem. The 303(d) list includes aquatic toxicity as impairment for some waterbodies. The PEF makes a connection between the project and a decrease in toxicity (such as the need for the addition or upgrading of de-chlorination). CSO and SSO projects that attempt to reduce I/I are not presumed to address aquatic toxicity without documentation. Note that pathogens are not considered aquatic toxicity.

2) Nutrients - Defined as (upcoming or existing) impairment as documented in the 303(d) list (such as the need to upgrade treatment to address phosphorus from a wastewater treatment facility or to sewer an area upstream of a 303(d) list nutrient impaired pond), treatment plants, collection systems and/or alternative technologies listed in an area-wide wastewater management plan under section 208 of the federal Clean Water Act, 33 U.S.C. 1288; or a suitable equivalent plan determined by the Department of Environmental Protection whose primary purpose reducing nutrient load to estuaries experiencing water quality declines due to nitrogen enrichment as documented in a MEP Technical Report, a TMDL or a 303(d) listing.

3) Bacteria - The presence of coliform bacteria or E. Coli in a drinking water source or receiving water or enterococcus in a water body, as determined with analytical data. The 303(d) listing of "pathogens" is acceptable evidence of bacterial contamination. The information presented in the PEF should provide the data and the relevant limit exceeded or threatened (permit limit, drinking water Maximum Contaminant Level (MCL), swimming (beach)). Problems that are assumed to contribute to exposure to bacteria include CSOs, SSOs, on-site system breakouts, and on- site systems within groundwater.

4) Turbidity - Suspended particles in a waterbody as a result of human activity. The 303(d) list includes turbidity as a problem for some waterbodies. Examples of projects addressing turbidity include nonpoint stormwater projects and treatment of phosphorus to reduce algae growth. CSOs and SSOs are presumed to cause increased turbidity.

5) Dissolved Oxygen – PEF shows a dissolved oxygen impairment in receiving water as documented in the 303(d) or other DEP-accepted report and must demonstrate that the proposed project will mitigate or eliminate the problem.

6) Temperature - PEF shows a temperature impairment in receiving water as documented in the 303(d) or other DEP-accepted report and must demonstrate that the proposed project will mitigate or eliminate the problem**.**

7) Noxious Aquatic Plants - For the purposes of this PEF, "noxious aquatic plants" refers to the excessive growth of plant species in or near a waterbody, affecting the water quality and habitat. Documentation includes listing on the 303(d) list, diagnostic/feasibility studies, or Total Maximum Daily Load (TMDL) reports. Proposed project must mitigate the noxious weed problem.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE APPLICATION FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

B. Environmental Criteria

8) Aesthetics - Floating solids, strong odors and discoloration of a waterbody indicate aesthetic concerns. These may be documented in the 303(d) list. CSOs and SSOs are both assumed to include floating solids and therefore, would be considered to present an aesthetics concern. Demonstration of visual aesthetic concerns should include photos, with accompanying report and date, location, duration or intensity and person observing the problem. Official town reports are the appropriate documentation.

9) Emergent Contaminates
If this project addresses emergent contaminates this form is required to be filled out and uploaded with PEF documentation.

What environmental resource(s) is affected?

Describe whether the targeted pollution is shown to have a direct and adverse impact on the resources listed below, is within the project area, and whether the project scope will address the documented issue.

10) Public Water Supply – Surface Water Zone A or Zone B: – It is defined at 310 CMR 22.02. Generally, Zone B is the secondary area of protection surrounding the Zone A of a Public Water supply. Points are available only for Zone A or Zone B, not both. Points will be given if the project area is within the Public Water Supply- Zone B only if points were not awarded for Zone A.

11) Public Water Supply – Ground Water Zone I or Zone II: – It is defined at 310 CMR 22.02. Generally, Zone II is the secondary area of protection surrounding the Zone I of a Public Water supply. Points are available only for Zone I or Zone II, not both. Points will be given if the project area is within the Public Water Supply- Zone II only if points were not awarded for Zone I.

12) Outstanding Resource Water (ORW) – Defined at 314 CMR (https://www.mass.gov/files/documents/2016/11/nv/314cmr04.pdf). These waters include public water supplies and their tributaries. Vernal pools and waters protected by Special Legislation are also ORWs.

13) Areas of Critical Environmental Concerns (ACEC): The Executive Office of Energy and Environmental Affairs (EEA) designates ACECs within the Commonwealth. These areas include marshlands, embayments, unique habitats, and swamps. Discharge does not need to be directly into an ACEC.

14) Commercial Fishery/Shellfish Area - There are 303 shellfish growing areas designated by the Division of Marine Fisheries (DMF), with six classifications ranging from “Approved” to “Prohibited”. There are also data layers in MassGIS for “Designated Shellfish Growing Areas” and “MA DMF Lobster Harvest Zones”. Applicant must demonstrate that water quality improvement due to project implementation may expand an area available for harvesting or extend periods when beds/areas are open.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE APPLICATION FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

B. Environmental Criteria

15) Endangered Species Habitat - Areas identified in the Massachusetts Natural Heritage Atlas. There are also data layers in MassGIS, but they are only available by special request to the Natural Heritage and Endangered Species Program (NHESP). Points will be given if the project area is within the Endangered Species Habitat area.

16) Sole Source Aquifer (SSA) - The seven SSAs designated by US EPA, shown as the "EPA Designated Sole Source Aquifers" data layer of MassGIS. Applicant must demonstrate that the aquifer is impacted by the water quality problem and the project will mitigate the problem.

17) Ocean Sanctuary - The five areas described in M.G.L. c.132A, s.13. Project must be demonstrated to improve water quality entering a designated Ocean Sanctuary. This item refers to areas where water currently discharges to the designated Ocean Sanctuary, and water quality would be improved by the project.

18) Recreational Fisheries/Shellfish Area - Project area would include a water body with uses that have historically included recreational fishing or shell fishing. Implementation of the project should be expected to improve water quality sufficiently to allow for a return or expansion of the fish population.

19) Federally/State Designated River or Estuary or Freshwater Pond - Certain federal designations impart a higher level of significance to those rivers so designated. Federal designations include National Wild and Scenic Rivers. The proposed project would have to improve the water quality of a federally designated river. MassDEP has expanded this category to include rivers included in the most recent Biomap product as Core Habitat. Generally, communities bordering the mainstem of the designated river are considered to have the potential for direct impact; or an estuary or freshwater pond within a jurisdiction covered by an area- wide wastewater management plan under section 208 of the federal Clean Water Act, 33 U.S.C. 1288; or (ii) a suitable equivalent plan determined by the Department of Environmental Protection.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE APPLICATION FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

C. Program and Implementation Criteria

Consistency with EOEEA/MassDEP Watershed Management Plans or Priorities.

This section is intended to measure the extent to which this project implements planning recommendations or implements State or Federal requirements. Information supplied by the applicant will indicate the extent to which the applicant has explored and considered various options available. Points are awarded only for one planning category.

1) Implements a recommendation

Identify and describe how, and to what extent, the project implements or is consistent with one or more current priorities identified through Water Resource and Wastewater Planning, such as an EEA Watershed Management Plan; a CWMP, a Project Engineering Report (PER), a MassDEP-approved targeted watershed management plan, an area-wide wastewater management plan under section 208 of the federal Clean Water Act, 33 U.S.C. 1288; or (ii) a suitable equivalent plan determined by the Department of Environmental Protection, a Comprehensive Performance Evaluation (CPE), a Sewer System Evaluation Survey (SSES) (PER Level), a Stormwater Management Plan, a Water Quality Assessment Report, or a Diagnostic/Feasibility Study.

Applicants should refer to the planning requirements in the CWSRF regulations at 310 CMR 44.09 (310 CMR 44 (mass.gov)), to determine whether the planning satisfies the criteria for comprehensive wastewater management planning. Facility's plans or comprehensive wastewater management plans that are more than 15 years old will be considered the equivalent of local planning studies in MassDEP' s evaluation.

Attach the cover page of the planning document and indicate the date of MassDEP approval. Reference and append the pertinent pages that support the proposed project. Points may be issued for planning documents that are approved or considered "approvable" by MassDEP.

2) Compliance and enforcement

Indicate if the project is related to any regulation, permit or enforcement action. List any regulations, permits, or enforcement actions that apply, including federal administrative orders, Massachusetts administrative orders, Notices of Noncompliance (NONs), federal permits, Massachusetts permits, federal regulations, and state regulations. List the type of action, subject matter, reference number, appropriate section/page related to this project and deadlines for compliance.

Type of Action	Subject	Reference Number	Section & page	Compliance Deadline(s)
EXAMPLE: Fed. Adm. Order	Order for action pursuant to Sec 308 of Clean Water Act re: CSOs	#97-02	Sec 4 & 6, p.5-8	May 2025 June 2026
EXAMPLE: NPDES Permit	NPDES permit for WWTP discharge permit limit for toxicity	9701234	Sec II and III, p.6-9	As of 6/1/2018
EXAMPLE: NON	Surcharging of sewer at E. Main	WE-98-NON-1001	p.2	As of 6/1/2023

Explain how compliance with the above action(s) will address the environmental problem identified in the previous sections. Describe the specific tasks identified in the enforcement action that will eliminate or mitigate the problem. Voluntary compliance also applies to this item. Zero points will be awarded for compliance and enforcement for Tier V projects as HLE is required for a Tier V classification and already accounted for in the rating.

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PART IV – PROJECT RANKING

C. Program and Implementation Criteria

3) Multi-community or regional solution
Indicate whether the project constitutes or is a component of a multi- community or regional approach to addressing the identified environmental problem and describe the additional benefits resulting from such an approach. Examples include: a) host community assisting another to resolve a water quality problem; b) community entering into an Inter-Municipal Agreement; c) project implementing a specific recommendation in a Regional study relative to the proposed project; d) a project included under a watershed management permit.

4) Innovative technology (only within the past 5 years)
MassDEP encourages applicants to consider using innovative technology to achieve their clean water goals. The narrative also should include certification from a Professional Engineer that the innovative technology meets current engineering standards/practices, and a statement from a Professional Engineer addressing the likelihood the innovative technology would be successful for the project being presented.

MassDEP publishes a list of "new technologies" that have been approved for use in Massachusetts in the last five years. MassDEP weblink to the list: Innovative Alternative Technologies Approved for Use in Massachusetts

Guidance is found at: Approved Title 5 innovative/alternative technologies

5) Energy Efficiency

Relative benefit of the project - Indicate whether the project was recommended by a third-party energy audit, assessment, or feasibility study. Projects resulting from an audit/assessment/study will receive double the number of points for projects without energy audits. Include the applicable portion of the audit and an explanation of the energy savings expected from the project.

Will the project implement an energy efficiency measure?
If the project includes implementation of an energy efficient measure or installation of a more efficient resource, calculate the percent energy savings expected due to the proposed project. Energy savings will be the kW hours expected to be saved by the energy efficient resource, in relation to total kW hours of the entire facility (i.e. the pump station or treatment plant) per year and expressed as a percentage. New installations, such as premium motors or variable frequency drives, are only eligible if they are upgrades to an existing facility. New facilities are not eligible for energy efficiency points unless they employ LEED design. Projects which reduce energy consumption over 25% will get points for "Substantial Energy Efficiency (EE)". Projects which reduce energy consumption between 10-25% will get points for "Moderate EE". Projects which reduce energy consumption up to 10% will get points for "Nominal EE".

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE APPLICATION FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

C. Program and Implementation Criteria

6) Renewable Energy

Relative benefit of the project - Indicate if the project was recommended by a third-party energy audit, assessment or feasibility study. Projects resulting from an audit/assessment/study will receive double the number of points for projects without the acceptable study. Include the applicable portion of the audit and an explanation of the energy savings expected from the project.

Will the project result in on-site renewable energy power generation?
If the project includes a renewable energy resource component such as wind power, solar (either photovoltaic or solar thermal), hydropower, biogas generation, or combined heat and power, calculate the expected renewable energy production benefit. Projects which produce over 50% of demand will get points for "Substantial Renewable Energy (RE)". Projects which produce between 20-50% of demand will get points for "Moderate RE". Projects which produce up to 20% of demand will get points for "Nominal RE".

7) Climate Change Resilience and Adaptation
Projects addressing climate change resilience and adaptation include: a preliminary climate change exposure and risk rating; recommended climate resilience design standards for projects with physical assets; and guidance of best practices to support implementation. For stormwater projects, does the project address resiliency concerns due to flood risk or flooding history.

8) First Time PEF Submittal
Indicate if this is the first PEF submittal by the LGU for an SRF construction project or the first time in more than 5 years.

D. Best Management Practices (BMPs)

Applicants should identify if they are implementing Best Management Practices listed by the Clean Water Trust on its website and include proper supporting documentation in their application (Borrower Documents, Reports and Publications | Mass.gov).

1) Asset Management - Asset Management Planning is a process that utilities can use to prioritize and schedule maintenance and replacement of capital assets (pipes, valves, equipment, structures, etc.) in a proactive and cost-effective manner that allows for more predictable budget projections. An Asset Management Plan must include the five (5) essential components: asset inventory, level of service goals, criticality /risk analysis, life cycle cost analysis, and long-term funding recommendations. Proper documentation includes the cover sheet, index, and recommendations of the written Asset Management Plan. If the Asset Management Plan was funded through the SRF Program, a copy of the Planning Project Completion Certificate signed by the LGU is sufficient documentation. The Asset Management Plan must be no more than 15 years old to be awarded points.

GUIDANCE AND INSTRUCTIONS TO COMPLETE THE APPLICATION FOR SRF FINANCIAL ASSISTANCE CLEAN WATER CONSTRUCTION STAGE

PART IV – PROJECT RANKING

D. Best Management Practices (BMPs)

2) Enterprise Funds - An enterprise fund is a separate accounting and financial reporting mechanism for which revenues and expenditures are segregated into a fund with financial statements separate from all other government actlv1t1es. Full cost pricing encompasses all direct and indirect costs related to the service in order to maintain long-term financial sustainability. Points will be awarded for this question if the existence of an enterprise fund is documented. Proper documentation is a certification signed by the LGU that an enterprise fund has been established under M.G.L. c.44, §53F l /2. A District, Commission or Authority automatically receives these points. Inclusion on the Department of Revenue's 2024 list of communities with certified enterprise funds is also sufficient documentation. For a stormwater project that does not include sanitary sewer separation, the existence of a Stormwater Enterprise Fund must be documented.

3) Inter-Municipal Agreement - Inter-Municipal cooperation on water infrastructure projects. Proper documentation includes the cover sheet, index, and signature page of each IMA agreement. For the points to be awarded, the applicant must be the host community.

E. Qualifying Green Projects

EPA requires that a portion of the capitalization grants to fund the SRF programs be targeted to green projects or components of projects. It is necessary that all green components be identified in the PEF to assure that the minimum target requirements are met. Guidance and examples of what is considered "green" can be found in the following documents:

Green Project Reserve Crosswalk Table (epa.gov)

Green Project Reserve Guidance for the Clean Water State Revolving Fund (CWSRF) | US EPA

Green Project Reserve Eligibility Guidance

The applicant is required to do the following, if points are requested in sections C. 4), 5) and/or 6).

- Identify each component of this project that may be considered green.

- Determine each component of the project that meets each of the green components listed.
The code and dollar value for each green component must be entered in **line E. 1)**

- An approximate estimate of the value of the green work as a dollar value must be reported on **line E. 2)** and as a percentage of the entire project cost on **line E. 3)**. The actual costs for the green components will be updated at the time of contract bid and award.

END OF PROJECT RANKING AND EVALUATION