

Massachusetts Clean Water Trust
Office of the Treasurer and Receiver - General
Executive Office for Administration and Finance
Department of Environmental Protection



Application for Financial Assistance
State Revolving Fund

Asset Management Planning

January 2024

Department of Environmental Protection
Bureau of Water Resources

Division of Municipal Services
100 Cambridge Street Suite 900
Boston, Massachusetts 02114

INTRODUCTION

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

Clean Water Asset Management
Drinking Water Asset Management

Applicants should note that neither the filing of an application nor issuance by the Massachusetts Department of Environmental Protection (MassDEP) of a Project Approval Certificate (PAC) constitutes a binding commitment of the Massachusetts Clean Water Trust (Trust) or MassDEP to make a loan and/or award a grant. Binding commitments, subject to the availability of funds, will be issued by the Trust after review of the financial information contained in the application.

Please note that this application is subject to revision.

GENERAL INFORMATION

Please complete all parts of this application on the eSRF Portal.

[State Revolving Fund Applications & Forms | Mass.gov](#)

Use of This Application - This application is to request a grant to partially fund costs incurred by the local governmental unit (LGU) or Public Water Suppliers (PWS) in the planning of water pollution abatement or drinking water projects through preparation of Asset Management Plans.

General Eligibility – A project must appear on the asset management planning list of the final approved Massachusetts Clean Water State Revolving Fund Intended Use Plan or on the Drinking Water State Revolving Fund Intended Use Plan and meet the eligibility criteria of the SRF program in order to be eligible for financial assistance (See 310 CMR 44.04 or 44.08 & 310 CMR 45.00), as applicable:

<https://www.mass.gov/regulations/310-CMR-4400-the-clean-water-state-revolving-fund>

<https://www.mass.gov/regulations/310-CMR-4500-the-drinking-water-state-revolving-fund>

These applications are categorized as “**IUP Final**” Projects.

Deadlines - Please keep in mind two important deadlines. A vote on the local appropriation for the entire cost (grant, in-kind services, cash, and loan) of the project by the City Council, Town Meeting, Water District or Wastewater District must be completed by **June 30, 2024**, and should be scheduled as far in advance of that date as possible. A complete application must be submitted by **October 11, 2024**.

PROGRAM CONTACTS

Contact Section Chiefs for your region.

<https://www.mass.gov/lists/state-revolving-fund-applications-forms#contact>

**GUIDANCE AND INSTRUCTIONS TO COMPLETE THE
APPLICATION FOR SRF FINANCIAL ASSISTANCE
ASSET MANAGEMENT PLANNING**

APPLICANT INFORMATION

1. Local Government Unit (LGU) – (Prefilled from Project Evaluation Form)

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.

In April of 2022 the Office of Management and Budget (OMB) required federal agencies to transition from collecting DUNS numbers to collecting **Unique Entity IDs (UEI)**. UEIs are assigned by the Federal Government and are used to track the flow of federal funds. MassDEP and the Massachusetts Clean Water Trust recommend SRF loan and grant applicants apply for a UEI at their earliest convenience because if applicants do not have an UEI assigned, disbursements may be delayed until one is issued.

The UEI application and FAQ's can be found on the SAM.gov website, linked here:

<https://sam.gov/content/duns-uei>

Applicant PWSID – For Drinking Water Planning projects please provide the Public Water Supplier ID #. [To view searchable list of Public Water Supplier by name or by ID.](#)

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 and water 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.

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PROJECT INFORMATION

SRF ID (Project ID) (Prefilled from Project Evaluation Form) i.e. CWSRF-#### or DWSRF-####

6. Project Name (Prefilled from Project Evaluation Form)

7. Project Description (Prefilled from Project Evaluation Form)

8. Location – The project’s latitude and longitude in decimal format or radius and location description. If no specified location, please enter the latitude and longitude of the city/town.

9. Small System – The applicant must self-identify as a small system. For identification purposes, provide the total number of utility connections and corresponding population served by the project. This designation will be assessed during the application review process. Please note additional information may be required to verify status as a small system (<3,300 utility connections and 10,000 or less population served).

Note: Small systems may request a waiver to increase the In-Kind Services (IKS) contribution to cover 100% of the required local match. The waiver request must justify the increase and is subject to approval by the Trust’s Board of Trustees.

Applying for the Small System IKS Waiver: A waiver request may be submitted to the Director of the Division of Municipal Services by email to Maria.Pinaud@mass.gov once the project is identified as receiving a grant on the final IUP (IUP Table 2). If the waiver is approved, the requestor will submit the application for financial assistance and identify that 100% of the 40% local contribution will be IKS.

FUNDING SOURCES

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

ASSISTANCE REQUESTED

Project Cost and Schedule – (Prefilled from Project Evaluation Form) Review costs and modify if needed. Eligibility must be consistent with the [MassDEP Policy on Asset Management Plans Eligible Project Costs](#). The amount of financial assistance you are requesting is the calculated Eligible Cost.

<https://www.mass.gov/doc/clean-water-srf-eligible-project-costs-0/download>
<https://www.mass.gov/doc/drinking-water-srf-eligible-project-costs-0/download>

Cash Flow Projection – Provide a month-by-month schedule of project expenditures. The application must contain a realistic schedule for starting and completing the AMP.
[\(310-CMR-4400 CW MassDEP.gov\)](#) [\(310-CMR-4500 DW MassDEP.gov\)](#)

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REQUIRED DOCUMENTS

Part I – Applicant Information and Certification

AUTHORITY TO FILE

Refer to APPLICANT INFORMATION section for definitions of Local Government Unit (LGU) and Authorized Representative. ([Sample Form](#))

CERTIFYING STATEMENT FOR AUTHORITY TO FILE

Statement must be certified by submitting a separate certifying statement along with a copy of the 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 for whatever action is necessary relative to the project. The Certifying Statement shall name the individual currently holding that title. The statement shall be signed by the town or city clerk, and an impression of the entity's official seal affixed. If the entity is not a municipality, a notary may be used. ([Sample Form](#))

LOCAL APPROPRIATION

The applicant must demonstrate that sufficient funds are available to cover the total (grant, in-kind services, cash, and loan) project costs. This is accomplished by means of a vote of Town Meeting, City Council, Wastewater District/Commission, Water Supply District, or other designated body, as appropriate. Local bond counsel should be consulted for exact language depending on whether the applicant uses general obligation or revenue obligation borrowing.

Important points to remember include:

The applicant may borrow from the Massachusetts Clean Water Trust in accordance with Chapter 29c, as amended, of the Massachusetts General Laws. The resolution must be certified. It must denote who can act on behalf of the applicant to file for and accept financing. It must specifically state what project or type of project is being authorized, such as asset management planning.

SRF FINANCIAL ASSISTANCE APPLICATION FOR ASSET MANAGEMENT PLANNING PROJECT

This application needs to be signed by the authorized representative.

Part II – Planning Information

PLAN OF STUDY - Schedule

NOTE THAT SCHEDULE DURATION TO COMPLETE THE PROJECT SHOULD NOT EXCEED 24 MONTHS.

PLAN OF STUDY – Scope of Work

A detailed Plan of Study must be submitted with the application, outlining the scope of services for the planning work. The plan of study should be of sufficient detail to demonstrate that all MassDEP Asset Management Plan requirements will be met. For further information refer to the Asset Management Plan Guidance document, and/or contact the appropriate MassDEP Section Chief. <https://www.mass.gov/lists/state-revolving-fund-applications-forms#contact>

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REQUIRED DOCUMENTS

Part III – Professional Services Agreements Requirements

CASH FLOW PROJECTION – Provide a month-by-month schedule of project expenditures. The consulting engineer should be able to provide an estimate of the project schedule and anticipated fund amounts necessary to complete the project. This information will be important to determine subsidy and bonding requirements. (Since it will be necessary to make assumptions regarding project start-up and loan award dates in order to complete this section, it may be necessary to update this information later to reflect the actual date of project initiation.) This schedule should show all expenses, including previously incurred costs if MassDEP had issued a prior approval as provided in 310 CMR 44.08 and 310 CMR 45.04, as applicable.

<https://www.mass.gov/regulations/310-CMR-4400-the-clean-water-state-revolving-fund>
<https://www.mass.gov/regulations/310-CMR-4500-the-drinking-water-state-revolving-fund>

DETAILED FEE BREAKDOWN

All fees shall be broken out by task (shop drawings, resident services, start-up, etc.), job category (vice president, project engineer, draftsman, etc.), and cost.

IN-KIND SERVICES (IKS) REPORTING – Applicants are required to submit a DRAFT format for reporting information related to the In-Kind Services performed for the project. The form must provide at a minimum the information described in this [sample](#).

PROFESSIONAL SERVICES AGREEMENT

The application must contain draft agreements for all professional services which clearly outline the duties and responsibilities of the applicant and its consultants. The agreement will include, but not be limited to, scope of work for the various planning tasks, cost to perform the work to be paid in accordance with the provisions of eligible contracts, provisional overhead rate, and time of completion.

MODEL SUBAGREEMENT CLAUSES

The provisions within this [reference file](#) are to be made a part of all professional services agreements.

STATEMENT OF TAX COMPLIANCE - CHAPTER 233

A statement must be signed by the consultant engineer for the project that states that the engineering/consulting firm is in compliance with Massachusetts tax laws. A [sample statement](#) is provided for your reference.

SUBCONTRACTS (WHERE APPLICABLE)

All subcontractors shall be listed with a description of the tasks/ type of the project work they will perform. All lower tier subcontracts more than \$25,000 must be submitted in draft form with the application along with a detailed fee breakdown. The subcontracts must incorporate the Model Sub-agreement Clauses.