

**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**  
**Planning Stage**

Clean Water Planning  
Drinking Water Lead Service Line Inventories and Replacement Plans Loan  
Drinking Water Planning

2024

(Revised Feb 6, 2025)

**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 Planning

Clean Water PFAS Planning

Drinking Water Lead Service Line Inventories and Replacement Plans Loan

Drinking Water Planning

Drinking Water PFAS Planning

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

**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 for a loan/grant assistance for the local governmental unit (LGU) or Public Water Suppliers (PWS) in the planning of water pollution abatement or drinking water projects.

All planning project applications are accepted on a rolling basis while funding is available.

For rolling applications, a Project Evaluation Form (PEF) is not necessary, and these applications are categorized as “**NON-IUP**” (Non-Intended Use Plan) Projects.

**Once the application is created in the eSRF Portal the user has 30 days to complete it. If your application requires more time to complete, please contact the SRF Data Support Team at [srfmadep@mass.gov](mailto:srfmadep@mass.gov).**

There are two (2) categories of planning projects funded through the State Revolving Fund as described below:

### **Clean Water and Drinking Water Planning Loans**

Planning projects that will likely result in PFAS remediation projects are eligible for 0% interest loans pending availability of funding.

All other planning projects for water pollution abatement or drinking water such as the preparation of Integrated Water Resource Management Plans, Comprehensive Wastewater Management Plans, Project Evaluation Reports, Stormwater Management Plans, etc. are eligible for 2% interest rate loans. Housing Choice communities are eligible for 1.5% interest rate loans. For the list of Housing Choice communities see here: <https://www.mass.gov/info-details/housing-choice-designation-list-of-communities>

**General Eligibility** - A project must meet the eligibility criteria of the SRF program to be eligible for financial assistance.

Clean Water:

<https://www.mass.gov/regulations/310-CMR-4400-the-clean-water-state-revolving-fund>  
<https://www.mass.gov/doc/clean-water-srf-eligible-project-costs-0/download>

Drinking Water:

<https://www.mass.gov/regulations/310-CMR-4500-the-drinking-water-state-revolving-fund>  
<https://www.mass.gov/doc/drinking-water-srf-eligible-project-costs-0/download>

## 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  
PLANNING STAGE**

**APPLICANT INFORMATION**

**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.

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 only 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.

**GUIDANCE AND INSTRUCTIONS TO COMPLETE THE  
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**PROJECT INFORMATION**

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

**6. Project Name** (this section is limited to 50 characters)

**7. Project Description** (this section is limited to 1000 characters)  
For LSL Planning application please include all applicable [PWSID#](#).

**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.

**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** – The application must contain the costs and a realistic schedule for starting and completing the planning project. It is critical that this schedule be as accurate as possible. Please include month, day, and year. Indicate the total and eligible costs of the project. Eligibility must be consistent with the MassDEP Policy on 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 Planning Project. Since the Trust will use this timeframe for administration of grants and bonds, it is critical that this schedule be as accurate as possible.  
[\(310-CMR-4400 CW | MassDEP.gov\)](#) [\(310-CMR-4500 DW | MassDEP.gov\)](#)

**GUIDANCE AND INSTRUCTIONS TO COMPLETE THE  
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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 (both eligible and ineligible) 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 planning.

**SRF FINANCIAL ASSISTANCE APPLICATION FOR PLANNING PROJECT**

This application needs to be signed by the authorized representative.

**Part II – Planning Information**

**PLAN OF STUDY – Schedule**

**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 planning requirements will be met. For further guidance on this issue, contact the appropriate MassDEP Section Chief. <https://www.mass.gov/lists/state-revolving-fund-applications-forms#contact>

**GUIDANCE AND INSTRUCTIONS TO COMPLETE THE  
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PLANNING STAGE**

**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.

**DISADVANTAGED BUSINESS ENTERPRISE (DBE)**

Applicants receiving assistance must make positive efforts to use disadvantaged minority and women owned businesses for professional services. Such efforts should achieve a goal of 4.2% participation for disadvantaged minority business (D/MBE) and 4.5% participation for disadvantaged women owned business (D/WBE) but, at a minimum, should allow these sources the maximum feasible opportunity to compete for sub-agreements to be performed using state trust monies. ([DBE Participation Forms for Professional Services Contracts](#))

**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**

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.