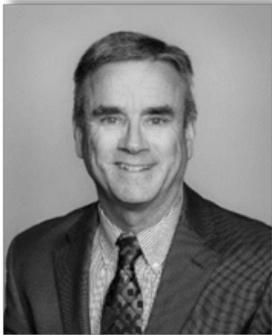


Funding Your Municipal Infrastructure Project

JANUARY 9, 2019



Introductions



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The Chazen Companies

Expertise

- Civil Engineering
- Land Surveying
- Landscape Architecture
- Environmental Services
- Planning Services
- Grant Writing & Administration
- Construction Engineering & Inspection
- Transportation Planning & Engineering
- Building Code & Life Safety Services

Locations

New York

- Capital District
- Hudson Valley
- North Country
- Westchester County

Tennessee

- Nashville
- Chattanooga

Oregon

- Portland

Presentation Agenda

- The Funding Landscape
- Key Infrastructure Funding Sources
- Consolidated Funding Application (CFA)
- Preparing your Project(s) for Funding
- Tips for Successful Applications

Challenges In Funding Infrastructure Projects

- Increasing Need Due to Aging Infrastructure & Deferred Maintenance
- Financial Constraints & the Tax Cap
- Rising User Rates
- Complex Regulatory Environment
- Inadequate Preparation

Infrastructure Needs

How's New York's infrastructure doing?

Using a simple "A" to "F" school report card format, this *Report Card for New York's Infrastructure* provides a comprehensive look at New York's current infrastructure conditions and needs, assigning grades to indicate how it's doing overall and making recommendations to raise those grades. The Report Card has an overall Infrastructure G.P.A. of **C-** based on eight critical criteria: capacity, condition, funding, future need, operation and maintenance, public safety, resilience, and innovation. The Report Card also individually grades 9 critical infrastructure types:

Aviation	C	Drinking Water ..	C	Solid Waste	B-
Bridges	D+	Parks	B-	Transit	C-
Dams	C-	Roads	D-	Wastewater	D

New York's
Infrastructure GPA



Consolidated Funding Application (CFA)

- Formation of 10 Regional Councils
- Five Year Strategic Plans
 - Comprehensive Vision For Economic Development
 - Regional Strategies
 - Priority Projects

Regional Councils



Key Infrastructure Programs

2018 CFA – Key Infrastructure Programs

Department of Environmental Conservation (DEC)

- Up to \$3 Million –Engineering Planning Grant Program
- Up to \$79 Million – Water Quality Improvement

Environmental Facilities Corporation (EFC)

- Up to \$15 Million - Green Innovation Grant Program

Homes and Community Renewal (DHCR)

- Up to \$20 Million – Community Development Block Grant (CDBG)

Empire State Development (ESD)

- Up to \$1 Million – Environmental Investment Fund

DEC/EFC Wastewater Infrastructure Engineering Planning Grant

Eligibility

Requires 20% Match

Median HH Income (MHI)

≤ \$65,000 Most Regions

≤ \$85,000 Mid-Hudson, NYC, LI

Preparation of Engineering Report to determine scope of
Water Quality Issues

- \$30,000 – Municipalities < 50,000 Population
- \$50,000 – Municipalities > 50,000 Population
- \$100,000 – For I/I Projects – Consent Order or
SPDES Permit Compliance

DEC Water Quality Improvement Program (WQIP)

- Wastewater Treatment Improvements
- Municipal Separate Storm Sewer Systems (MS4's)
- Wastewater Disinfection – 75% Funded
- Combined Sewer Overflow/Sanitary Sewer Overflow (CSO/SSO) – 75% Funded
- New Systems – To address failing Septic Systems – 75% Funded
- General Wastewater Infrastructure Improvement - 40% Funded

NYSEFC

Green Innovation Grant Program (GIGP)

No Cap, Up To 90% Funding For Eligible Costs

Requires Engineering Report/Conceptual Site Plan And Feasibility Study

Competitive Projects:

- Create and Maintain Green, Wet-Weather Infrastructure
- Spur Innovation in Stormwater Management
- Build Capacity to Construct and Maintain Green Infrastructure
- Facilitate the Transfer of New Technologies and Practices

DHCR

Community Development Block Grant (CDBG) Program

Eligibility: Most cities, towns and villages with populations under 50,000;
Most counties with populations under 200,000; 51% low to moderate
income people in service area

Public Infrastructure- Annual Round Competition:

Grants : \$750,000/\$1,000,000 Municipalities/Co-Funding
 \$900,000/\$1,250,000 Joint Applicants/Co-Funding

EFC

GRANT PROGRAMS

- Water Infrastructure Improvement Act (WIIA)
- Intermunicipal Water Infrastructure Grant (IMG)
- Integrated Solutions Construction (ISC) Grant Program
- Grants for Emerging Contaminants (PFOAs)

EFC

Water Infrastructure Improvement Act (WIIA)

Round 3 - \$270 Million (2018)

- \$19 Million - Harmful Algal Bloom
- \$15 Million - Emerging Contaminants
- \$236 Million – General Water/Wastewater Infrastructure

EFC

Water Infrastructure Improvement Act (WIIA)

“Water Grants” - \$275M (2018)

Water & Wastewater Infrastructure

- Wastewater
 - Up to 25% of project cost not to exceed \$5M
- Water
 - Up to 60% of project costs not to exceed \$3M

IMG – Intermunicipal

Applications Fall (September 2018)

NYSEFC –State Revolving Loan Fund

CLEAN WATER STATE REVOLVING FUND (CWSRF)

Provides Financial Assistance for Wastewater and Water Quality Infrastructure

\$6.8 Billion – Need

\$795 Million - Available

DRINKING WATER STATE REVOLVING FUND (DWSRF)

Provides Financial Assistance for Drinking Water Infrastructure

\$3.8 Billion – Need

\$390 Million - Available

Getting Listed on the IUP

Multi-year List

Simple Form – Accepted year Round

Consider it an “Expression of Interest”

Annual List

2 Steps

1. Engineer’s Report & Smart Growth Form
2. Application for Financing

Drinking Water State Revolving Fund (DWSRF) Listing Form Preliminary Project Schedule And Cost Estimate For Intended Use Plan (IUP) Listing Purposes (Instructions on Back)		Date Prepared	DOH Use Only
PROJECT INFORMATION Name of Water System: _____ Municipality: _____ County: _____ Legislative Districts - Congressional: _____ NYS Senate: _____ NYS Assembly: _____ Project Description/Location: _____		____/____/____	PWS I.D. No. _____ Project Tracking No. _____ Date Received: ____/____/____
If an engineering report has not been provided with this form, please attach a narrative description including details with respect to the issues the project will be solving as related to the priority ranking system (see Attachment 1 in the IUP available at www.efc.ny.gov/dwiup).			
Population Served by Water System: _____ Population Served by Project: _____			
Has this project been listed in a DWSRF Intended Use Plan (IUP)? Yes or No. If yes, please indicate the DWSRF project tracking number: _____			
Are there other funding sources anticipated for the project? Yes or No. If yes, list funding source here: And attach a separate sheet with details about the source of funding, amount of funding, type of funding, and letter of confirmation.			
CONTACT INFORMATION Name of Borrower: _____ Consulting Engineer: _____ Contact Person, Title: _____ Contact Person, Title: _____ Address: _____ Address: _____ Phone #: _____ Phone #: _____ E-Mail Address: _____ E-Mail Address: _____			
If applicable, provide a separate sheet with contact information for additional parties who should be included on project mailing/emailing lists, including system owner (if different than borrower) and person responsible for completing subsequent application package.			
PROJECT SCHEDULE		DATES (T) TARGET OR (A) ACTUAL	
1. Submit Engineering Report.		() _____ (Date)	
2. When will all Technical Submittals be completed?		() _____ (Date)	
3. Start of construction date (date Notice to Proceed was issued)?		() _____ (Date)	
4. Is this project being submitted for Refinancing? Yes or No? If yes, Construction Completion Date (actual date)?		() _____ (Date)	
Project Cost Estimate			
Construction Costs \$ _____			
Engineering Fees \$ _____			
Other Expenses \$ _____			
Equipment Costs \$ _____			
Land Acquisition \$ _____			
Contingencies (____ % used) \$ _____			
Subtotal Project Costs \$ _____			
Deduct other funding sources (HUD, RD, etc.) \$ _____			
Add Est. Issuance Costs \$ _____ (Estimated issuance costs are approximately 3% of project costs)			
Total Amount to Finance \$ _____			
Please return completed form to: New York State Department of Health Bureau of Water Supply Protection Corning Tower, Room 1135 Empire State Plaza Albany, New York 12237 Phone: (518) 402-7650 Or Email to: bpwsp@health.ny.gov			
		Form Revised May 11, 2017	

Getting Listed on the IUP

Annual List – Listings Due End
August & Established Oct/Nov

Template for Engineering Report

Financing package Includes:



Engineering Report Outline for New York State Wastewater Infrastructure Projects

Engineering Report
Each engineering report
Table of Contents below
development of an eng
and guidance on each

Executive Summary
Project Background

Effective October 1, 2018
Suitable for Use for Projects to be Approved by the NYS Department of Environmental Conservation (DEC) and/or the NYS Environmental Facilities Corporation (EFC)

1. Site Information.....	4
2. Ownership and Service Area.....	4
3. Existing Facilities and Present Condition.....	4
4. Definition of the Problem.....	5
5. Financial Status.....	5
Alternatives Analysis	5
1. Description.....	5
2. Cost Estimate.....	6
3. Non-Monetary Factors.....	6
Summary and Comparison of Alternatives	6
Recommended Alternative	7
Appendix A: Energy Efficiency Best Practices	8
Appendix B: Examples of Short-Lived Assets	10
Appendix C: Engineering Report Certification	11
Appendix D: Smart Growth Assessment Form	12
Appendix E: Additional Considerations for Specific Technologies and Project Types ...	13

Getting Listed on the IUP

Financing Application Includes:

- Application Form
- Municipal Bond Resolution
- Proof of Publication
- SEQRA/SERP Documentation
- SHPO Clearance
- District Formation
- Engineering Agreement

USDA Rural Utilities Service

Water and Wastewater Loan and Grant Program

Eligibility Based on Population <10,000

Three Interest Rate Levels:

- **Poverty Rate**-The Median Household Income (MHI) of the service area is **less than \$45,506**. Project must be necessary to alleviate a health and sanitary problem.
- **Intermediate Rate** -Does not qualify for Poverty Rate – MHI between **\$45,506 and \$56,882**
- **Market Rate** –MHI over \$56,882. No grant funds available for Market Rate projects.

Are You Ready?

Gather your team

Prepare a list of projects

Develop a order of magnitude costs

Develop a Scope

Get on the Multi-Year SRF List

Begin Planning & Due Diligence

Are You Ready

Supporting Information

- Engineering Reports
- SHPO And SEQR Review
- Resolutions
- Project Cost Estimates

Availability Of Matching Funds/In-Kind Services

- Direct Cash vs. Provision of Labor, Equipment, Services

Project's Consistency With Local and Regional Plans

Evaluate your Ability to Manage/Administer Grant Resources

Completing Successful Applications

Begin Preparing Early

- Writing an Application for a Well Planned Project is Much Easier than Seeking Funding for a Project with Incomplete Planning

Attend Informational Workshops

Follow Application Instructions Closely

Construct Narratives Based on Evaluation Criteria And Local, Regional, and State Goals

- Identify Who, What, Where, Why, When, and How

Completing Successful Applications

Build Local/Regional/Statewide Support

- Partnerships
- Inter-municipal Projects
- Letters of Support

Leverage Resources

- Success of Previously Funded Projects
- Multiple Grant/Funding Sources (Private and Public)

If Your Project Doesn't Get Funded

Seek Feedback From Funding Agency

Consider Phasing The Project

Pursue Additional Funding Sources

Get Additional Input From Funding Agency Prior To Submission

Questions?

Thank You-

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The Chazen Companies

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Case Studies

Examples of Recently Funded Projects

Village of Lake George WWTP

Replacing existing
treatment facility



Project Cost Estimate: \$22,000,000

2017 Funding Commitments

- NYSEFC Water Grant: \$4,273,923**
- NYSDEC – WQIP Grant: \$2,500,000
- Reduces the estimated project cost to \$15,276,077.00

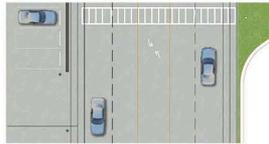
2018 Pending Grant Applications

- NYSEFC IMG Program: \$6,110,431**
- NYSESDC Grant Funds-Infrastructure: \$4,000,000

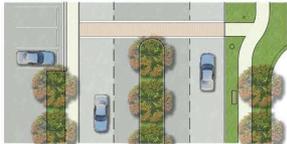
Project will also receive EFC “hardship” or 0.0% financing for CWSRF loan. Projected interest savings: ~\$4.5M

**Note: Grant Funding from EFC is calculated following all other grant funding received and will reduce if additional grant monies are received.

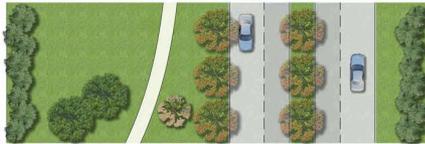
Lake George Route 9 Gateway Plan



EXISTING PLAN



PROPOSED PLAN



PROPOSED PLAN



EXISTING CROSS SECTION
SCALE 1" = 20'



PROPOSED CROSS SECTION A
SCALE 1" = 20'



PROPOSED CROSS SECTION B
SCALE 1" = 20'



EXISTING VIEW LOOKING NORTH ALONG ROUTE 9
(SHOWING JOINTWORK TO THE LEFT, ROUTE 8 INTERSECTION TO THE RIGHT)



VISUAL SIMULATION 1 LOOKING NORTH ALONG ROUTE 9
(SHOWING JOINTWORK TO THE LEFT, ROUTE 8 INTERSECTION TO THE RIGHT)



EXISTING VIEW LOOKING NORTH ALONG ROUTE 9
(PROJECT OWNER TO THE LEFT, AAW TO THE RIGHT)



VISUAL SIMULATION 2 LOOKING NORTH ALONG ROUTE 9
(PROJECT OWNER TO THE LEFT, AAW TO THE RIGHT)

Complete Streets

Traditionally, our roadway corridors have been designed for a singular use—the automobile. As an alternative, a "complete street" is designed to accommodate multiple uses and users including pedestrians, bicyclists, motorists and transit riders, ranging from the young and the able to people with disabilities. In addition, a complete street should incorporate design characteristics that enhance the surrounding area and help to mitigate environmental issues that may be associated with a roadway. To achieve this vision, the Town of Lake George Route 9 Gateway Plan incorporates the following design elements:

Access Management

The goal of Access Management is to encourage orderly and well-planned points of vehicular access throughout the corridor. The Town of Lake George Route 9 Gateway Plan calls for a reduction in the number curb cuts, intersections between adjacent land uses, installation of designed turning lanes and medians, and the usage of signs to improve vehicular access and pedestrian safety throughout the corridor.

Pedestrian Access, Safety and Mobility

Pedestrian access, safety and mobility is a core component of any complete street. The Town of Lake George Route 9 Gateway Plan includes such design features as sidewalks, multi-use lanes and paths, crosswalks, pedestrian islands, buffers between medians and pedestrian, curb bump-outs, signage, transit stops, and improved access to the Warren County Bikeway to achieve the goal.

Corridor Beautification

Corridor Beautification includes those elements that help to promote a sense of place and add to the overall aesthetic quality of a particular area. As a gateway, the Route 9 corridor serves as a "front door" for the Lake George and Adirondack regions. As such, features such as themed and/or period lighting, landscape improvements, native street trees and shrubs, gateway waterfalls, and themed and orderly signage are incorporated into the plan.

Traffic Calming

Reduced vehicle speeds helps to lessen the number of traffic and/or pedestrian related accidents. Reduced speeds are also more conducive to creating a walkable environment and offer more opportunities for motorists to notice the surrounding amenities and resources. The Gateway Plan includes Traffic Calming features such as curb bump-outs, narrowed travel lanes, signage, planted medians, well defined crosswalks, and calls for a reduction in the speed limit in order to achieve this goal.

Sustainable/Green Streets

Stormwater runoff can contribute to degraded surface water quality. Incorporating the environmental and economic importance of Lake George, the Route 9 Gateway Plan promotes the use of alternative stormwater management features including rain gardens, disconnected curbs, bio-retention basins, and dry and wet swales. The ultimate goal of using these features is to promote direct infiltration of rain and/or stormwater.



Pedestrian Wayfinding Signage:
"Thoughtfully planned and well designed wayfinding signage will help pedestrians navigate the corridor and locate key points of interests, including the Lake George waterfront."



Bicycle Wayfinding Signage:
"Wayfinding signage for the existing Warren County Bikeway and the proposed shared roadway will not only help it promote usage; it will improve pedestrian safety as well."



Vehicular Wayfinding Signage:
"Using road signage is helpful and visually inspiring. Well designed and coordinated signage will improve access, safety, and the visual quality of the corridor."

NYS Route 9 Gateway

Town of Lake George

Warren County, NY

Lake George Route 9 Gateway Plan (2010)

- Funded by the Adirondack Glens Falls Transportation Council (AGFTC)
- Identified a Study Area
- Incorporated Public Participation
- Developed Concept Plan
- Estimated Cost and Identified Funding Sources



NYS Route 9 Gateway

Town of Lake George

Warren County, NY

2011 CFA – Green Innovation Grant Program

- Design and Construction of 1 Mile of Sidewalks on the West Side of Route 9
- Requested \$230,000 - Predevelopment
- Requested \$1.5 Million – Construction
- Project Not Funded

2012 Consolidated Funding Application

- Requested \$544,500 in Environmental Facilities Corporation Green Innovation Grant Program Funds
- Required 10% Local Match
- Project was Awarded in Full

Project Components

- Permeable Concrete Sidewalks
- Raised Landscaped Center Median
- Green Infrastructure Improvements
- Pedestrian/Vehicle Safety Improvements

2013 Strategic Enhancement Transportation Program

- Requested \$6 Million to Complete Corridor Improvements
- Requires 20% Match – Local Funding, Additional Grants

Project Listed on Transportation Improvement Plan (TIP)

NYS Route 9 Gateway

Town of Lake George

Warren County, NY

