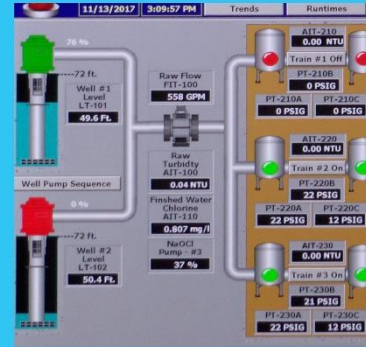


Financing Water & Sewer Infrastructure Projects

STRATEGIES FOR FUNDING SUCCESS





BEN SYDEN, AICP
VICE PRESIDENT, LABERGE GROUP

WHY ARE WE HERE?

STATEWIDE INFRASTRUCTURE CRISIS

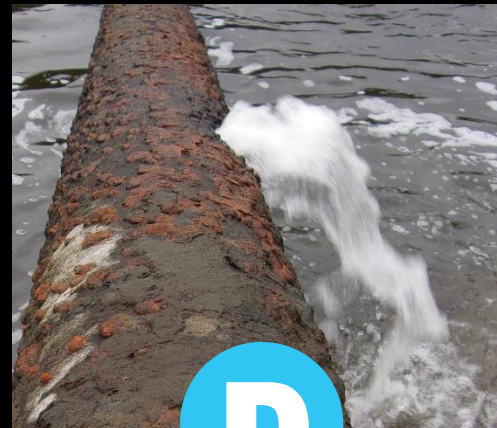


GRADE:

C

WATER

ASCE Report Card



GRADE:

D

WASTEWATER

ASCE Report Card

AGING

DETERIORATING

INSUFFICIENT

\$38.7

BILLION
OVER 20 YEARS

\$36.2

BILLION
OVER 20 YEARS

AGING, DETERIORATING... AND FAILING



COHOES
TROY
ALBANY

ROTTERDAM
SYRACUSE
GUILDERLAND

NASSAU
PLATTSBURGH
ONEONTA

Image: © 2018 Michael McClellan, Baltimore Sun

DAUNTING CHALLENGES

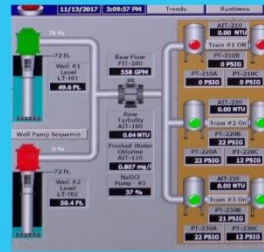


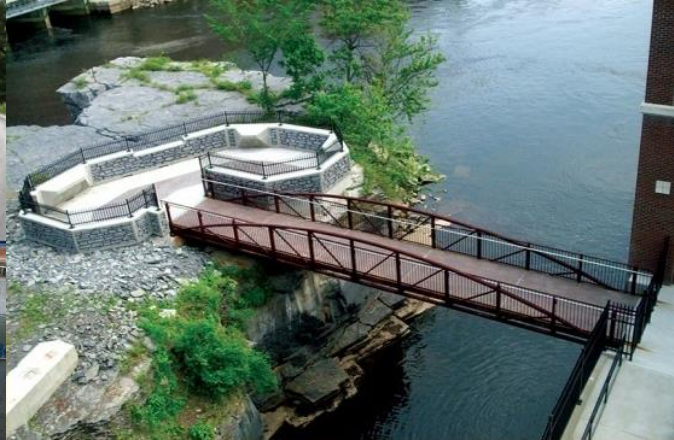
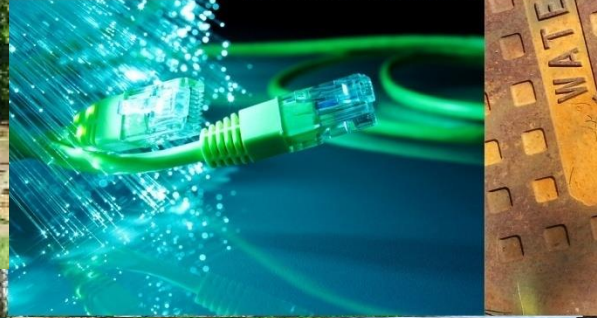
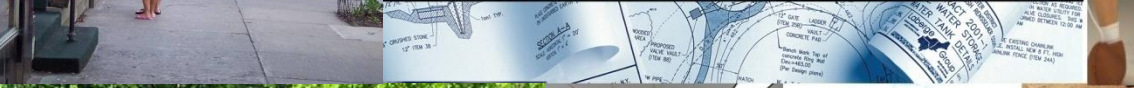
PUBLIC WORKS AND
INFRASTRUCTURE ARE
ONE PIECE
OF THE MUNICIPAL PUZZLE

Image: © 2018
Patrick Dodson
The Daily Gazette



OTHER MUNICIPAL PRIORITIES





OTHER MUNICIPAL PRIORITIES



- Stagnant and/or Reduced Revenues
- Increased Costs
- Increased Competition for Grants

TAX CAP



HOW TO MOVE THE NEEDLE

KNOWLEDGE IS POWER ► REV YOUR ENGINE

- Project Identification
- Engineering Assessment / Budget Analysis
- Partner Identification / Outreach
- Understand Funding Program Requirements



DEVELOP YOUR PROJECT PLAN

- Identification of Priority Projects
- Project Description(s)
- Assessment of Resources
 - Capital, Operational & Programmatic
- Identification of Prospective Projects
- Project Prioritization & Timeline
- Supporting Documentation Checklist
- Assign Responsibility
- Potential Funding Streams

Table 18: Capital Projects Action Matrix

| # | Subarea | Action Item | Time Frame | High Priority | Partners | Sources of Funding |
|----|-------------------------|---|------------|---------------|----------------------------------|---|
| 1 | Entire BOA | Improve visual and physical connectivity between local and regional recreational and cultural resources. | O | | NYSOPRHP, NYSDOS, NYS Canal Corp | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 2 | MHBHT | Design and construct a crossing (at grade or underpass) at the railroad tracks to eliminate the interruption along the MHBHT at Scraftford Lane. | S | X | NYSDOT, COTC | FHWA Recreational Trails Program, Transportation Enhancements Program |
| 3 | MHBHT | Extend the MHBHT route to Iroquois Street by working with property owners through easements and/or property acquisition. | L | | NYSDOS | Environmental Protection Fund, BOA Step 3, Town of Rotterdam (property acquisition not eligible under BOA Step 3) |
| 4 | MHBHT | Convert the former Bonded Concrete site into a recreational park for the Town of Rotterdam (Underutilized Site #8). | L | X | NYSDEC | Environmental Protection Fund |
| 5 | MHBHT | Create an interpretive overlook at the historic Erie Canal Lock 25 to create additional recreation space, while also protecting and honoring the history of the Erie Canal. | M | | NYSOPRHP, NYSDOS, NYS Canal Corp | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 6 | MHBHT | Develop a way-finding strategy for Rotterdam Junction; develop and install a high quality, clear and recognizable system for directional and interpretive information along the Historic Erie Canal and the MHBHT. Place signs throughout the entire Town and Hamlet directing people to Mabee Farm, the Keepers of the Circle and other cultural resources located within the Junction to increase awareness of the assets and help visitors find their way. | M | X | NYSOPRHP | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 7 | MHBHT & Upper Rotterdam | Design and install directional, informational, and interpretive signage at key intersections within the subarea to guide pedestrians and bicyclists to the cultural and recreational amenities of Rotterdam Junction. | M | | NYSDOT, Rotterdam Highway Dept. | New York Main Street Program |
| 8 | Upper Rotterdam | Implement Streetscape Improvements for Route 55/Main Street such as addressing poor sidewalk conditions, consolidating or eliminating curb cuts, calming traffic, encouraging the use of street trees and pedestrian benches, and increasing pedestrian-scale lighting. Consider the placement of "Welcome to Rotterdam Junction" signs along Main Street to create a sense of place. | O | | NYSDOT | New York Main Street Program |
| 9 | Upper Rotterdam | Implement the recreation improvements detailed in the Rotterdam Junction BOA Land Use Master Plan. | O | | NYSOPRHP, NYSDOS | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 10 | Upper Rotterdam | Complete sidewalks to eliminate gaps and provide crosswalks for safe, efficient, and effective pedestrian access across Route 55/Main Street. | M | | NYSDOT | New York Main Street Program, COTC TIP, CDBG Public Infrastructure |



Section 5: Implementation Strategy

137



Section 2: Introduction

431

| | | | | | | |
|----|-----------------|---|---|--|--------|--|
| 10 | Upper Rotterdam | Complete sidewalks to eliminate gaps and provide crosswalks for safe, efficient, and effective pedestrian access across Route 55/Main Street. | M | | NYSDOT | New York Main Street Program, COTC TIP, CDBG Public Infrastructure |
| 9 | Upper Rotterdam | Implement the recreation improvements detailed in the Rotterdam Junction BOA Land Use Master Plan. | O | | NYSDOT | New York Main Street Program, COTC TIP, CDBG Public Infrastructure |
| 8 | Upper Rotterdam | Implement Streetscape Improvements for Route 55/Main Street such as addressing poor sidewalk conditions, consolidating or eliminating curb cuts, calming traffic, encouraging the use of street trees and pedestrian benches, and increasing pedestrian-scale lighting. Consider the placement of "Welcome to Rotterdam Junction" signs along Main Street to create a sense of place. | O | | NYSDOT | New York Main Street Program |

Table 18: Capital Projects Action Matrix

| # | Subarea | Action Item | Time Frame | High Priority | Partners | Sources of Funding |
|----|-------------------------|---|------------|---------------|----------------------------------|--|
| 1 | Entire BOA | Improve visual and physical connectivity between local and regional recreational and cultural resources. | O | | NYSOPRHP, NYSDOS, NYS Canal Corp | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 2 | MHBHT | Design and construct a crossing (at grade or underpass) at the railroad tracks to eliminate the interruption along the MHBHT at Scrafford Lane. | S | X | NYSDOT, CDTC | FHWA Recreational Trails Program, Transportation Enhancements Program |
| 3 | MHBHT | Extend the MHBHT route to Iroquois Street by working with property owners through easements and/or property acquisition. | L | | NYSDOS | Environmental Protection Fund, BOA Step 3., Town of Rotterdam (property acquisition not eligible under BOA Step 3) |
| 4 | MHBHT | Convert the former Bonded Concrete site into a recreational park for the Town of Rotterdam (Underutilized Site #8). | L | X | NYSDEC | Environmental Protection Fund |
| 5 | MHBHT | Create an interpretive overlook at the historic Erie Canal Lock 25 to create additional recreation space, while also protecting and honoring the history of the Erie Canal. | M | | NYSOPRHP, NYSDOS, NYS Canal Corp | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 6 | MHBHT | Develop a way-finding strategy for Rotterdam Junction; develop and install a high quality, clear and recognizable system for directional and interpretive information along the Historic Erie Canal and the MHBHT. Place signs throughout the entire Town and Hamlet directing people to Mabee Farm, the Keepers of the Circle and other cultural resources located within the Junction to increase awareness of the assets and help visitors find their way. | M | X | NYSOPRHP | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 7 | MHBHT & Upper Rotterdam | Design and install directional, informational, and interpretive signage at key intersections within the subarea to guide pedestrians and bicyclists to the cultural and recreational amenities of Rotterdam Junction. | M | | NYSDOT, Rotterdam Highway Dept. | New York Main Street Program |
| 8 | Upper Rotterdam | Implement Streetscape Improvements for Route 5S/Main Street such as addressing poor sidewalk conditions, consolidating or eliminating curb cuts, calming traffic, encouraging the use of street trees and pedestrian benches, and increasing pedestrian-scale lighting. Consider the placement of "Welcome to Rotterdam Junction" signs along Main Street to create a sense of place. | O | | NYSDOT | New York Main Street Program |
| 9 | Upper Rotterdam | Implement the recreation improvements detailed in the Rotterdam Junction BOA Land Use Master Plan. | O | | NYSOPRHP, NYSDOS | Environmental Protection Fund, Canalway Grants Program, LWRP |
| 10 | Upper Rotterdam | Complete sidewalks to eliminate gaps and provide crosswalks for safe, efficient, and effective pedestrian access across Route 5S/Main Street. | M | | NYSDOT | New York Main Street Program, CDTC TIP, CDBG Public Infrastructure |

ENGINEERING REPORT

- Project Background and History
- Alternatives Analysis
- Summary and Comparison of Alternatives
- Recommended Alternative
- Annual User Cost



RESOURCES

- Identify possible funding streams that may be available to assist in implementing your projects



STRATEGICALLY SELECT PARTNERS

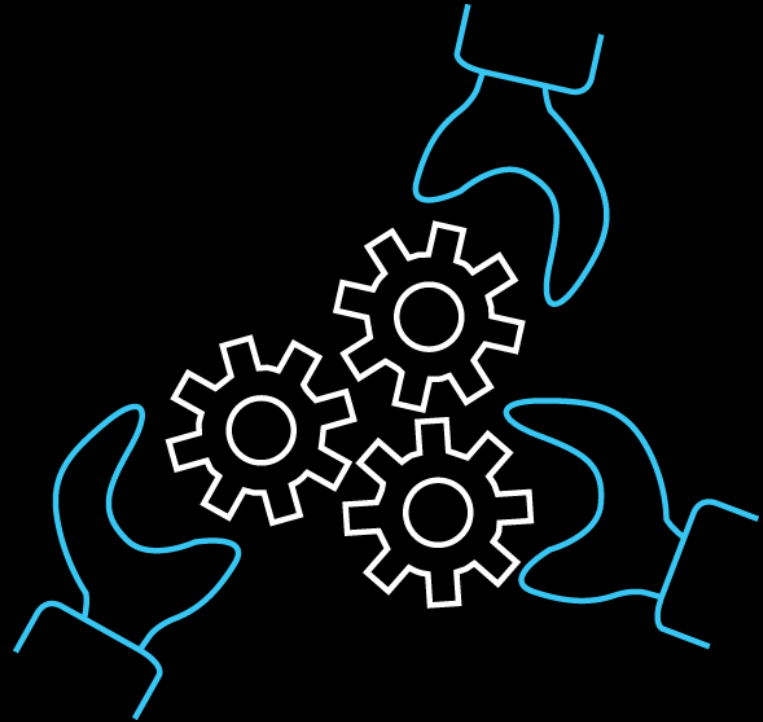
WEP
LGE
NY WATER
CDBG



CWSRF
DWSRF
SAMF
WQIP

DEVELOP PROJECT PARTNERS

- Local
- State
- Federal
- Regional Economic Development Council
- Not-for-Profit
- Volunteer Organizations



UNDERSTAND PROGRAM REQUIREMENTS

Program Eligibility

- Eligibility vs. Fundability
- Match Requirement
- Project Timetable

Program Schedule

- Grant Deadlines
- Announcement Dates
- Funding Availability
- Technical Assistance



FUNDING DO's AND DON'Ts

- What Works vs. What Doesn't Work
- Go to Funding Agencies to Review Prior Applications
- Types of Projects - Does it Fit?
- Project Readiness – Commitment of Other Funds
- Project Documentation
- Public Support
- Dot the *i*'s and Cross the *t*'s
- Meet with Agencies, AGAIN





MAKE YOUR PROJECT GRANT READY

In a competitive field, give your application the advantage. Demonstrate program readiness.

- ✓ Engineering Reports
- ✓ Environmental Reviews (SEQR)
- ✓ Financial Plans
- ✓ Bond Resolutions
- ✓ District Formation
- ✓ Comprehensive Plan
- ✓ Demonstrate Administrative Capacity
- ✓ Show Public Participation and Community Interest
 - Local Stakeholders, Community Groups, Citizen Committees
- ✓ Leverage Other Resources
 - Partners: Local, State, Federal, Not For Profit, Volunteer
- ✓ Demonstrate Adequate Funding and Realistic Budget
- ✓ Secure commitment of other funds

**“If you’re early, you’re on time.
If you’re on time, you’re late.
If you’re late,
don’t bother showing up.”**

– Vince Lombardi

GRANT PROGRAM REVIEW



Gone are the days of
single source funding...

Co-funding is KEY to project implementation



*The “**Funding Quilt**” links the resources that must come together and be interwoven to accomplish an objective.*

NYS Community Development Block Grant (CDBG)

ADMINISTERED BY Office of Community Renewal (OCR)

FUNDING AVAILABLE

- Cities, Villages, Towns, and Counties \$750,000
- Cities, Villages, Towns, and Counties with Co-Funding \$1,000,000
- Joint Applicants \$900,000
- Joint Applicants with Co-Funding \$1,250,000

Note increased funding cap for “co-funded” projects with commitments from EFC, USDA-RD, DOS and other sources.

FUNDING AVAILABLE FOR

Public Water Systems

- Water Source Development
- Storage
- Distribution

Public Sanitary Sewer Systems

- Collection
- Treatment

Storm Water Systems

- Flood Control
- Storm Water Drainage

NY Water

ADMINISTERED BY New York State Environmental Facilities Corporation (EFC) and New York State Department of Health (DOH)

FUNDING AVAILABLE

- Clean Water (sewage treatment): For a project less than \$50 million, up to the lesser of \$5 million or 25% of eligible project costs
- Drinking Water: up to the lesser of \$3 million or 60% of total net project costs

FUNDING AVAILABLE FOR

Drinking Water

- Upgrade or Replace Infrastructure
- Address Noncompliance with Federal or State Health Standards
- Prevent Future Violations

Sewage Treatment Works

- Replacement or Repair of Infrastructure
- Compliance with Environmental and Public Health Laws and Regulations

Clean Water State Revolving Fund

Drinking Water State Revolving Fund

ADMINISTERED BY New York State Environmental Facilities Corporation (EFC)

FUNDING AVAILABLE

- Subsidized interest rate financing
- Market rate financing
- Hardship financing (as low as 0% for communities with demonstrated hardship)
- Additional subsidization / principal forgiveness

FUNDING AVAILABLE FOR

Drinking Water

- Water Source Development or Rehabilitation
- Treatment Facilities
- Storage Facilities
- Distribution
- Consolidation of Water Supply Services

Wastewater

- Construction or Restoration of Treatment Facilities

Stormwater Systems

- Construction or Restoration of Sewers
- Stormwater Management

Water Quality Improvement Project Program (WQIP)

ADMINISTERED BY New York State Department of Environmental Conservation (DEC)

- FUNDING AVAILABLE**
- Grants up to 75% of total project cost with 25% local share required for high priority Wastewater Treatment Improvement projects
 - Grants up to 40% of total project cost with 60% local share required for General Wastewater Infrastructure Improvement projects

FUNDING AVAILABLE FOR

Drinking Water

- Address Documented Water Quality Impairments
- Drinking Water Source Protection

Wastewater

- Treatment Improvement
- Infrastructure Improvement

Stormwater Systems

- Municipal Separate Storm Sewer Systems (MS4s)

ADDITIONAL AVAILABLE FUNDING

State and Municipal Facilities Program (SAM)

Administered by: Dormitory Authority of the State of NY (DASNY)

USDA Water & Environmental Programs (WEP)

Administered by: USDA Rural Development

Local Government Efficiency (LGe)

Administered by: New York Department of State (DOS)

Municipal Restructuring Fund (MRF)

Administered by: New York Department of State (DOS)

CO-FUNDING IN ACTION



SEWER PROJECT COSTS - \$24 MILLION EST.

- It is estimated that approximately \$24 Million will be required to implement all projects identified in the sewer system report.
- Because the report recommended replacement of sewers in roads where water mains are being installed, Laberge Group identified that over \$1.6 million could be saved on Oak, Ash and W. Mechanic Street alone if sewer replacement were performed during the water main replacement project.
- The Village retained the Laberge Group to author a grant application which resulted in a CDBG grant award of \$600,000 for sewer costs.
- The grant award will pay for sanitary sewer costs on Oak and Ash Street.
- Recently, Senator Farley secured a \$150,000 grant to assist with the Village's sewer project.

New York State Announces
\$50 Million in Water Infrastructure Grants
for Local Governments



WALNUT, OAK, ASH, RAYMOND & W. MECHANIC

Total Construction Cost = \$8 million

Sewer Costs = \$2.2 million

CDBG Grant = \$600,000

DASNY Grants = \$500,000

NY Water Grants = \$277,500

Remainder 0% for 30 years

- Received \$1.38 million in grants
- Rehabilitating the sewer while the road was dug up for the waterline project saved Village taxpayers almost \$2 million.



PUMP STATION

Construction Cost = \$616,990.75

Engineering Cost = \$46,000.00

CDBG Grant = \$600,000

Remainder 0% for 30 years



WASTEWATER TREATMENT PLANT

Construction Cost = \$13.5 million

CDBG Grant = \$1,000,000

NY Water Grant = \$3.5 million

Remainder 0% for 30 years

(Bids in, waiting for a final permit)



FORCEMAIN AND TRUNK SEWER

Construction Cost = \$2.5 million

CDBG Grant = \$1,000,000

NY Water Grant \$266,000

Remainder 0% for 30 years



HOW DID THESE PROJECTS GET COMPLETED?

Projects priorities and program budgets are tracked closely

VILLAGE OF CORINTH INFRASTRUCTURE PROJECT BUDGET - UPDATED SEPTEMBER 17, 2018

| | PROJECT COST SUMMARY | | | Project Schedule | FUNDING SHARES | | | | | | |
|--|----------------------|---|-----------------------------|--------------------|-----------------|----------------|------------------------|-------------------------|-----------------|-----------------|--------------|
| | Total Project Cost | Total Drinking Water Cost ¹⁰ | Total Storm & Sanitary Cost | | DWSRF Funds | CDBG Funds | DASNY San. Sewer Funds | DASNY Storm Sewer Funds | NYS Water Grant | CWSRF Funds | LGE Funds |
| Drinking Water Plant ¹ | \$2,616,039.26 | \$2,616,039.26 | \$0.00 | Completed 2015 | \$2,616,039.26 | | | | \$0.00 | \$0.00 | |
| Walnut Street ¹ | \$1,930,346.51 | \$1,535,346.51 | \$395,000.00 | Completed 2015 | \$1,535,346.51 | | \$275,000.00 | | \$30,000.00 | \$90,000.00 | |
| Pine Street ^{1,2} | \$844,034.60 | \$640,534.60 | \$203,500.00 | Completed 2015 | \$640,534.60 | | \$75,000.00 | | \$32,125.00 | \$96,375.00 | |
| Oak Street ^{1,2} | \$2,532,151.75 | \$2,051,579.38 | \$480,572.37 | Completed 2016 | \$2,051,579.38 | \$428,264.95 | | | \$13,076.86 | \$39,230.57 | |
| Ash Street ^{1,2} | \$1,756,272.40 | \$1,280,140.23 | \$476,132.17 | Completed 2016 | \$1,280,140.23 | \$171,735.05 | | \$150,000.00 | \$38,599.28 | \$115,797.84 | |
| W. Mechanic & Raymond St ^{2,7} | \$2,047,833.77 | \$1,393,130.27 | \$654,703.50 | Est. Complete 2017 | \$1,393,130.27 | | | | \$163,675.88 | \$491,027.63 | |
| Water Meters ^{3,4,9} | \$2,689,477.00 | \$2,689,477.00 | \$0.00 | Est. Complete 2018 | \$2,470,706.86 | | | | \$0.00 | \$0.00 | \$218,770.15 |
| Freighthouse Road Waterline | \$598,743.00 | \$598,743.00 | \$0.00 | | \$598,743.00 | | | | \$0.00 | \$0.00 | \$0.00 |
| DWSRF Unassigned ⁷ | \$1,313,779.89 | \$1,313,779.89 | \$0.00 | Est. Complete 2018 | \$1,313,779.89 | | | | \$0.00 | \$0.00 | \$0.00 |
| Wastewater Treatment Plant | \$14,856,000.00 | \$0.00 | \$14,856,000.00 | Est. Complete 2018 | \$0.00 | \$1,000,000.00 | | | \$3,464,000.00 | \$10,392,000.00 | |
| Hazardous Waste Investigations | \$31,380.00 | \$0.00 | \$31,380.00 | | | \$0.00 | \$0.00 | \$0.00 | \$7,845.00 | \$23,535.00 | |
| Reed Bed Permitting and Planting | \$92,500.00 | \$0.00 | \$92,500.00 | | | | \$0.00 | | \$23,125.00 | \$69,375.00 | |
| River Street Pump Station ^{1,8} | \$697,176.05 | \$0.00 | \$697,176.05 | Est. Complete 2017 | \$0.00 | \$600,000.00 | | | \$24,294.01 | \$72,882.04 | |
| Force Main | \$967,951.00 | \$0.00 | \$967,951.00 | | | \$0.00 | | | \$241,987.75 | \$725,963.25 | |
| Trunk Sewer | \$2,092,485.00 | \$0.00 | \$2,092,485.00 | Est. Complete 2018 | | \$1,000,000.00 | | | \$273,121.25 | \$819,363.75 | |
| Village Capital Planning ⁹ | \$20,052.08 | \$0.00 | \$20,052.08 | Complete 2016 | \$0.00 | | | | \$5,013.02 | \$15,039.06 | |
| CWSRF Unassigned ¹¹ | \$5,732,547.83 | \$0.00 | \$5,732,547.83 | Est. Complete 2019 | \$0.00 | | | | \$683,136.96 | \$5,049,410.87 | |
| TOTAL | \$40,818,770.14 | \$14,118,770.14 | \$26,700,000.00 | | \$13,900,000.00 | \$3,200,000.00 | \$350,000.00 | \$150,000.00 | \$5,000,000.00 | \$18,000,000.00 | \$218,770.15 |

¹ Construction Complete Or Substantially Complete

² Construction Costs Shown From Active Contracts

³ Construction Cost Based On 1204 Customers At \$1,500 each.

⁴ An Additional \$615,000 Budget Would Be Needed To Meter Users Outside The Village But Not In Districts (371 Users)

⁵ From Village Budget There Are 1,194 Sewer Users (1,173 Village & 21 Outside Village Customers)

⁶ From Village Budget There Are 1,574 Water Users (1,204 Village & 370 Outside Village Customers)

⁷ Project budget updated to reflect \$13.9 million maximum loan amount

⁸ Includes \$55,179 for NJPA purchased trailer pump and \$4,500 for add'l pump engineering

⁹ Water and Sewer Improvement Budgeting, Income Survey, and Finance Applications

¹⁰ Includes 13.9 million DWSRF plus \$218,770.15 LGE Funds

¹¹ Budget updated to reflect \$18 million CWSRF hardship loan amount

STRATEGY REVIEW

- What is “Fundable” vs. What is “Eligible”
- Types of Projects – Does it Fit?
- Go to Funding Agencies to Review Prior Applications or Discuss your Project
- Project Readiness – Commitment of Other Funds
- Project Documentation – Tie into your Funding Plan
- Public Support – Align with your Comprehensive/Business Plan
- Dot the *i*’s and Cross the *t*’s
- Meet with Agencies, AGAIN
- Match Requirements
- Project Timeline – Does it Work
- Engineering reports – Do’s & Don’ts



Thank you!