TURNING A HANDOUT INTO A HANDSHAKE
CREATING PARTNERSHIPS FOR FUNDING SUCCESS

CDRPC SPRING WEBINAR SERIES
APRIL 2023
TURNING A HANDOUT INTO A HANDSHAKE
Multi-disciplinary engineering and planning firm.

Specialty in grant writing and development.

Engineers and development team collaborate to design *implementable* projects that not only serve the needs of the community, but also match the priorities of funding entities.

MORE THAN

$360 MILLION

SECURED SINCE 2000.
Historically communities have looked to the Federal or State government for a “handout”…
It’s easy to understand that mindset given the level of media coverage touting seemingly ample funding that makes it seem as though money is falling from the sky.
ALL FUNDING SOURCES ARE OVER-SUBSCRIBED

TURNING A HANDOUT INTO A HANDSHAKE
COMMUNITY CHALLENGES ON ALL FRONTS

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The best way to propel your project forward...
TURNING A HANDOUT INTO A HANDSHAKE
KEY ELEMENTS OF HOW TO TURN A HANDOUT INTO A HANDSHAKE

Shift perspective.
- Projects attuned to funders’ objectives.

Lines of Communication Open.

Meet critical metrics.
(sometimes unwritten and often changing)
- Be ready.
- Prepare documentation.
- Invest in your community.
SHIFT PERSPECTIVE

SHIFT FROM “ME” TO “WE”
SHIFT PERSPECTIVE

COMMUNITY NEEDS

POSSIBILITY SOURCES

AGENCY PRIORITIES

SOLUTIONS

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SHIFT PERSPECTIVE

How much funding is actually available when spread across the need / # of likely applicants?

- 933 Towns in New York State.
- 534 Villages in New York State.
- 62 Counties in New York State.
- 56 State, territories, districts, and protectorates in the U.S.
SHIFT PERSPECTIVE

• How important is your project to your region and state?

• Is it the #1 project for the region if only 13 projects are being funded across the state?

• Is this the #1 project for the state if the Federal government is only funding 50 projects?
SHIFT PERSPECTIVE

• Beyond Community Needs Assessment.
  • Competition may not just be the community next door.
    • May be in the next region for State funding.
    • May be in the next State for Federal funding.

• State of the State – state priorities.

• State of the Union – national priorities.

• Be flexible in understanding and molding projects to work with those priorities.
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SHIFT PERSPECTIVE

YOU MUST TURN PERSPECTIVE INTO AN INTROSPECTIVE VIEW

Internal honest assessment of top local priority project, including the potential economic impact.

Understanding of regional and state goals + potential investments in other communities.

REALISTIC APPROACH
SHIFT PERSPECTIVE

EXPLAIN TO OVERSUBSCRIBED FUNDERS WHY YOUR PROJECT IS THE MOST IMPORTANT INVESTMENT TO ACHIEVE THEIR OBJECTIVES
SHIFT PERSPECTIVE

CONSIDER PRIORITY PROJECTS FROM A STATE-WIDE OR NATIONAL LEVEL

WASTEWATER
• Is your Wastewater treatment plant functionally obsolete / beyond repair?
• Or is it simply “smelly”?

WATER
• Do residents in your community have on-site septic systems that risk leaching through porous soil to contaminate on-site well water?
• Or are you simply managing high levels of iron manganese or low water pressure?
MAKING THE CASE – TRIAGE

Life threatening injuries or superficial wound?

- Public health and welfare issue?
- Consent Order issued?
- Violations?
- Broken infrastructure?
- Critical service provision impeded?
SHIFT PERSPECTIVE

MAKING THE CASE – COMMUNITY COMMITMENT

• This project is the #1 priority in the community? **Prove it.**
• If you submit an unsuccessful application, propel the project forward **before reapplying** by demonstrating community commitment and making specific progress.

- Community investment.
- SEQR.
- Studies & Reports.
COMMUNICATE EARLY AND OFTEN.

Metrics adjusted based on changes in federal regulations?
Programmatic changes?
Insights on unwritten metrics?
Federal funding requires more partnership, not less.
CPF – investment the time to develop a partnership with your congressperson.
MEET CRITICAL (AND UNWRITTEN) METRICS

IN THIS SECTION, WE’RE GOING TO TALK ABOUT:

Putting money to work right away.

Expanding the partnership.

Leveraging funding from multiple sources.
PUTTING MONEY TO WORK RIGHT AWAY

Shovel ready – documentation of preparedness.

- Studies, assessments, and reports that demonstrate project need and an implementable path forward.
- Complete financing plan with all funding committed (except the grant that you are applying for).
- Site control.
- Preliminary and final designs.
- Evidence of fiscal viability (including third-party validated budgets).
- Environmental studies.
- SEQRA documentation.
- Surveys and basemapping.
- Documentation of community support and key partnerships.
PUTTING MONEY TO WORK RIGHT AWAY

Shovel ready – now more than ever.

• No one is going to tell you that you have to have a project designed.

• Yet, in order to meet project milestones, you may need to have the project designed.

• **WIIA**
  • Engineering report.
  • Bond resolution.
  • SEQR.
  • District formation.

• **CDBG**
  • Contracts within 30 days.
  • Environmental review done in 45 days.
  • First drawdown in 180 days.
LEVERAGING FUNDING FROM MULTIPLE SOURCES

• Think of funding officers as investors looking to stretch funds across more communities.

• Ideally, each dollar they commit leverages other funds already committed.

• Identifying investment opportunities in which theirs is the “last money in” helping a project that is already making great strides across the finish line.

With this in mind, what are the prime opportunities to line up other investments to leverage in helping funding agencies meet this mandate?
LEVERAGING FUNDING FROM MULTIPLE SOURCES

LAY THE GROUNDWORK FOR A “FUNDING QUILT”

If possible, establish interagency workgroups
• Virtual
• In-Person
PROJECT EXAMPLE
VILLAGE OF CAMBRIDGE, NY
MUNICIPAL WASTEWATER SYSTEM AND TREATMENT

• 2 years of funding development efforts.
• Opportunity for Inter-Agency Workgroup and development of a “Funding Quilt.”
  • USDA
  • CDBG
  • Congressperson and State Assemblyperson
  • Northern Regional Border Commission
  • EDA
  • Lake George Regional Planning Board
  • County Board of Supervisors

<table>
<thead>
<tr>
<th>Program</th>
<th>Grant</th>
<th>Loan</th>
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<tbody>
<tr>
<td>USDA (used 2.25%@40yrs)</td>
<td>$2,500,000</td>
<td>$14,062,500</td>
</tr>
<tr>
<td>CDBG</td>
<td>$1,250,000</td>
<td></td>
</tr>
<tr>
<td>CPF/CDS</td>
<td>$2,500,000</td>
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</tr>
<tr>
<td>NBRC</td>
<td>$500,000</td>
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</tr>
<tr>
<td>EDA</td>
<td>$1,000,000</td>
<td></td>
</tr>
<tr>
<td>SAM (Assembly/Senate)</td>
<td>$500,000</td>
<td></td>
</tr>
<tr>
<td>NYWWIA/BIL (no 0%)</td>
<td>$4,687,500</td>
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</tbody>
</table>

Total Grant Request: $12,937,500
Total Loan Request: $14,062,500
Total Project Cost: $27,000,000

MHI per Income Study (2021) $42,000
LMI Rate 58.28%
2% of MHI $840

Based on funding quilt above
Principal and Interest $541
O&M $387
Annual Cost per EDU $928

If we get zero percent loan through EFC or BIL
Principal and Interest $355
O&M $387
Annual Cost per EDU $742
LEVERAGING FUNDING FROM MULTIPLE SOURCES

• Local community funds.
• Other communities - “shared solution to a joint problem.”
• Public Private Partnerships (PPPs).
• Funding from another agency.
  • State.
  • Federal.
  • Regional Economic Development Council.
• Not-for-profit.
LEVERAGING FUNDING FROM MULTIPLE SOURCES

The “Funding Quilt”

links the resources that must come together and be interwoven to accomplish an objective.

COMMUNITY FUNDS
PRIVATE INVESTEMENT

USDA
CWSRF
DWSRF
SAM
WQIP
DRI/NYF
EPF/LWCF

NEIGHBORING COMMUNITIES
NOT-FOR-PROFITS

USDA
TIP
EPF
BOA

COMMUNITY FUNDS
PRIVATE INVESTEMENT

ESD
HOME
WIIA
LGE
CDBG
NYMS
SS4A

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LEVERAGING FUNDING FROM MULTIPLE SOURCES

Funding sources that specifically promote / reward co-funding and joint applications

- CDBG funding cap for projects with commitments from other sources:
  - For cities, villages, towns, and counties, it jumps from $1 million to $1.25 million with demonstrated commitment of funds from EFC, USDA-RD, DOS, or other sources.

- WIIA
  - Higher level of funding available for joint applications through the IMG.
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PROJECT EXAMPLES
PROJECT EXAMPLES

VILLAGE OF CORINTH, NY
WATER & WASTEWATER INFRASTRUCTURE PLAN
FUNDING FROM MULTIPLE SOURCES

Walnut, Oak, Ash, & Raymond
- CDBG Grant - $600,000
- DASNY Grants - $500,000
- WIIA - $277,500
- Remainder 0% for 30 years
- Received $1.38 million in grants

Pump Station
- Construction Cost - $616,990.75
- Engineering Cost - $46,000.00
- CDBG Grant - $600,000
- Remainder 0% for 30 years
PROJECT EXAMPLES

SCHUYLERS FALLS, NY
MORRISONVILLE WATER DISTRICT

- CDBG - $1,250,000
- CPF - $2,562,500
- USDA - $1,300,000
- Clinton County - $900,000
POTENTIAL FUNDING STREAM BY TOPIC

- Water / Wastewater
- Parks
- Municipal Facilities
- Other
POTENTIAL FUNDING STREAM BY TOPIC
WATER / WASTEWATER

- Community Development Block Grant (CDBG-PI)
- Water Infrastructure Improvement Act (WIIA)
- United States Department of Agriculture (USDA)
- Congressionally Directed Spending (CDS)
- Community Project Funding (CPF)
- Bipartisan Infrastructure Law (BIL)
- **Water**: Drinking Water State Revolving Fund (DWSRF)
- **Wastewater**: Clean Water State Revolving Fund (CWSRF)
- **Wastewater**: Water Quality Improvement Project (WQIP)
- **Inter-municipal**: All of the above, plus IMG and LGE
POTENTIAL FUNDING STREAM BY TOPIC

PARKS

- American Rescue Plan Act (ARPA)
- Local Waterfront Revitalization Program (LWRP)
- Environmental Protection Fund (EPF)
- Land and Water Conservation Fund
- Congressionally Directed Spending (CDS)
- Community Project Funding (CPF)
- Community Development Block Grant (CDBG)*
- State and Municipal (SAM) Facilities Grant
- Community Resiliency, Economic Sustainability, and Technology (CREST)
- Not-For-Profits
- Smaller specific project grants:
  - Hudson River Valley Greenway Communities Grant

* If you are an entitlement community or part of a county consortium
POTENTIAL FUNDING STREAM BY TOPIC
MUNICIPAL FACILITIES

- United States Department of Agriculture (USDA)
- Community Development Block Grant (CDBG)
- Water Quality Improvement Project (WQIP) – Salt Sheds
- Climate Smart Communities (CSC) – if in a flood plain
- Justice Court Assistance Program (JCAP)
- SAM/CREST State and Municipal (SAM) Facilities Grant
- New York State Energy Research and Development Authority (NYSERDA)
- Congressionally Directed Spending (CDS)
- Community Project Funding (CPF)
POTENTIAL FUNDING STREAM BY TOPIC
TRANSPORTATION
SIDEWALKS – BRIDGES – CULVERTS

- NY Bridge & Culvert Program
- Transportation Enhancement Program (TEP)
- Safe Streets and Roads for All (SS4A)
- Safe Routes to School (SRTS)
- Building Resilient Infrastructure and Communities (BRIC)
- Community Development Block Grant (CDBG) - sidewalks
- Climate Smart Communities (CSC)
- SAM/CREST State and Municipal (SAM) Facilities Grant
- Congressionally Directed Spending (CDS)
- Community Project Funding (CPF)