



**Department of  
Environmental Conservation**

**Environmental  
Facilities Corporation**

## **ASSET MANAGEMENT PROGRAM (AMP)**

### **Call for Communities**

#### **Guidelines for Participating Municipalities**

### **Program Overview**

The New York State Department of Environmental Conservation (DEC) and the New York State Environmental Facilities Corporation (EFC) are jointly soliciting applications for Publicly Owned Treatment Works (POTWs) and Publicly Owned Sewer Systems (POSSs) to participate in the State's Asset Management Program (the Program).

Due to the success of the first Asset Management Pilot Program (the Pilot), completed in 2021, DEC and EFC are now advancing and expanding upon the Program to provide the necessary resources to enable municipalities to evaluate the resiliency of their wastewater assets and develop a plan to protect these critical assets. During the Pilot, a single engineering firm worked with 10 municipalities of various sizes across the state to develop AMPs and recommend improvements to DEC's Municipal Sewage System Asset Management Guide, now called the Asset Management Guide for Publicly Owned Treatment Works (the "Guide"). The Guide is available on DEC's Asset Management [website](#).

As defined in the Guide, an AMP includes the following components:

- Asset inventory
- Condition assessment
- Level of service profile
- Likelihood of failure, consequence of failure, and risk assessment
- Capital improvement plans
- Sustainable ownership assessment
- Maintenance planning

Municipalities participating in the Program will have the unique opportunity to use the Guide to learn, develop, and implement AMPs under the direction and guidance of selected engineering firms. AMPs can support municipalities to meet stakeholder demands by focusing on the system's financial and functional sustainability, prolonging asset life and aiding in rehabilitation, repair, and replacement decisions through efficient and focused operation and maintenance (O&M), as well as reducing overall operational costs and capital expenditures.

Through the Pilot, DEC and EFC learned that a sustainable AMP requires commitment from all departments within a municipality. Representatives from all affected departments, including operations, fiscal, engineering, and others, are necessary to create a program that will last through transitions and staff turnover.

Municipalities participating in the Program have an opportunity to provide valuable input in shaping the final guidance and future state asset management requirements.

The Program is expected to run for five years and will have up to 50 municipalities who volunteer to participate. It is not anticipated that the municipalities will be involved for the full five years. Please see the [Anticipated Timeline for Municipal Involvement](#) for more information. Municipalities should be aware that filing an application does not guarantee that they will be selected for the Program. DEC and EFC (the State) will evaluate all complete applications and will select municipalities to participate.

Municipalities with existing AMPs are encouraged to apply. Municipalities who previously expressed interest in participation in the Program are encouraged to apply again as previous applications will not be considered. DEC will notify all applicants as to whether they have been selected or not. Applicants with questions can contact DEC through the asset management mailbox: **asset@dec.ny.gov**.

The State will administer and oversee the Program. The State will select and hire an Asset Management Advisor (the Advisor) and environmental engineering firms (the Firms) to work with the selected municipalities. The Advisor will train the Firms and approve the AMPs developed by the Firms. The Firms will work with each selected municipality to develop and begin the implementation of its AMP. The State will develop a workplan for the Firms to complete within the given timeframe.

At the conclusion of the Program, the participating municipalities can expect to have completed AMPs for their POTWs or POSSs and acquired the tools (e.g., electronic asset management system) to implement the Program. The AMPs will be based on the framework outlined in the DEC's Guide. For municipalities that have already developed an AMP, the Program can help them to enhance the AMP and to align with the Guide.

## Municipal Contribution

This is a voluntary program, and there will be no out-of-pocket costs to participating municipalities related to the development of their AMP. However, participating municipalities are expected to commit staff resources necessary for AMP development and implementation. AMP development is expected to take six months, implementation is expected to take one year, and off-boarding is expected to take one month. It is also expected that the municipality will continue to use the AMP, and update the AMP as necessary, beyond the duration of the Program.

## Municipal Staff Commitments

The selected municipality will be responsible for committing staff to work with its assigned Firm to develop and implement the AMP. Participating municipalities will be required to assemble an Asset Management Team (Team). The Team should consist of staff knowledgeable in wastewater operations, collection system operations, municipal finances, quality assurance, and municipal decision making. The Team will be involved in development and implementation of the Program. The municipality will be responsible

for providing identified staff the time necessary to attend trainings. It is anticipated that most trainings will be offered locally or remotely via a web-based platform. The Team will be responsible for understanding and implementing the AMP.

Staff selected for the Team should have the following qualifications and characteristics:

- Willing to provide descriptive feedback to the State about the AMP and Asset Management development/implementation.
- Actively participate in meetings with the Firm, Advisor, and State to discuss program status and any questions or concerns.
- Willing and able to learn and use the State's provided electronic Asset Management software for the duration of the Program<sup>1</sup>.
- Able to give presentations and speak with others about how the AMP is working in their municipality and for their POTW/POSS.

### Resource Commitments

The municipality may be expected to supply meeting space (e.g., conference room). The municipality must provide the Firm with facility records and site access. Staff must have daily access to internet, email, and State provided Asset Management software. Software requirements can be found in Appendix A.

### Program Commitment

The State expects to work with municipalities committed to the duration of the Program. However, the State recognizes there may be extenuating circumstances that cause a municipality to need to opt-out of the Program. In these rare instances, the municipality will be required to notify the State in writing of their decision to end their participation in the Program. Within 30 days of the date of the notification, the municipality will be required to set up a meeting for all municipal staff that participated in the Program to discuss their experiences in the Program with State and Firm and why the municipality chose to opt-out.

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<sup>1</sup> Selected municipalities will have access to and ownership of all data compiled through the Program. Please contact [asset@dec.ny.gov](mailto:asset@dec.ny.gov) for more information.

## Anticipated Activities

Below is a breakdown of the activities that the State expects each municipality to complete during the Program.

### After Award Announcement

The selected municipalities will start assembling information related to the POTW/POSS. This information and the required format are outlined in Appendix A. Since it can take several months to gather relevant information, starting this process early will allow the Firm to focus on the development of the AMP. It is also recommended that the municipality notify their residents of the POTW's/POSS's participation in the Program.

The State, Advisor, or the Firm will provide access to a shared cloud-based folder for the municipality to use for storing and organizing information. The State, Advisor, or the Firm may contact municipal officials to check on progress.

## Anticipated Timeline for Municipal Involvement

### AMP Development

#### **Estimated Duration: 6 Months**

The municipality will work with the Firm to develop an AMP for the POTW/POSS. As part of preparing the AMP, the municipality will be responsible for providing information to the Firm about the POTW/POSS (Appendix A). The municipality will take part in Asset Management trainings provided by the Advisor and Firm. The Firm will develop the AMP in accordance with the Guide.

### AMP Initial Implementation

#### **Estimated Duration: 1 Year**

The Firm will be available to provide the municipality support during initial implementation of its AMP. The municipality will work with the AMP and the provided tools to identify any issues that may hinder long-term implementation and success of the AMP. For example, this means ensuring that the information entered by the Firm accurately reflects the state of the municipality's assets. The municipality will be responsible for committing staff to this task and to implement the AMP to the maximum extent practicable.

The municipality will conduct outreach to the public and other stakeholders regarding progress on implementing the AMP. Examples of outreach include flyers, webpage updates, and public meetings. The Firm will provide assistance preparing the outreach materials, including a presentation template for the municipal staff to use at public meetings.

### Community Off-Boarding

#### **Estimated Duration: 1 Month**

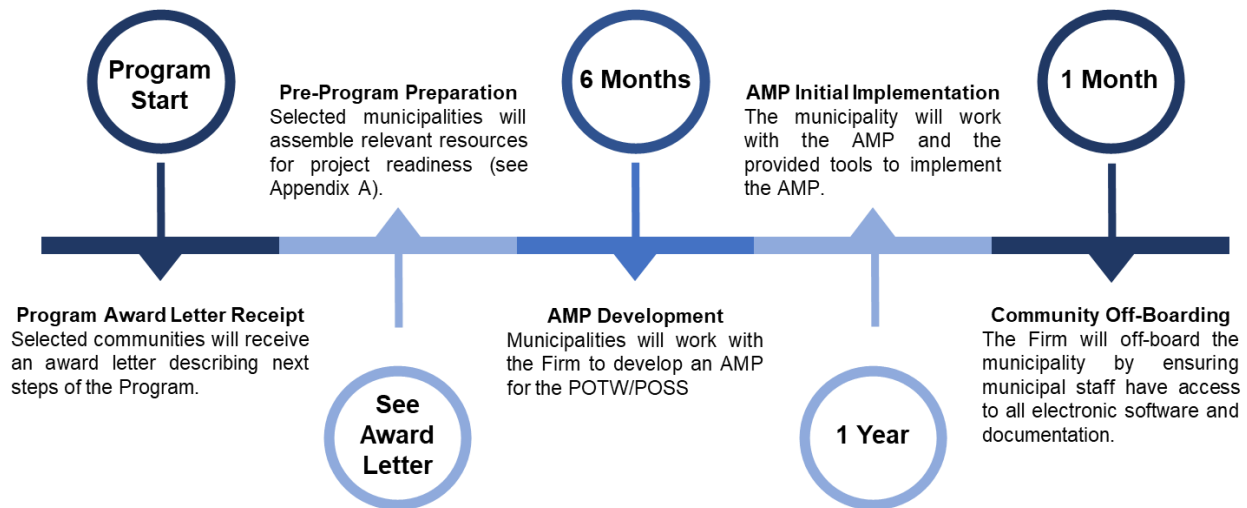
The Firm will off-board the municipality by ensuring the following items are complete:

- Municipal staff have access to the Asset Management software.

- All AMP documentation, information, and training has been provided in electronic format.
- Municipal staff have a list of next steps for AMP implementation.

The State or Advisor will solicit descriptive feedback from municipalities about the Program and process once off-boarding is complete.

An example timeline for municipal involvement is depicted below:



## Appendix A: Relevant Resources for Project Readiness

Selected municipalities are encouraged to begin preparing for AMP development upon selection and before being paired with a Firm. These resources are needed in order to develop the AMP. A preferred format is listed for best integration with the electronic asset management software. This information can be stored in the shared folder in the cloud provided by DEC or the Firm.

Resource	Use	Preferred Format
Asset Vendor O&M Manuals	Asset Inventory	Scanned / digital
Equipment Shop Drawings	Asset Inventory	Scanned / digital
Facility Plans / Engineering Reports	Asset Inventory	Scanned / digital
Facility Drawings	Asset Inventory	Scanned / digital
Facility Maps	Asset Inventory	GIS
Collection System Maps	Asset Inventory	GIS
Copies of Purchase Orders or other procurement records for capital assets	Asset Inventory	Scanned / digital
Past 5-year detailed annual budgets for wastewater collection and treatment facilities	Asset Inventory, Capital Improvement Plan, Rate Analysis	Scanned / digital
Manhole Inspection Data	Condition Scoring	Scanned / digital
PACP CCTV Data	Condition Scoring	Scanned / digital
Smoke Testing, Die Testing, Other Condition Assessment Information	Condition Scoring	Scanned / digital
Sewer System Evaluation Studies	Condition Scoring	Scanned / digital
Installation and Construction Records	Condition Scoring	Scanned / digital
Previous Maintenance Logs	Management Capital Investments	Scanned / digital
Historical work orders, records of problems and asset failures	Management Capital Investments	Scanned / digital
Documented standard operating procedures	Management Capital Investments	Scanned / digital
Documented preventive maintenance procedures and schedules	Management Capital Investments	Scanned / digital
Any existing capital improvement plans, forecasts, potential projects	Capital Improvement Plan	Scanned / digital
A copy of any existing Sewer Rate Model and Sewer Rate Study including sewer rate recommendations	Sewer Rate Analysis	Scanned / digital
Details of current source of revenue for Wastewater System, rates, etc.	Sewer Rate Analysis	Scanned / digital

<b>Resource</b>	<b>Use</b>	<b>Preferred Format</b>
Itemized annual administrative, operations and maintenance expenditures attributable to providing sewerage services over past 5 years	Sewer Rate Analysis	Scanned / digital
Most recent Utility Comprehensive Annual Financial Report (that includes sewer utility)	Sewer Rate Analysis	Scanned / digital
Current water and sewer rate structure	Sewer Rate Analysis	Scanned / digital
Method by which sewer rates are set and data required, such as amount of water sold or customer billing analysis as applicable.	Sewer Rate Analysis	Scanned / digital
Information on current debt including debt service expenditures, debt by source, repayment schedules	Sewer Rate Analysis	Scanned / digital
Summary of any funding / grant applications and awards	Long Term Funding Strategy	Scanned / digital
Details of the organizations debt financing / Pay-Go Policy	Long Term Funding Strategy	Scanned / digital