

ExhibitCCapacity

Applicant: The State of Connecticut

Filename: ExhibitCCapacity

The Applicant's project team has sufficient capacity to implement the CT NDRC projects efficiently, cost-effectively, and with proper technical expertise. The State of Connecticut's team, under a management structure established by the State Agencies Fostering Resilience (SAFR) has created the appropriate management structure and identified suitable staff and consultants to implement the program, implement the pilot projects, roll out the regional planning program and engage the community in meaningful dialogue throughout the effort.

### **Exhibit C.a. Experience of the Applicant**

The State of Connecticut is the Applicant. **Recognizing the critical function of SAFR during the application process, Governor Malloy has formalized SAFR as a permanent twelve person council via Executive Order 50 in October 2015 to govern the State's resilience program and coordinate with NIMS, State policies and the Governor's Council on climate change (see Executive Order 50 in Attachment A–Partner Documentation (AttAPartnerDocumentation.pdf)).** SAFR is a coalition of the Office of the Governor (OTG), 9 state agencies, the University of Connecticut (UConn), a regional municipal Partner )Connecticut Conference of Municipalities (CCM)), our consulting team and an urban environmental design and architecture Partner from Yale University (YaleUED). Specifically, the Applicant is considered the OTG, UConn, and the 9 state agencies (Dept. of Housing (DOH), Office of Policy and Management (OPM), Dept. of Transportation (CTDOT), Dept. of Energy and Environmental Protection (DEEP), Connecticut Insurance Dept. (CID), Dept. of Economic and Community Development (DECD), Dept. of Emergency Management and Homeland Security (DEMHS), the Dept. of Administrative Services (DAS), the Dept. of Public Health (DPH)). SAFR's strategic advisory committee includes regional planning, Universities, not-for-profit and private entities such as Green Bank (See list of SAFR members and their acronyms in Attachment A:

Partner Documentation (AttAPartnerDocumentation.pdf)). SAFR continues to expand its advisory capacity with new partners who can assist in implementing its resilience agenda.

**Exhibit C.a.1. General Administrative Capacity.** The Department of Housing (DOH) will serve as the principal agency for allocation and administration of funding. The Office of Policy Management (OPM) will serve as the overall program manager for the program. The Department of Energy and Environmental Protection (DEEP) in partnership with CIRCA, will drive the science mission for understanding the impacts of climate change to the State. DOH has extensive experience managing and dispersing HUD CDBG and CDBG-DR funds. OPM serves as the policy manager for the Governor's Office and oversees the Conservation and Development Policies Plan, the next iteration of which requires considering sea level rise. (See Exhibit G, ExhibitGLongTermCommitment).

DEEP formed CIRCA in 2013 to develop a science program to understand the impacts of Climate Change. Governor Malloy had previously merged the Departments of Energy and Environmental Protection to increased coordination of these two critical climate change sectors.

#### Project Management, Procurement, Contract and Financial Management

This application seeks to progress an ambitious planning program and two pilot projects. OPM will serve as SAFR **Program Manager**, managing overall coordination of specific agency tasks. To fulfill the responsibility of overseeing SAFR, OPM has formed a new position, Director of Disaster Resilience Policy and Planning. DOH will manage all aspects of **Financial Management** pertaining to the grant. DOH maintains a dedicated Sandy recovery staff team that has successfully administered, managed, distributed - with sound financial and procurement processes - two rounds of CDBG-DR funding since Hurricane Sandy (the Qualifying Disaster). DOH has prepared and executed a CDBG-DR Action Plan and two substantial amendments to meet the housing needs of communities most impacted by Hurricane Sandy. These needs included the costs of repairs, reconstruction and new construction, not

covered by insurance, FEMA, or other sources of funding as well as infrastructure repairs, mitigation projects, and planning activities. DOH vetted contractors, issued invitations to bid, issued contracts, oversaw contract execution, and coordinated with other agencies to obtain the proper permits. **Project and Contract Management** will be determined on a case-by-case basis dependent upon the primary nature of the project. CTDOT and DEEP are key project management agencies, as they have the capacity to hold and let contracts, hire subconsultants, manage large capital expenditures, review design and contract drawings and manage construction. DAS Construction Services and the cities of New Haven and Bridgeport can also serve in project management roles, especially for work on local street networks.

#### Accountability, Quality Control/Quality Assurance, Monitoring, Internal Audit

DOH oversees accountability, quality control, monitoring and internal auditing of CDBG-NDR funding. All state agencies possess internal QA/QC, monitoring and auditing.

#### Rapid Program Design, Launch and Evaluation

DOH manages and funds Shore Up CT, a low-interest mitigation financing program, and manages it through a partnership with NDRC non-profit finance Partner, the Housing Development Fund. DOH's ability to initiate the Sandy program and manage these partnerships and programs illustrate its internal control capacity and ability to quickly launch and implement major projects successfully. In addition to DOH, SAFR agencies CTDOT, DECD, DEEP and OPM have extensive knowledge and experience in quickly launching projects and **establishing and maintaining project performance and management.**

#### **Exhibit C.a.2. Technical Capacity**

SAFR agencies have extensive experience working on multi-agency planning and construction projects and public private partnerships including work specific to Sandy recovery. They have experience with interdisciplinary planning, design, and construction of large, complex and comprehensive projects;

benefit-cost and data analysis; public works; affordable housing; environmental quality; community engagement; design and engineering; and economic revitalization.

The SAFR team possesses all of the skills and technical capabilities listed in the NOFA. The general technical capacity of each agency was described in Phase 1 Exhibit C. Examples of projects are as follows. (Management capacities are described in Exhibit C.b.1, Management Structure.):

**DECD** has an Office of Brownfield Remediation and Development and Office of Capital Projects with staff comprised of planners, engineers, environmental analysts and real estate development professionals. DECD successfully managed and administered the \$2 million HUD Sustainable Communities Challenge Grant that supported TOD planning and development in the cities of New Haven and Meriden. This office works collaboratively with DEEP's Brownfield office.

**DEEP's** technical capacity includes brownfield work, administration of CT's Clean Water Fund, CT's Coastal Management Act, Floodplain Management Program, and the National Flood Insurance Programs, oversight of storm water and watershed management, low impact development approaches, environmental justice concerns and developing energy, climate and resilience policy

**UConn** is the state's flagship research and teaching institution. In 2014 UConn partnered with **DEEP** to form the Connecticut Institute for Resilience and Climate Adaptation (CIRCA) to help communities adapt to climate change and to create and disseminate transferable and replicable solutions.

**CTDOT** manages the highway and mass transit infrastructure of the State. CTDOT's Bureau of Planning is responsible for coordinating major transportation and TOD initiatives. CTDOT program manages design and construction contracts for highways, bridges, stations, rail ROW and rail yards Partner members of the SAFR Advisory Committee provide supplemental expertise for technical capacity. The Green Bank is world-renowned leader in financing for renewable energy and energy efficiency. The Housing Development Fund manages the Shore Up CT program and many other loan

programs for affordable housing. East Coast Greenways is working towards a 2,900 mile greenway from Maine to Florida and has identified 200 miles of trails in Connecticut. WSP | Parsons Brinckerhoff can provide technical support and expertise in program management and project implementation, feasibility studies, environmental assessment, permitting, planning, architecture, and engineering.

In terms of specific technical capacity and skills listed in the NOFA, many of the SAFR agencies have directly applicable experience. Some of those agencies, partners and entities are noted in parentheses in the following list. (A complete list of SAFR members is located in Attachment A: Partner Documentation (AttAPartnerDocumentation.pdf)):

- Risk, impacts, and vulnerability assessment, including extreme weather events, and climate change (CIRCA, DEEP, CTDOT, DPH, DOH, CID, Emergency Services, WSP|PB)
- Management of project design (DOT, DEP, DECD, WSP|PB)
- Site, city, and regional planning (OPM, DOH, DEEP, CTDOT, WSP|PB)
- Flood insurance and floodplain management (DEEP, DECD)
- Insurance industry issues (CID)
- Green (nature-based) infrastructure planning & implementation (DEEP, DECD, CID, CTDOT)
- Pre-development site preparation (CTDOT, DEEP, DECD, DOH)
- Property disposition (as applicable) (CTDOT ROW, DECD brownfields, DEEP)
- Leveraged/mixed financing (DOH manages funding)
- Acquisition and disposition of real estate, including voluntary relocation of homes and businesses (DOH, CTDOT, DEEP)
- Rehabilitation and reconstruction of housing, commercial, industrial, and other (DOH, DECD)
- Redevelopment of property, from procurement through occupancy or final use (DOH, DECD)
- Remediation of brownfields and contaminated sites and ecological restoration (DEEP, DECD)

- Accessing operating and investment capital (OPM, DOT, DOH)
- Assessing technical feasibility and value engineering (DOT, DEEP, DECD, WSP|PB)

### **Exhibit C.a.3. Community Engagement and Inclusiveness**

CIRCA will be leading the community engagement effort for NDRC, with OPM managing the Agency coordination effort to foster engagement at all levels of government. The agencies within SAFR have direct and significant experience with community engagement, public participation, and policy capacity. As an example, OPM, OTG, CTDOT, DECD, and DEEP are collaborating to implement State policy in the area of Transit Oriented Development, which extends to coordination with regional COGs and local municipalities. Our engagement team leaders, from CIRCA and SAFR, have extensive relevant engagement experience through Rebuild by Design, local and international landscape architecture projects, rebuilding in New Orleans and national resilience charrettes. SAFR will coordinate its engagement mission through consultants with expertise in community engagement who will implement a comprehensive engagement plan for the *Connecticut Connections Coastal Resilience Plan*.

DOH has a commitment to resident and community engagement with established programs detailed in an Action Plan and two substantial amendments for the CDBG-DR program. The State of Connecticut engaged CIRCA to support DOH and identify the communities most vulnerable to future hazards. CIRCA's Director of Community Engagement serves as the liaison between Connecticut's municipalities and the research faculty at UConn, ensuring that CIRCA's research directly responds to the adaptation needs of towns. CIRCA engages with community members through regular meetings with municipal task forces and committees on climate change and presents at statewide conferences including the Connecticut Association of Flood Managers and the Connecticut Association of Conservation and Inland Wetlands Commissions.

The state agencies belong to multi-state regional planning bodies. As an example, DEEP, is the current chair of the Northeast Regional Ocean Council that includes all of the New England states. Together as SAFR, the agencies are working across their disciplines to develop the Phase I and II NDRC applications and develop new resilience policies. CIRCA was founded as cross-disciplinary institute within the University. Partner and SAFR member, CCM is a statewide association that represents the interests of towns and cities to the legislature and report on major challenges facing poorer communities. CCM and Council of Government (COGs) Partners provide regional planning for resilience. The COGs recently developed regional Natural Hazard Mitigation Plans, including regional impacts of sea level rise and storms.

An example of effective community engagement and outreach in Connecticut is the Rebuild by Design in Bridgeport, where many of our Partners worked to engage the community. In Bridgeport, an All Scales Workshop was organized, where leaders from more than 40 organizations helped developing proposals for resilient community development. In Phase 1 the Yale UED lab and CIRCA led meetings with coastal municipalities and COGs to determine the concept. In Phase 2 CIRCA, OPM and the consultant team met with community organizations in pop-up presentations to solicit input and ideas.

The SAFR agencies have several programs engaging and assessing the needs of vulnerable populations. DPH is exploring integration of a rapid Health Impact Assessment (HIA) into the community engagement process for future resilience planning. DEEP houses the Office of Environmental Justice dedicated to this issue. DOH supports a number of initiatives to build community leadership. UConn CLEAR's Climate Adaptation Academy is educating officials about adaptation measures. Additional examples are Bridgeport Rebuild by Design process and New Haven's Hill-to-Downtown sustainable communities planning initiative sponsored by DECD's U.S. Dept. of Housing and Urban Development Challenge Grant, CTDOT, and OPM. The Hill-to-Downtown



initiative blends economic development and sustainable practices and is an example of successful project coordination in partnership with other key implementing stakeholders and working productively with other organizations, including meeting management<sup>1</sup>.

Private utility Partners, Eversource and United Illuminating serve most electric and natural gas customers in the state and will work closely with SAFR to coordinate electric and gas infrastructure modifications to support the designed projects and further enhance critical infrastructure resiliency. As described in their letters of interest, the engagement capacity of Bridgeport and New Haven are also very strong and complementary to the capabilities of the other entities.

### **Exhibit C.b.1. Management Structure**

The State of CT DOH is the lead agency making all final allocations of funding. SAFR, under direction of OPM, will lead the NDRC application, design and implementation of the proposed projects. DOH will serve as the recipient of HUD funding and manage the disbursement of funds for the NDRC Grant. OPM will serve as the policy manager for the SAFR team, coordinating the SAFR member agencies in the implementation of pilot projects, review of policy initiatives, and coordination across agency structure of programs to support resilience. Each of the agencies of SAFR will serve a role in policy-making decisions as experience and concentration dictates. Where programs managed by specific agencies have the opportunity to be coordinated to focus on the SAFR resilience mission, OPM will lead the effort to coordinate those agencies to set policy and modify State programs accordingly. For example, there are opportunities for synergies between DEEPs green streets program and CTDOTs complete streets policy. SAFR is coordinating the dialogue between DEEP and CTDOT to structure

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<sup>1</sup> Article for reference: <http://www.nhregister.com/general-news/20120920/new-havens-hill-to-downtown-initiative-looks-to-connect-neighborhoods-poll>

those agencies to proceed towards a shared mission to develop a cross-agency set of resilient roadway design guidelines. The implementation of specific construction projects will be handled on a project-by-project basis, dependent upon the project type and characteristics and the local entity or entities involved. DEEP and CTDOT will take a leadership role in structuring the management approach to the implementation of pilot projects as both agencies are experienced and structured to administer and manage large-scale capital infrastructure projects. These projects are complex and will require the coordination of multiple agencies during design, permitting, construction and post-construction management. SAFR will develop implementation teams for each major project that will include representation for each agency in the capacity that that agency will be involved in the project, to ensure a seamless implementation of project. The State is creating an additional position within SAFR to ensure a seamless coordination of project implementation to partner with City staff to design and construct pilot projects. The State will utilize the depth and expertise of its consulting team to support the program management of its pilot projects and planning efforts.

**Team Leaders.** The following staff and team members are integral to the design and implementation of the planning program and pilot projects. These leaders will lead a strong bench of talent in SAFR agencies that would be made available to support these team members. **Michael Santoro**, Community Development Specialist in the Office of Policy, Research and Housing Support of DOH will be responsible for management of all final allocations of HUD CDBG-NDR funding. Mr. Santoro oversees all financial management and accounting functions for the agency, including drawing and allocating funds from HUD and has managed millions of dollars of state and federal resources during his tenure. **April Capone**, Manager of Intergovernmental Affairs in the Intergovernmental Policy Division, OPM, will serve as the SAFR Chair and Director of Disaster Resilience Policy and Planning, where she will be responsible for management and administration oversight of the projects. Ms. Capone

has 10 years of experience managing state and federal program resources. She will provide executive oversight and represent SAFR in disaster resiliency discussions. April joined the team at OPM in February 2012 after serving two terms as the Mayor of East Haven, CT. Her role in the Governor's chief policy and planning office includes developing and recommending policy, drafting legislation for the Intergovernmental Policy Division, performing research and analysis, and acting as a legislative liaison on issues relating to local governments and state/local policy. In addition, she administers the statewide STEAP, Small Town Economic Assistance Program, coordinates with the Federal Reserve Bank of Boston on the Working Cities Challenge and represents OPM as the Chair of the Community Economic Development Fund. Ms. Capone's experience as Mayor of a municipality greatly impacted by Tropical Storm Irene in 2011 has informed her work both as the chair of the Long Term Recovery Committee, Community Planning Capacity Building subcommittee and as the chair of SAFR. **Binu Chandy**, Civil Engineer and Project Manager in the Office of Capital Projects with DECD has 15 years' work experience in environmental planning, public policy and project management of federal and state-funded projects. She successfully managed the \$2 million DECD HUD Sustainable Communities Challenge Grant. **George Bradner** is the CID Property and Casualty Director, overseeing the division that regulates the rates and forms of more than 500 companies licensed to write property and casualty insurance in Connecticut. He works closely with CID Commissioner to coordinate the Department's preparation, response and recovery operations during disasters, ensuring that consumers and the industry are provided with guidance on claims, licensing and others important resources. Mr. Bradner serves on the Division of Emergency Management and Homeland Security (DEMHS) Advisory Council and the Cyber Security Council and is the Co-Chairman for the states Long Term Recovery Committee (FEMA Emergency Support Function-14). He was appointed by the Governor and the Deputy Commissioner of DEMHS to serve as the co-lead for the states Sandy Disaster Recovery

initiatives. **Brian Thompson** is Director of the Office of Long Island Sound Programs at the Connecticut Department of Energy & Environmental Protection (DEEP) where he serves as Coastal Program Manager, responsible for implementing Connecticut's federally approved coastal management program. Connecticut's Coastal Management Program functions include regulating work in tidal, coastal and navigable waters and tidal wetlands; planning for balanced use of coastal lands and waters; enhancing coastal resilience and restoring coastal habitat. Mr. Thompson serves on various coastal management-related organizations including: Executive Committee of the Northeast Regional Ocean Council; Executive Steering Committee of the Connecticut Institute for Resilience and Climate Adaptation; Executive Committee of the Coastal States Organization; and the Long Island Sound Study Management Conference.

### **Capacity of Organizations and Partners**

**State Agencies Fostering Resilience.** Formed to facilitate the development of CT's Phase 1 application, Governor Dannel P. Malloy has made SAFR a permanent organization responsible for furthering the resilience and sustainability of vulnerable communities throughout the State. Chaired by OPM, SAFR will be responsible for the creation of a Statewide Resilience Roadmap based on the best available climate impact research and data, developing State policy for disaster resilience using science-based, forward-looking risk analysis, and ensuring that such information is incorporated into the planning processes of its member agencies. SAFR will coordinate its efforts with the Long Term Recovery Task Force and the Governor's Council on Climate Change to ensure a holistic approach to climate mitigation, adaptation, resilience and recovery that reduces the loss of life and property, ecological and economic damage, social disruption and associated critical infrastructure systems. SAFR provides opportunities for a unified statewide response and technical assistance on resilience issues.

**Partner City of New Haven and City of Bridgeport** both have a long record of successfully implementing a variety of projects similar in scale, scope and complexity to those proposed in this application.

The general descriptions of SAFR members were described in the Phase 1 application, Exhibit C, and examples of their capacity were described above. The organizational chart at the end of Exhibit C details the SAFR organization, Partners, and SAFR Advisory Committee. (The Organization Chart is also shown in Attachment D: Consultation Summary (AttDConsultationSummary.pdf)).

### **Exhibit C.b.2. References**

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## Connecticut NDRC Organization Chart

1. SAFR, advised by SAFR Advisory Committee
2. Grants Funding Manager, Michael Santoro (DOH)
4. Chair and Director of Disaster Resilience Policy and Planning, April Capone (OPM)

### **4.a. Technical specialists**

- Permitting, Environmental Review & Green Infrastructure - Brian Thompson (DEEP)
- Climate Change, Sea Level Rise & Natural Resource Protection - Jim O'Donnell (CIRCA)
- Intermodal Transportation, Infrastructure, & Asset Management - Rick Hanley (CTDOT)
- Brownfields, Redevelopment & Revitalization - Binu Chandy (DECD)
- Emergency Response Management - Teresa Gutowski (DESPP)
- Federal Polices & Insurance - George Bradner (CID)
- Community Engagement & Outreach - Rebecca French (CIRCA)
- Public Health & Impact Assessments - Lori Mathieu (DPH)
- Landscape Architecture - Alex Felson (Yale)
- Municipal Coordination - Mike Muszynski (CCM)

### **4.b. *Union Station Resilient TOD and South End East Resilient Network* Pilot Projects**

- Coordinated through CTDOT and DEEP
- Municipal coordination through City of New Haven, City of Bridgeport
- Consultant WSP | Parsons Brinckerhoff Team
- Regional Coordination through WestCOG, SCRCOG, GBRC

**4.c. CT Connections Coastal Resilience Planning**

Coordinated through CIRCA

Consultant WSP | Parsons Brinckerhoff Team

Regional Coordination through WestCOG, SCRCOG, GBRC