



Capital Improvement Plan Best Practices

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PRESENTED BY



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Today's Conversation

- Q&A with Steve
- Discuss capital improvement plan best practices
- Wrap up with the audience

Q&A



Steve Wilson
County Administrator
Otsego County, NY



Building CIP Best Practices

Create Multi-Year Capital Plans

Best Practice: An up-to-date and dynamic multi-year capital plan is essential to the future financial health of an organization and continued delivery of services to citizens and businesses

- Infrastructure, technology, and major equipment are the physical foundation for providing services to constituents
- Capital planning is critical to water, sewer, transportation, sanitation, and other essential public services. It is also an important component of a community's economic development program and strategic plan
- A capital plan should cover a period of at least three years, preferably five or more



Collecting Capital Requests

Best Practice: Centralized database with easy-to-use request forms

- Multiple forms for each Project Type
- Unique questions based on each project type's requirements
- Make it easier to carry data forward to the next year
- Set a deadline for submissions

Modern Best Practice: Use cloud-based programs make it easier to collect and review requests

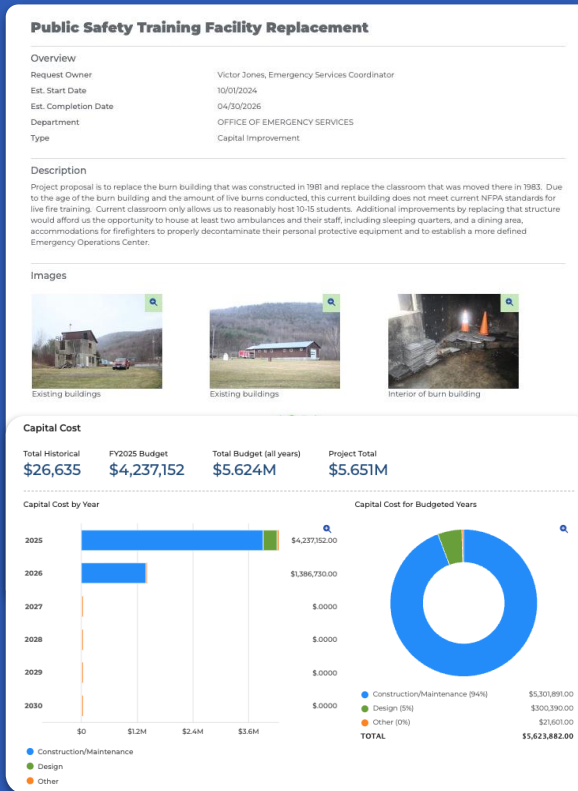
The screenshot displays a web application for collecting capital requests. At the top, there is a navigation bar with tabs labeled 'All Types', 'Capital Improvement', 'Capital Equipment', 'Other', and 'Archived Forms'. A 'Create New Form' button is located in the top right corner. The main content area is a grid of nine form cards, each representing a different project type. Each card includes a category label (e.g., 'CAPITAL EQUIPMENT'), a title, a brief description, and 'Preview' and 'Edit' links. The cards are: 1. 'Vehicles and Wheeled Equipment' (CAPITAL EQUIPMENT), 2. 'Computers and Related Equipment' (CAPITAL EQUIPMENT), 3. 'Computer Software' (CAPITAL EQUIPMENT), 4. 'Other Equipment' (CAPITAL EQUIPMENT), 5. 'Building and Facilities' (CAPITAL IMPROVEMENT), 6. 'Water and Sewer' (CAPITAL IMPROVEMENT), 7. 'Roadways' (CAPITAL IMPROVEMENT), 8. 'Other Improvements' (CAPITAL IMPROVEMENT), and 9. 'Additional Operating Funds Request' (OTHER).

Collecting Capital Request

Best Practice: Collect both financial and non-financial data to bring requests to life

- Ask for narratives, images, attachments, timelines, and geographic locations
- Capital cost categories
- Funding sources
- Savings and Revenues
- Capital vs Operating costs

Modern Best Practice: Software helps maintain a continuous dialogue with your requesters for information

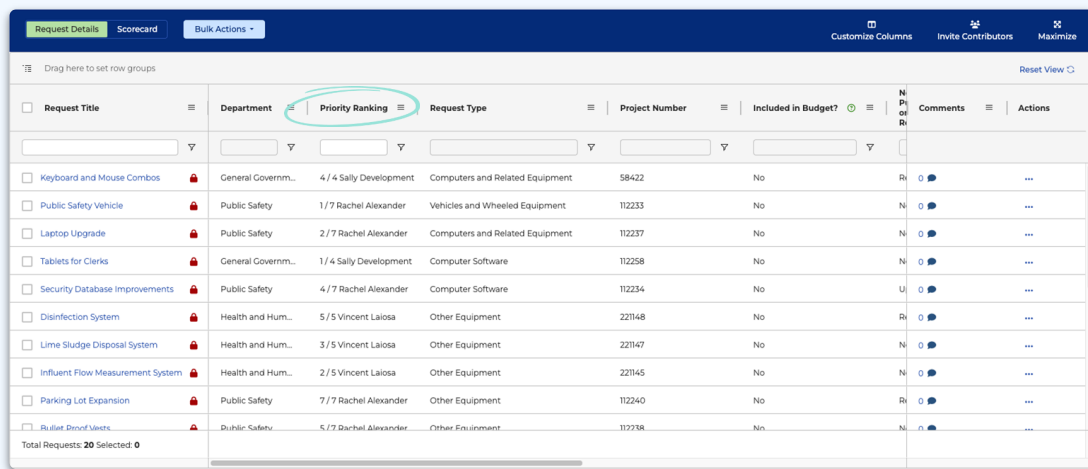


Example from Otsego County, NY

Assessing Department Priority

Best Practice: Require your departments to assign a priority to each request
Rather than using categories (urgent, wish list, etc) ... have them assign a numerical value on a ranked list (#1, #2, #3, etc)

Provides a uniform system throughout the organization and makes it easy to compare apples-to-apples



The screenshot shows a web application interface for managing requests. At the top, there are tabs for 'Request Details', 'Scorecard', and 'Bulk Actions'. On the right, there are links for 'Customize Columns', 'Invite Contributors', and 'Maximize'. Below the tabs, there is a header bar with a search icon and the text 'Drag here to set row groups'. The main table has the following columns: Request Title, Department, Priority Ranking (highlighted with a red circle), Request Type, Project Number, Included in Budget?, and Comments. The table contains 10 rows of request data. At the bottom left, it says 'Total Requests: 20 Selected: 0'.

Request Title	Department	Priority Ranking	Request Type	Project Number	Included in Budget?	Comments
☐ Keyboard and Mouse Combos	General Governm...	4 / 4 Sally Development	Computers and Related Equipment	58422	No	Re 0
☐ Public Safety Vehicle	Public Safety	1 / 7 Rachel Alexander	Vehicles and Wheeled Equipment	112233	No	N 0
☐ Laptop Upgrade	Public Safety	2 / 7 Rachel Alexander	Computers and Related Equipment	112237	No	N 0
☐ Tablets for Clerks	General Governm...	1 / 4 Sally Development	Computer Software	112258	No	N 0
☐ Security Database Improvements	Public Safety	4 / 7 Rachel Alexander	Computer Software	112234	No	U 0
☐ Disinfection System	Health and Hum...	5 / 5 Vincent Laiosa	Other Equipment	22148	No	R 0
☐ Lime Sludge Disposal System	Health and Hum...	3 / 5 Vincent Laiosa	Other Equipment	22147	No	N 0
☐ Influent Flow Measurement System	Health and Hum...	2 / 5 Vincent Laiosa	Other Equipment	22145	No	N 0
☐ Parking Lot Expansion	Public Safety	7 / 7 Rachel Alexander	Other Equipment	112240	No	R 0
☐ Bullet Proof Vests	Public Safety	5 / 7 Rachel Alexander	Other Equipment	112238	No	N 0

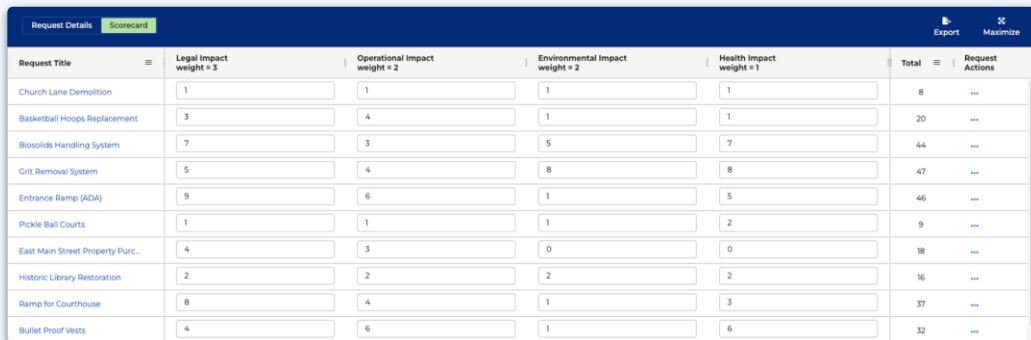
Total Requests: 20 Selected: 0

Assessing Organizational Priority

Best Practice: Formal scorecard based on your local government's strategic goals and initiatives

- Choose custom criteria (ideally aligning them with your strategic plan)
- Weighted system ensures accuracy
- Makes your decision making process internally transparent

Modern Best Practice: Inviting capital committee members as reviewers into your database makes scoring projects easy



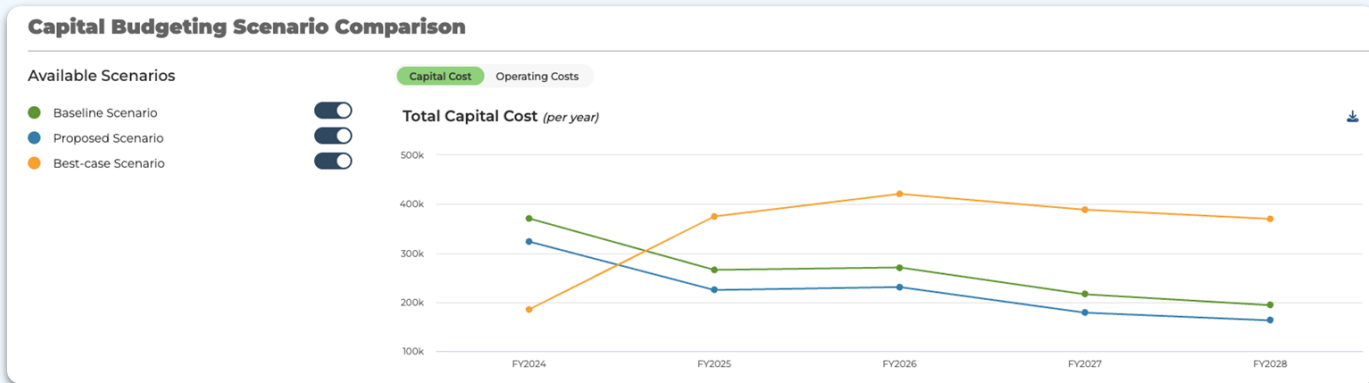
The screenshot shows a web application interface for a 'Request Details' scorecard. The interface has a dark blue header with 'Request Details' and 'Scorecard' tabs. On the right of the header are 'Export' and 'Maximize' icons. The table below has columns for 'Request Title', 'Legal Impact weight = 3', 'Operational Impact weight = 2', 'Environmental Impact weight = 2', 'Health Impact weight = 1', 'Total', and 'Request Actions'. Each row represents a project request with numerical scores in input fields and a calculated total.

Request Title	Legal Impact weight = 3	Operational Impact weight = 2	Environmental Impact weight = 2	Health Impact weight = 1	Total	Request Actions
Church Lane Demolition	1	1	1	1	8	...
Basketball Hoops Replacement	3	4	1	1	20	...
Biosolids Handling System	7	3	5	7	44	...
Grit Removal System	5	4	8	8	47	...
Entrance Ramp (ADA)	9	6	1	5	46	...
Pickle Ball Courts	1	1	1	2	9	...
East Main Street Property Purc...	4	3	0	0	18	...
Historic Library Restoration	2	2	2	2	16	...
Ramp for Courthouse	8	4	1	3	37	...
Bullet Proof Vests	4	6	1	6	32	...

Creating Capital Budget Scenarios

Best Practice: Budgeting and decision making around capital projects can be a lot more complex than the Operating Budget. Prepare and provide different budget/funding options

- Make it clear what is available from each funding source and what the project impacts will be (makes it easy to see what tips you over into the red)
- Save and compare your capital budget versions (like your Operating Budget)
- Compare your multi-year scenarios



Presenting CIP Best Practices

Presenting Capital Budgets

Best Practice: Show in a comprehensive view what the financial impact of your capital budget will be and the financial details of each project

- Capital Costs vs Funding Sources
- Group your projects by department; project type; or by funding source
- Include details such as scorecard total and narratives

New Public Works Building

Total Capital Cost:

\$2,300,000.00

Department:

City Manager

Type:

Capital Improvement

Request description:

The city will be replacing the old public works building in Commack with a new public works building in Nesconset.

Capital Costs

	FY2023	FY2024	FY2025	Total
Engineering Costs	\$300,000.00	\$250,000.00		\$550,000.00
Materials	\$300,000.00	\$300,000.00		\$600,000.00
Equipment	\$250,000.00	\$250,000.00		\$500,000.00
Other	\$150,000.00		\$150,000.00	\$300,000.00
Construction	\$100,000.00	\$250,000.00		\$350,000.00
Total	\$1,100,000.00	\$1,050,000.00	\$150,000.00	\$2,300,000.00

Funding Source

	FY2023	FY2024	FY2025	Total
General Fund				\$0.00
Capital Fund	\$1,100,000.00	\$500,000.00	\$150,000.00	\$1,750,000.00
Highway Fund				\$0.00
State/Local Grants				\$0.00
Federal Grants				\$0.00
Bonding/Debt		\$550,000.00		\$550,000.00
Total	\$1,100,000.00	\$1,050,000.00	\$150,000.00	\$2,300,000.00

New Public Works Building

Donation to City Health Fa...

Disinfection & Filter Syst...

Poindexter Museum

Se...

Sharing Vision of Capital Improvement Plan

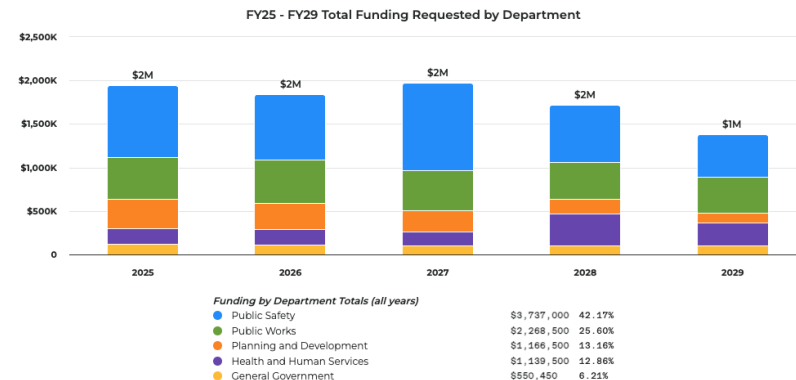
Best Practice: Website-based CIP Book

- One-Year Capital Budget and Multi-Year Capital Plan sections
- Interactive request pages with charts/graphs, images, attachments and data tables
- GFOA Budget Award best practices

Capital Improvement Multi-Year Plan

The Multi-Year Capital Improvement Plan (CIP) outlines our strategic vision for enhancing and maintaining the city's infrastructure.

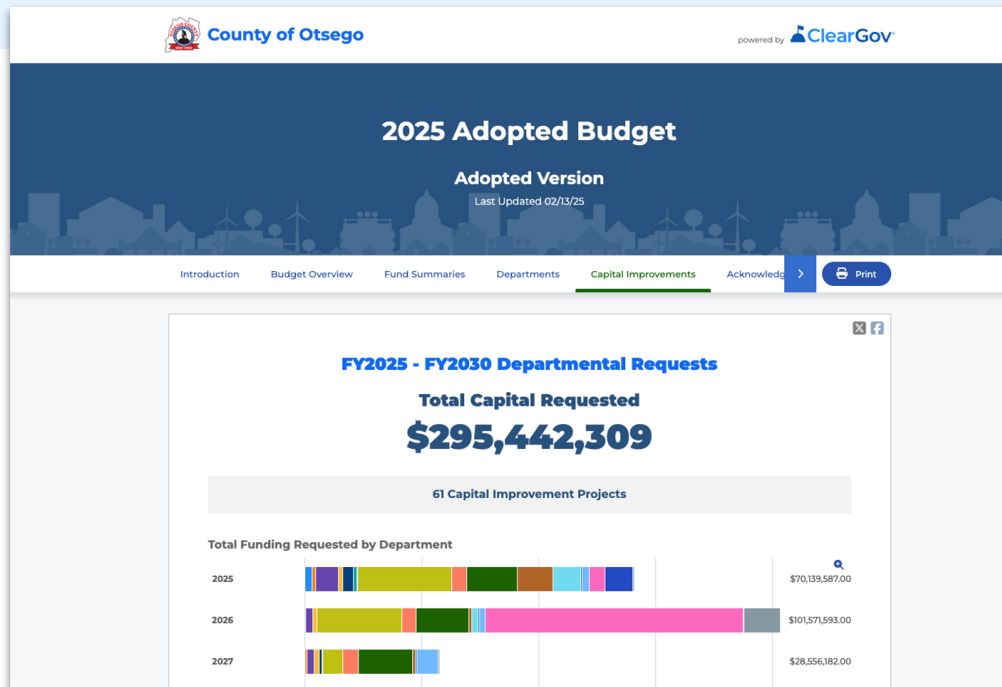
This comprehensive plan spans across multiple departments, encompassing a wide range of projects aimed at improving public facilities, transportation systems, parks, and more. With a focus on long-term planning and sustainable development, the CIP integrates various funding sources to ensure the successful implementation of these vital initiatives. Through collaborative efforts and careful consideration of community needs, the City is committed to creating a prosperous and resilient future for its residents.



New York County Capital Plans

Examples:

- Otsego County, NY
- Ulster County, NY
- Chemung County, NY

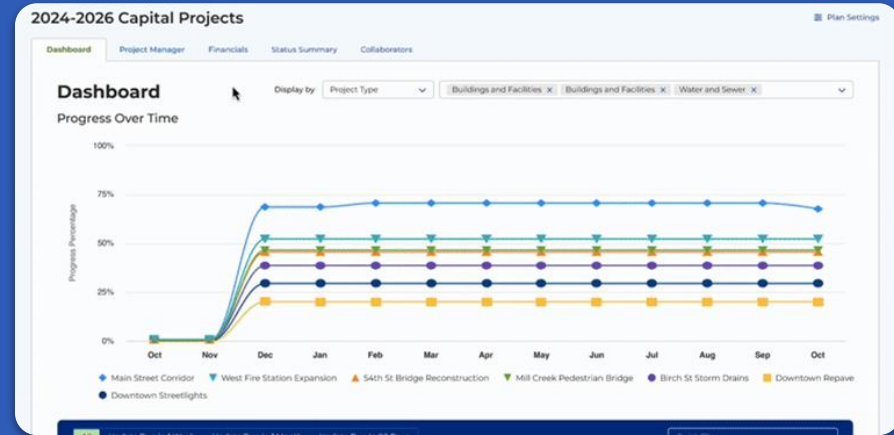


Tracking CIP Best Practices

Tracking Capital Improvement Projects

Best Practice: Manage capital projects and automate workflows in a centralized dashboard

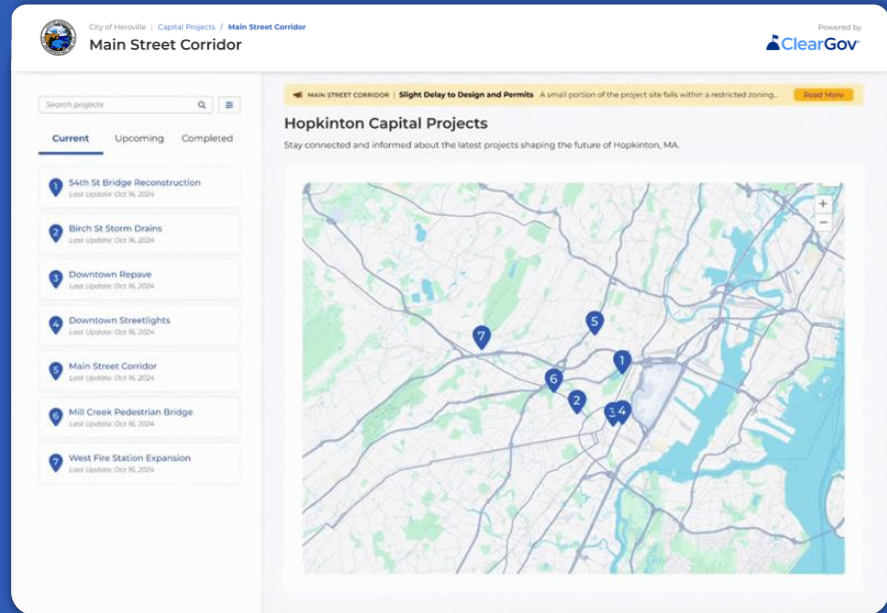
- Ensure that resources are used as planned, preventing mismanagement or overspending.
- Provide data-driven insights to optimize project outcomes and justify decisions.



Sharing Progress of Capital Improvement Projects

Best Practice: Map-based capital projects website to communicate project updates internally and to the public

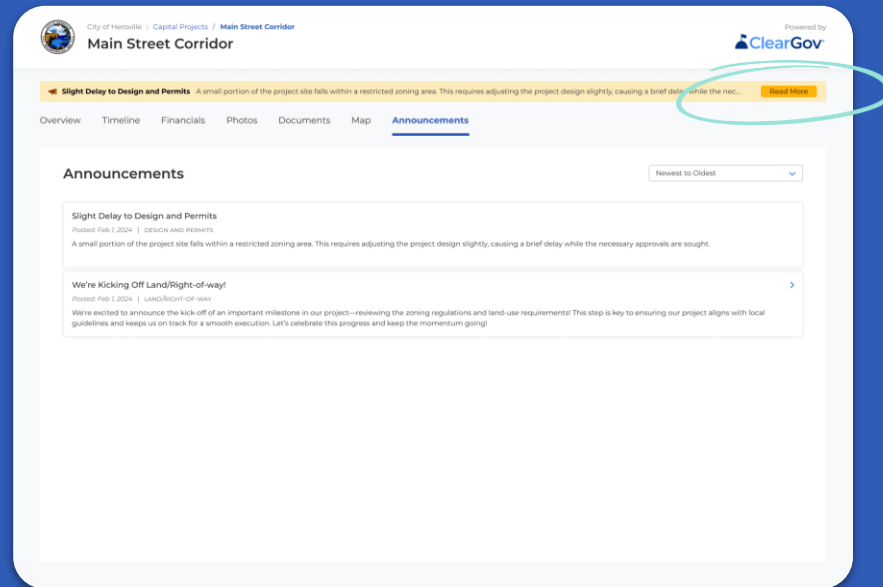
- Communicate project financials, phases, timelines, and updates to stakeholders



Sharing Progress of Capital Improvement Projects

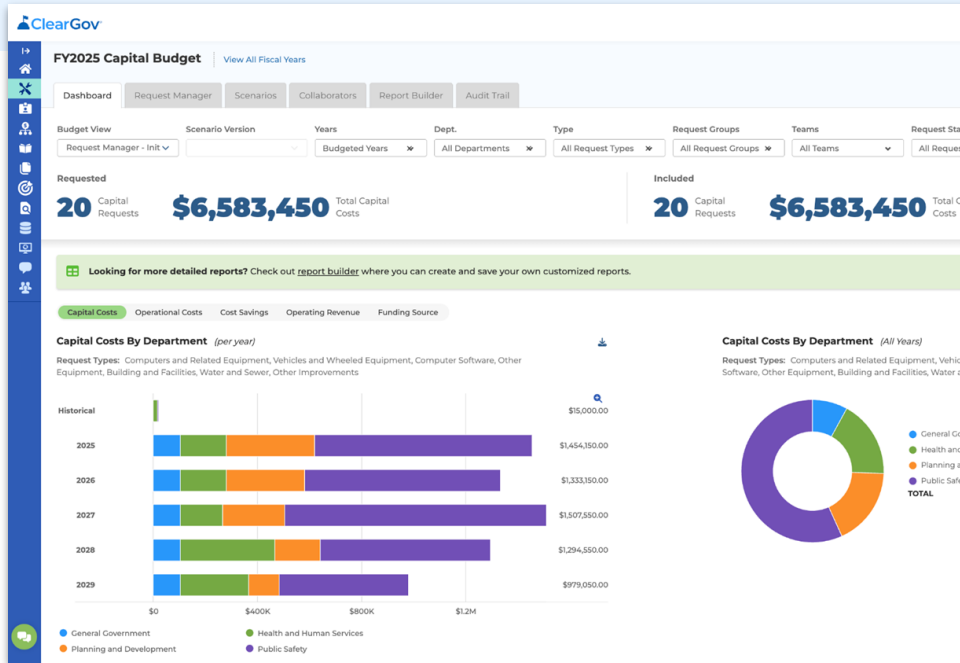
Best Practice: Keeps residents informed and builds trust by showcasing progress and outcomes.

- Proactively share critical information, minimize disruptions, and maintain a historical record of announcements.



Cloud-Based Software Advantages

- Log-in permissions/settings
- Sub-requester workflow
- Database and reporting integration
- Work remotely and be backed up with built-in IT cloud security



<https://county-otsego-ny-cleardoc.cleargov.com/20671/788819/d>

<https://county-chemung-ny-cleardoc.cleargov.com/13987/469585/d>

<https://county-ulster-ny-cleardoc.cleargov.com/19404/726784/d>

<https://county-otsego-ny-cleardoc.cleargov.com/20671/118642/cip-project-request>



Thank You!



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Request a demonstration of
ClearGov's Solutions