New York State of Opportunity. | Department of State | Downtown Revitalization Initiative | NY Forward

Guidebook

Downtown Revitalization Initiative and NY Forward

DRI 7 / NYF 2 DRAFT

Introduction

One of the most inspiring and enlightening aspects of my tenure as New York's Secretary of State has been witnessing a committed group of civic, political, and business leaders literally transform their downtowns into vibrant, diverse, and prosperous places with support from the Department of State's Downtown Revitalization Initiative (DRI). This program has ushered in a renaissance in downtown revitalization that is sweeping across the entire State and shows no signs of slowing. Now, with focus on the NY Forward (NYF) program, Governor Hochul's commitment to the resurgence of every community, large urban, rural, and the smaller neighborhoods in between, every downtown—regardless of size, character, or capacity— has the opportunity to join in this transformative movement happening across New York State.

The DRI and NYF are not only transforming individual downtowns; they are also reinvigorating entire regional economies and the State as a whole. As we implement the sixth round of the DRI and the first round of NYF, we are witnessing that broader vision become a reality. A critical mass of vibrant downtowns in each region is collectively making the Empire State a more attractive place for businesses to invest and families to live. The DRI and NYF have firmly established NYS as the national capital of downtown revitalization and sustainable economic development!

Any good program, no matter how successful, must evolve and adapt to changing circumstances and challenges. The COVID pandemic certainly threw our downtowns a curveball, but our DRI communities rose to the challenge by supporting small businesses, building new housing, and creating safe, enjoyable, and accessible streetscapes and public spaces. The Department of State then launched NY Forward to support smaller, more locally-serving economies and put in place a robust system of technical assistance and capacity-building to better serve those places and allow all New York communities to join in the transformative revitalization process.

In addition to creating vibrant downtowns and expanding economic development opportunities, the DRI and NYF are achieving myriad other major state policy goals. To address the State's housing crisis and in support of the Governor's Pro-Housing Communities program, the DRI has already invested in nearly 3500 units of housing throughout the State, with many more coming on-line this year from DRI and NY Forward awardees. Recognizing the availability and affordability of housing unlocks greater opportunities for enhanced economic development, quality of life, and socio-economic equity, and I'm confident that our newest and future DRI and NYF communities will heed the Governor's clarion call by creating even more quality housing at all price points in prime downtown locations because creating more units overall generates both affordability and more opportunity.

These programs are also helping the State meet its nation-leading climate change goals by building communities that are less dependent on automobiles, which in turn reduces greenhouse gases in the transportation sector. The Department of State has also partnered with NYSERDA to develop green, energy-efficient projects. And our partnership with NYPA provides priority electric vehicle charging stations in DRI and NY Forward downtowns to serve both existing and new residents and businesses.

Cover photo of Downtown Geneseo- taken by Keith Walters

Finally, DRI/NYF projects contribute to the goals and strategies being advanced in the Governor's Master Plan on Aging by creating healthy, accessible, and equitable communities designed for people of all ages and abilities. Vibrant downtowns offer housing that allows older New Yorkers to downsize to homes in neighborhoods that provide access to a variety of intergenerational destinations and activities, including essential public gathering spaces that help overcome social interaction and thus improve both physical and mental health. This, in turn, frees up their previous homes to the next generation of growing families and younger professionals. Successful DRI and NY Forward downtowns should cater to the entire age spectrum, from grandparent to grandchild, if they are to be complete, sustainable, and equitable.

With the Governor's commitment last year of another $100 million for the DRI and $100M for NYF, the State has now invested a combined total of $1 billion in both programs since their inception. But these programs are about much more than monetary grants. As impressive as that milestone is, the DRI and NYF succeed because they are built on partnerships—inter-agency, public/private, and State/local. Our partner agencies—HCR, ESD, NYSERDA, and others—work closely with us to help communities access and navigate state resources holistically and effectively. Our private sector partners ensure that projects are completed on time and leverage additional investments as a result of the momentum that the revitalization process sets in motion. And the communities themselves weave all the pieces together into a coherent whole that characterizes a complete and vibrant downtown.

This Guidebook will help awarded communities develop their Strategic Investment Plans and embark on the invigorating and irreversible road to revitalization that lies ahead. The Department of State and our partner agencies will be here to support you every step of the way.

Robert J. Rodriguez
Secretary of State

| **NYF Announcement for Village of Canastota** (NYF Round 2)

Table of Contents

The italicized items in the Table of Contents are consultant-specific guidance.

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Additional Resources for Consultants

The purpose of this document is to provide consultants additional guidance to ensure a successful DRI/NYF planning process and Strategic Investment Plan. Examples of Strategic Investment Plan component best practices from past DRI/NYF rounds are highlighted throughout the document. Each page containing consultant guidance will have a light blue-gray background and will follow the relevant information from the public version of the DRI/NYF guidance.

All pages will have this **graphic cue**

General Guidance Content

Additional Resources + Guidance for Consultants
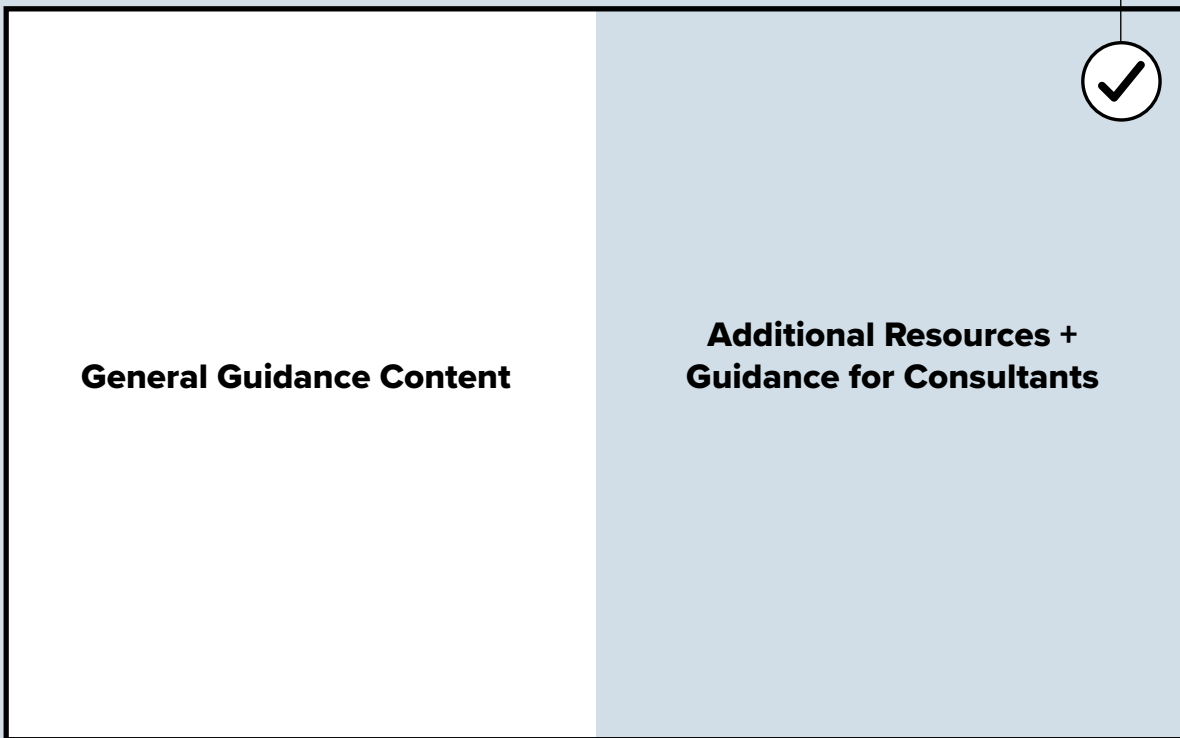
Downtown Revitalization Initiative (DRI) and NY Forward (NYF)

In this Section:

Purpose of this Guidebook

> *This guidebook provides a detailed overview of the Downtown Revitalization Initiative and NY Forward planning processes. It is intended to serve as a resource for the Local Planning Committee, municipal officials and staff, project sponsors, and the general public.*

Topics Covered in the Guidebook

This guidebook focuses on the planning process associated with the Downtown Revitalization Initiative (DRI) and NY Forward (NYF) programs. The DRI and NYF programs use an innovative "plan-then-act" strategy. All communities awarded DRI/NYF funding will undertake a targeted, community-based planning exercise. The process begins with the development of a downtown vision and goals and an assessment of the downtown area, and then shifts to identifying and developing proposed projects.

At the end of the planning process, communities will identify a slate of projects that are aligned with the State's and locality's goals for the DRI/NYF program. These projects are then submitted to the State for funding consideration. With the support of several State agencies and a consultant team, each community will prepare a Strategic Investment Plan (SIP). The SIP is the final plan that results from the DRI/ NYF planning process. The SIP will describe the unique challenges and opportunities for the revitalization of downtown, present the

community's vision for the future of the area, and propose transformative projects that may be realized with an investment of DRI/NYF funds.

This guidebook is organized by the key activities that each community will undertake as part of the planning process and include:

- Public engagement
- Downtown profile and assessment
- Vision, goals, and revitalization strategies
- Project identification and development
- Project implementation

SECTION **1.1** PURPOSE OF THIS GUIDEBOOK

Who Should Use the Guidebook?

This guidebook is intended to be a resource for anyone involved in a DRI or NYF planning process, including the Local Planning Committee, municipal officials and staff, project sponsors, and the general public. The guidebook provides an overview of the planning process, describes key deliverables, and defines the State's expectations.

You can use the guidebook to:

- Understand what to expect once a community is awarded DRI or NYF funding
- Better understand the roles and responsibilities of key participants in the planning process
- Learn about the different ways to become involved in the planning process
- Better understand how a community will identify, develop, and ultimately select proposed projects to recommend to the State for DRI or NYF funding
- Learn more about the Strategic Investment Plan (SIP) that a community will develop, with the support of State agencies and a consultant team
- Learn what happens after the SIP is submitted and the State announces project awards

| **Secretary of State Rodriguez on a Site Visit to Newark** (DRI Round 5)

SECTION **1.2**

Introduction to the DRI and NYF Programs

The Downtown Revitalization Initiative and NY Forward programs focus on creating healthy, vibrant, walkable downtowns that catalyze sustainable economic development and accrue numerous economic, social, and environmental benefits to the locality, the region, and the State as a whole.

Business and development leaders recognize that downtown communities, which offer a high quality of life and a critical mass of diverse public amenities and activities, can serve as catalysts for increased and sustainable local economic development. Investments that re-energize commercial cores attract a diverse population of new residents and visitors of varying ages, incomes, and interests, thereby strengthening the customer base for local businesses and providing the reliable workforce needed to attract and retain employers and grow the regional economy.

Government leaders recognize that focusing investment in commercial centers is also fiscally responsible. Compact development lowers the cost of delivering essential government services (police, fire, emergency medical) and reduces demand for costly new infrastructure, making local government budgets more efficient and reducing the burden on taxpayers. In addition, compact, mixed-use development is energy efficient and reduces greenhouse gas emissions. By focusing development in its downtown, a community can reduce its carbon footprint by promoting the use of public transit, making places more walkable, and reducing dependence on private vehicles.

DRI and NYF Program Goals

The core goals of the Downtown Revitalization (DRI) and NY Forward (NYF) programs are summarized in the box to the right. As part of the DRI/NYF planning process, each community will use these goals as a starting point to develop its own set of localized goals that support its vision for revitalization. The State's programmatic goals and the community's local goals should guide the entire DRI or NYF planning process, inform project development and selection, and be clearly reflected in each community's Strategic Investment Plan.

DRI and NY Forward Program Goals

Create an active downtown with a strong sense of place.

Attract new businesses that create a robust mix of shopping, entertainment, and service options for residents and visitors, and that provide job opportunities for a variety of skills and salaries.

Enhance public spaces for arts and cultural events that serve the existing members of the community but also draw in visitors from around the region.

Build a diverse population, with residents and workers supported by complementary varied housing and employment opportunities.

Grow the local property tax base.

Provide amenities that support and enhance downtown living and quality of life.

Reduce greenhouse gas emissions and support investments that are more resilient to future climate change impacts.

DRI Program Overview

The Downtown Revitalization Initiative (DRI) was launched in 2016 to accelerate the revitalization of downtowns in the ten Regional Economic Development Council (REDC) regions of the State so that the downtowns can serve as centers of activity and catalysts for increased local investment. As a cornerstone of the State's economic development program, the DRI transforms downtown neighborhoods into vibrant centers that offer a high quality of life and become magnets for redevelopment, business growth, job creation, and economic and housing diversity.

The Department of State (DOS) administers the Governor's DRI in close coordination with Homes and Community Renewal (HCR), Empire State Development (ESD), New York State Energy Research & Development Authority (NYSERDA), and several other State partners.

Community Characteristics

In general, DRI communities:

- Are sizable downtowns with a regional draw;
- Include major employment centers and tourism attractions;
- Provide a walkable network of destinations;
- Are characterized by relatively dense urban development with diverse land uses; and
- Provide multi-modal transportation options (e.g., mass transit, bicycle infrastructure) or have the potential to increase multi-modal infrastructure.

ǀ REDC Regions

NYF Program Overview

NY Forward (NYF) was launched in 2022 to support a more equitable downtown recovery for New York's smaller communities, with a focus on hamlets, villages, and neighborhood-scale commercial centers. Similar to the DRI, the DOS administers the Governor's NYF program in close coordination with HCR, ESD, NYSERDA, and several other State partners. Through the NYF program, smaller downtowns will receive planning and implementation support needed to attract more businesses, residents, and visitors, while also providing a higher quality of life for all residents.

Community Characteristics

In general, NYF communities:

- Provide important services to the local community/neighborhood in a mixed-use, walkable setting;

- Often feature a distinct sense of place due to the presence of rich cultural, historic, natural, and/or agricultural assets;

- Often have less dense development than a DRI community; however, NYF communities are still compact and walkable; and

- May include villages, hamlets, and neighborhood centers nested within a larger municipality.

SECTION **1.2**   INTRODUCTION TO THE DRI + NYF PROGRAMS

This table provides an overview of characteristics common to DRI and NYF communities. The list is not exhaustive given the unique attributes of the State's downtowns.

Community Characteristics	
DRI	**NY Forward**
Larger, walkable, more dense geographical areas with amenities that serve the regional community	Smaller, walkable, less dense geographical areas with amenities that serve the immediate local community
Multi-modal transportation, including mass transit options	More vehicle dependent; patrons mainly arrive by car
Employment center for the regional economy	Predominantly service-oriented businesses and employment opportunities. Services may include maintaining employment and job growth
Larger, urban tourist center with more attractions spread out over several blocks of development — walkable between multiple nodes of activities/attractions	Small-town charm: with heritage, antiques, cottage, agriculture and other niche based tourism In NYC, Business Improvement District (BID)-scale residential-focused districts
Availability or potential for rail/bus/ferry public transportation making Transit Oriented Development possible	Vehicle dependent with limited public transportation potential. Residential, or rural agricultural centric development
High-density development: most buildings are three or more stories; buildings contain a number of uses and tenants; there is greater square footage of built space per acre	Low-density development: most buildings are two to four stories; buildings contain a few uses and tenants; there is lesser square footage of built space per acre
Existing or potential for higher density buildings, multi-story buildings with opportunities for upper story housing	Two to four story buildings with opportunities for upper story housing

The following table is an overview of the common types of projects and project characteristics for DRI and NYF communities and is intended to be a guide for communities. It is not an exhaustive list of project types or characteristics.

Potential Projects	
DRI	**NY Forward**
Larger private, mixed-use projects	Smaller projects focused more on building renovation and redevelopment and activation of upper-stories (ex: housing, additional commercial) rather than new construction
Adaptive reuse	Adaptive reuse
New public construction projects on developable properties, creating new public spaces	Projects that deal primarily with vacancy and rehabilitation, but may include new construction or creation of new public space
Projects that elevate urban- and employment-based downtown qualities and enhance the regional draw of the DRI area	Projects that elevate specific cultural and historical qualities that enhance the feeling of local charm
Wayfinding projects to connect the network of amenities and attractions distributed over several commercial corridors	Tight commercial activity area with opportunity to enhance cultural heritage through signage or historic markers

Planning Process Overview

Introduction

Both the DRI and NYF programs employ an innovative "plan-then-act" strategy that couples strategic planning with immediate implementation. Communities are paired with a consultant team and a project manager from the DOS who guide them through a targeted, community-based planning process focused on the development of a Strategic Investment Plan (SIP).

The SIP will build upon the community's DRI/NYF application, including the preliminary community vision for revitalization and the proposed project list. The planning process will refine the vision, develop actionable goals and revitalization strategies, identify a suite of complementary and transformative projects to help the community achieve its vision for downtown revitalization, and develop a roadmap to continue the momentum of downtown revitalization.

In each community selected to participate in the DRI or NYF program, a Local Planning Committee (LPC) comprised of local and regional leaders, stakeholders, and community representatives intended to represent diverse interests is convened to oversee the planning process and the development of the SIP. Over the course of the planning process, the LPC — with significant support from the State team and a consultant team — will work closely with the local community to:

- Develop a clear and concise downtown profile and assessment to articulate the story of the downtown and identify key challenges and opportunities.

- Review and refine the vision statement included in the DRI/NYF application.
- Establish goals and strategies to achieve the community's vision.
- Identify, develop, and evaluate projects that could advance the community's vision, goals, and strategies for revitalization.
- Develop detailed project profiles for each project that the LPC recommends for DRI/NYF funding (the LPC will identify a final slate of projects in excess of the available DRI/NYF funding).
- Undertake broad public engagement throughout the entire planning process to solicit input, shape the community's vision for downtown, identify projects, and build support for plan implementation.

A consultant team will compile the SIP, which will be submitted to the State. Following the final submission of the SIP to the State, a multi-agency State team will review each project recommended for DRI/NYF funding. A subset of the projects submitted in the SIP will be awarded funding by the State.

Following the review period, project awards will be announced by the State. Project contracts will be negotiated and executed between project sponsors and relevant State agencies shortly after the award announcements. The contracts will be administered by a variety of agencies and authorities, with the majority held by the DOS, ESD, and HCR. In general, awarded project funding will be provided on a reimbursement basis.

SECTION 1.3   PLANNING PROCESS OVERVIEW

Summary of Key Steps in the Planning Process

All deliverables associated with each step will be developed by the consultant team, with guidance from the LPC .

Step 1. **Downtown Profile and Assessment**

Step 2. **Community Vision, Goals, and Revitalization Strategies**

Step 3. **Project Development**

Step 4. **Strategic Investment Plan Compilation**

Final Strategic Investment Plan Submitted to the State

Public Engagement Throughout Planning Process

Typical DRI/NYF Planning Process and Key Deliverable Schedule

DRI AND NYF GUIDANCE

Department of State | Downtown Revitalization Initiative | NYF Forward

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LPC MEETINGS

ENGAGEMENT

Public Workshop #1

Open Call for Projects

Local Outreach Activities

Project Sponsor Coordination

Public Workshop #2

STRATEGIC INVESTMENT PLAN (SIP)

Downtown Profile and Assessment

Community Vision, Goals, and Revitalization Strategies

Project Identification and Development

Draft Project Profiles

Refine Project Profiles

Draft SIP

Finalize SIP

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PLANNING PROCESS OVERVIEW

The following sections provide an overview of the key elements of the DRI and NYF planning processes. Detailed descriptions of each element are provided in Sections 2.0 through 6.0.

Public Engagement

Transparent, open, and ongoing public engagement is a critical component of the DRI/NYF planning process and the development of the SIP. Public engagement shall occur throughout the entire DRI/NYF planning process to ensure community needs, opportunities, and challenges are identified, to determine potential projects, and to ensure the DRI/NYF revitalization efforts are supported. For additional information and requirements, see Section 2.0: Public Engagement.

Downtown Profile and Assessment

The downtown profile and assessment shall provide a clear, concise, and compelling narrative that articulates the story of the downtown area and describes the future of the area and region. The profile and assessment should allow the reader to understand why this downtown will benefit from the DRI/NYF program and provide a logical basis for the projects recommended for DRI/NYF funding.

The profile and assessment will give the reader a sense of the downtown – its unique characteristics, strengths, and challenges. It is not intended to provide a comprehensive technical description of the downtown akin to what would be included in a comprehensive plan. While the consultant team will collect, analyze, and evaluate the demographics, market conditions, and other characteristics of the downtown to ensure that the project proposals included in the SIP are realistic and appropriate, the downtown profile and assessment will contain only a summary of this information. Further, the profile and assessment should provide some analysis of the downtown area and highlight any relevant key factors or trends. For additional information and requirements, see Section 3.0: Downtown Profile and Assessment.

Community Vision, Goals, and Revitalization Strategies

Informed by the community's DRI/NYF application and community input, the LPC will develop a vision statement with corresponding goals and revitalization strategies to guide decision-making about future development and investment in the DRI/NYF area. The vision statement is intended to be ambitious as well as illustrative of the community's vision for the future, which will be advanced through the implementation of DRI/NYF projects. For additional information and requirements, see Section 4.0: Vision, Goals, and Revitalization Strategies.

Project Development

DRI/NYF projects can be identified in a variety of ways, including the community's application, during an Open Call for Projects, through public engagement, or during the planning process as it advances. Consultant teams will work closely with project sponsors and the LPC to develop and refine proposed projects.

The LPC will recommend a final slate of projects to the State to be considered for DRI/NYF funding. These projects are expected to have positive and transformative impacts on the DRI/NYF community and will be a mix of public and privately sponsored projects. Detailed descriptions of each proposed project will comprise a majority of the SIP. The LPC will select the final slate of projects based on public input, LPC and community priorities, and evaluation criteria established by the LPC based on State requirements. For additional information and requirements, see Section 5.0: Project Development.

Project Implementation

Following the completion of the planning process is the selection and implementation of the awarded projects. Awarded projects will enter into contract with the appropriate state agency and are expected to break ground within two years of award. During project implementation, municipalities will be expected to track all awarded projects and continue the momentum of downtown revitalization, which can be guided by the roadmap for revitalization. For additional information and requirements, see Section 6.0 Project Implementation.

Strategic Investment Plan Compilation

The goals of the DRI and NYF programs should be reflected in each community's SIP and the projects therein. The SIPs, which will be prepared by the consultant teams, are a compilation of the required deliverables described throughout this guidebook. Each SIP will describe the unique challenges and opportunities for revitalization of the DRI/NYF area, present the community's vision for the future of the area, and propose transformative projects that may be realized with an investment of DRI/NYF funds.

Roles and Responsibilities

Overview

The DRI and NYF programs accomplish their goals through a unique State and local partnership that includes the Local Planning Committee (LPC), State staff, municipal representatives, and a consultant team. The LPC is responsible for representing the interests and priorities of the community, while the State staff ensures that the process and deliverables are consistent with the goals, priorities, and requirements of the funding programs. In addition, State and local staff, together with the consultant team, provide expertise, guidance, and technical assistance to develop an SIP that will achieve the vision and goals for revitalization of the downtown, as approved by the LPC.

Local Planning Committee

Each LPC is led by co-chairs consisting of the local elected official(s) and a member of the Regional Economic Development Council (or their respective designees). General membership of the LPC will include local and regional leaders, community stakeholders, and representatives from interest groups and organizations as appropriate to the community.

These groups may include, but are not limited to:

- Local and regional government officials;
- Neighborhood associations, homeowners, and renters;
- Property owners, local developers, and real estate agents;
- Chambers of Commerce, local business associations, and business owners;
- Community foundations and community loan funds;
- Local development corporations, housing corporations, industrial development agencies, and business improvement districts;
- Cultural institutions;
- Educational institutions;
- Local non-profit and advocacy organizations, such as environmental organizations and park conservancies; and
- Social and public service organizations, such as local public safety and health care providers, and faith-based organizations.

As representatives of a variety of interests within the community, the LPC members will be responsible for guiding the planning process and helping to identify the most appropriate range of community engagement approaches for the DRI/NYF area. The LPC members will also be expected to take an active role in public outreach and evaluate and select projects for inclusion in the SIP.

LPC members meet regularly to brainstorm ideas, provide direction and feedback to consultant teams, review planning products, and discuss community engagement efforts. All LPC meetings that are open to the public should provide an opportunity for public comment. The

SECTION **1.4**   ROLES AND RESPONSIBILITIES

LPC members, working with the consultant team and State planners, will determine the most appropriate meeting schedule to accomplish their goals and to deliver an on-time SIP. For additional information and requirements, see Section 2.3: Local Planning Committee.

LPC members will be required to sign a Code of Conduct as a reminder that they must always act in the public interest in their role as LPC members. Any member of the committee with a real or perceived conflict related to a specific project will be required to recuse themselves from voting on or opining on the project that presents a conflict while still participating in decision-making for other projects.

Municipal Representatives

Professional and administrative municipal representatives from the DRI/NYF community may provide local assistance to the consultant team and State team when local resources or expertise are needed. Municipal representatives may be asked to:

- Provide existing data to assist with the development of the downtown profile and assessment;

- Help develop publicly-sponsored projects by providing guidance regarding the municipality's project objectives/ preferences and providing studies, plans, or other documents related to project development;

- Identify any relevant municipal programs and initiatives and/or funding sources that could be leveraged;

- Help secure space for and advertise public events and LPC meetings; and

- Serve as a local point of contact during the DRI/NYF planning process.

As appropriate, municipalities are encouraged to partner with the county or other local or regional entities that may be able to provide technical assistance or other resources.

Project Sponsors

DRI/NYF funding may be awarded to public, not-for-profit, and private entities to implement projects included in the final SIP. Each project must have a project sponsor that has both the capacity and the legal authority to undertake the project and to whom the grant funds may be awarded. A project sponsor must be an entity and not an individual. A final determination will be made by the State following award announcement as to the entity that will hold the DRI/NYF project contract.

All project sponsors, including those for the projects that were in the community's application, are expected to provide project proposal information to the consultant team in order to be considered for DRI/NYF funding. During the planning process, project sponsors will work closely with the consultant team to provide information related to their proposed project, including, but not limited to existing project funding sources, the proposed scope of work and the tasks that will be accomplished with the DRI/NYF funding, and the project sponsor's capacity to implement and maintain the project. For additional information and requirements, see Section 5.0: Project Development.

Consultant Team

A consultant team, contracted by the State, will be assigned to each DRI and NYF community. The consultant teams are able to provide expertise in an array of planning disciplines, such as public engagement, market analysis, communications, and feasibility assessments. The consultant teams, in close coordination with State staff and the LPC, will lead all public engagement, project identification and development, and creation of all components of the SIP.

At the onset of the planning process, the consultant team will work with the LPC to identify the best strategies for engaging with the community. Those engagement strategies will continue to be refined throughout the planning process. In addition, the consultant team will lead the preparation for and facilitation and documentation of all LPC and public meetings/events.

With direction from the State team, guidance from the LPC, and following the requirements articulated in this guidebook, the consultant teams will also prepare all program documents, including the:

- Downtown profile and assessment;
- Downtown vision and goals, and revitalization strategies to achieve the vision and goals;
- Project profiles; and
- Downtown revitalization roadmap

The consultant will compile these documents into a cohesive Strategic Investment Plan. The consultant team will also assist the LPC in identifying key projects for implementation using DRI/NYF funding and will work with project sponsors to prepare detailed project profiles and analyses that demonstrate the feasibility and potential impact of projects. As needed, the consultant team will conduct additional research, market studies, and outreach to develop and demonstrate the feasibility of proposed projects.

State Team

Each LPC will receive support from a team of State staff. The State team, led by the DOS, will also include staff from HCR, ESD, and NYSERDA. This team will manage the consultant team assigned to the community, assist the consultant team and LPC in meeting preparation, and participate in the preparation and review of DRI/NYF documents.

- The DOS representative will bring planning and community engagement best practices to the process and be able to provide guidance and support for the DRI/NYF planning process, including Smart Growth and climate resilience strategies. The DOS representative will manage the consultant team and act as the liaison and primary point of contact for the State team.

SECTION **1.4** ROLES AND RESPONSIBILITIES

- The HCR representative will provide their knowledge of the community and expertise in housing development, Community Development Block Grants, and HCR grants and programs.

- The ESD representative will provide broad knowledge of past, present, and proposed development in and around the downtown and can provide information about a variety of other State funding programs that can support downtown revitalization.

- NYSERDA staff will support the planning process by providing technical assistance focused on identifying decarbonization strategies across multiple scales – from neighborhoods to individual buildings and sites. NYSERDA will also assist with identifying additional State and federal funding that can be used to achieve decarbonization efforts in DRI/NYF areas.

- Representatives from other State agencies may be engaged, as appropriate, to address the specific needs of each DRI/NYF community.

| **Albany Public Workshop** (DRI Round 3)

DRI/NYF Community Core Team

Overview

The rapid nature of the DRI/NYF planning process requires consistent communication among the municipality, LPC, consultant team, and the State. To do this, a core team consisting of municipal representatives, the LPC co-chairs, the consultant team, and the State team should be established at the beginning of the planning process. This team will coordinate logistics and scheduling, information sharing, and ultimately ensure that the process is moving forward as needed.

Core Team Meetings

The team should meet regularly, either weekly or bi-monthly. This meeting time should be established at or prior to the kick-off meeting and placed on all participants' calendars for the duration of the planning process. The core team meeting should take place on a virtual platform.

The meeting should always include municipal representatives, the LPC co-chairs, the consultant team, and the State team. However, others may attend depending on the phase of the planning process, and if additional expertise (e.g., public engagement specialists) is needed.

Core team meeting topics are intended to be flexible. Beyond coordinating logistics, these meetings may also be opportunities to review meeting materials and discuss data sharing, potential public projects, public engagement strategies and activities, language considerations, advertising methods, etc.

Roles and Responsibilities

The LPC Co-Chairs are expected to:

- Attend each core team meeting, as available
- Provide input and feedback from an LPC and municipal perspective

Municipal Representatives are expected to:

- Attend each core team meeting
- Provide input and feedback to the consultant team to help them navigate the local context and manage logistics

The Consultant Team is expected to:

- Set up the meeting via a virtual platform available to all participants
- Prepare and share a meeting agenda in advance of the core team meetings. This agenda should be shared no later than 24 hours in advance of the core team meeting
- Facilitate the meeting
- Develop meeting summaries and action items and responsibilities following each meeting

Kicking Off the DRI/NYF Planning Process

Overview

To kick-off the DRI/NYF planning process, a series of initial meetings will take place to introduce key parties, explain program objectives, and familiarize the DOS and consultant team with the community. The process, timing, and logistics of the meetings described below can differ from what is described and should be discussed and confirmed with the DOS Project Manager (PM).

State Team Meeting

The State team, led by DOS, will meet with the community shortly after the DRI/NYF award announcement. The purpose of this meeting is to introduce the State team to municipal representatives and become familiar with the community as well as potential projects. If possible and if time allows, the meeting should include a site tour of the downtown.

The DOS PM will prepare an agenda to include the following topics:

- Overview of the DRI/NYF area
- Overview of the DRI/NYF process and timeline, and Strategic Investment Plan components
- Overview of projects/sites identified in the DRI/NYF application
- Roles and responsibilities of the LPC, co-chairs, municipal representatives, State team, consultant team, and public
- Open Call for Projects
- Local Planning Committee member recommendations

- A discussion of community's capacity to support the DRI/NYF process. For example, a community may decide they need support from the county planning department or may need to contract with a planning or engineering firm.
- A DRI/NYF area tour led by the municipality

In order to minimize consultant team travel over the course of the program, the consultant team is not required to attend this kick-off meeting. Representatives from HCR and ESD should be invited to the meeting; however, their attendance is not required. Even though the consultant team is not required to attend this kick-off meeting, they may choose to attend in-person, or there may be an option where it makes sense for the consultant team to join virtually.

Consultant Kick-Off

Following the State team's meeting with the community, DOS will set up an initial core team meeting to introduce the consultant team to municipal representatives. Topics to be covered in this virtual kick-off generally include:

- Communication protocols between municipality, consultant team, and State team, including points of contact for regular correspondence and check-in schedules

- Public engagement, including LPC meetings, public events/workshops, key stakeholder interviews, public survey(s), available social media and online outreach methods, and local outreach activities.

- Downtown profile and information needs

- Project development process and technical support

- Meeting logistics (e.g., time options, location, and technology capabilities) for LPC meetings

- Discussion of the DRI/NYF area tour, including time, meeting location, tour methods (walking or driving), and attendees

DRI/NYF Area Tour

In advance of LPC Meeting #1 (likely same day as the meeting), municipal representatives will lead a DRI/NYF area-wide tour for the State team and the consultant team. The purpose of this meeting is to familiarize the consultant team with the downtown and potential DRI/NYF projects. The following are best practices for the tour include:

- If possible, have a large aerial printed map of the DRI/NYF area for reference during the meeting and small maps available for the walking tour with key landmarks and potential projects/key sites.

- Keep the number of participants at the meeting and tour to a manageable number. There is a lot of information to exchange, so only key people who will be involved in the planning process and can provide insight into the community's goals should be invited.

- A walking tour is highly recommended; however, accessibility of all participants must be considered and accommodated. A backup option in case of poor weather should also be anticipated.

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Public Engagement

In this Section:

SECTION **2.5**   **Local Outreach Activities**

SECTION **2.6**   **Project Identification**

SECTION **2.1**

Introduction

Broad, inclusive, and frequent public outreach is an essential component of the Downtown Revitalization Initiative and NY Forward planning processes, as public input plays an important role in the creation of the community's vision and goals and in the identification of projects and development of the Strategic Investment Plan.

Public engagement should begin at the onset of the planning process and continue throughout the development of the Strategic Investment Plan (SIP). Engagement must be tailored to the local community and may take a variety of forms, with a focus on informing and educating the community about the Downtown Revitalization Initiative (DRI) and NY Forward (NYF) programs, soliciting and receiving input on the community's vision, goals, and proposed projects, and building support for SIP implementation.

Engagement activities should encourage participation from a broad and diverse population, and the consultant team must design events that encourage openness and innovation. Events will be held at milestones during the planning process, as described in the following sections.

Local Planning Committee (LPC) members will play a pivotal role in public engagement by helping to identify key individuals and organizations that should be involved in the planning and implementation process and by determining the best way to involve them. Inclusion and equity are critical to the public engagement process; therefore, outreach strategies must be employed to engage all impacted stakeholders and community members, particularly from often hard-to-reach communities.

SECTION **2.1**   INTRODUCTION

Public Engagement Minimum Requirements:

DRI	NYF

6

LPC Meetings

2+

Public Workshops

1

Project Website

3+

Local Outreach Activities

6

LPC Meetings

2+

Public Workshops

1

Project Website

2+
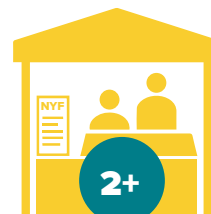
Local Outreach Activities

Engagement Schedule

Public engagement should occur early and consistently throughout the entire planning process. The graphic to the right summarizes the anticipated public meetings and engagement activities and the order in which they typically occur in the planning process. The timing of when these activities will occur in the planning process will depend on the needs of the community.

As part of the planning process, the consultant team, with input from the LPC and State team, will plan and facilitate different types of engagement activities intended to engage a broad audience, including hard-to-reach populations (e.g., racial minorities, immigrant populations, low-income populations, the disability community). More information about each type of required engagement activity are provided in the following sections.

Best Practices for Public Event Notification

- Advertise all public events with a variety of media, including flyers, postcards, newspapers, municipal mailings such as water bills, social media, the project website, press releases, and email blasts.

- Post all public events at public locations, including libraries, community centers, farmer's markets, etc.

- Provide at least two weeks notice in advance of every public event.

- Encourage LPC members to share public event notices with their professional networks

☑ **LPC Meeting #1**

☑ **Public Workshop #1**

☑ **LPC Meeting #2**

☑ **LPC Meeting #3**

☑ **LPC Meeting #4**

☑ **Public Workshop #2**

☑ **LPC Meeting #5**

☑ **LPC Meeting #6**

Stakeholder meetings, project sponsor coordination, local outreach activities, and online outreach must be conducted throughout the entire planning process.

| Islip Public Workshop (DRI Round 3)

Best Practices + Requirements for Public Events

Overview

The following best practices and requirements should be considered for all public events including LPC meetings, public workshops, and local outreach activities.

All consultant teams must review the information on the Public Engagement Event Planning Guide with the DOS project manager in advance of any public engagement event, including public workshops, local outreach activities, stakeholder sessions, and any other events where the consultant team is engaging the public and stakeholders. Consult with your DOS project manager on planning all public engagement events.

Prior to the Meeting/Event

- Consult the Public Engagement Event Planning checklist and review with the DOS PM.

- Visit the venue where the public event will be held to assess room layout, audio-visual equipment capabilities and quality, acoustics, and internet connection.

- Advertise all public meetings with a variety of media, including flyers, postcards, newspapers, inserts in municipal mailings such as water bills, social media, the project website, press releases, and email blasts.

- Provide at least two weeks public notice in advance of every public meeting.

- Create and distribute an agenda for each meeting so that the intent and goals of the session are clearly communicated to all participants.

- Hold public meetings in ADA-compliant venues with convenient access to major transportation/transit networks.

- Develop presentation materials that are graphically appealing and legible.

- Arrive at least one hour in advance of a meeting to ensure the room is properly set up, materials are distributed and/or displayed, and equipment is functioning.

- Submit all materials (flyers, press releases, agendas, handouts, presentations, etc.) to the DOS project manager prior to distribution and in advance of all meetings and events. The deadlines for submitting materials will be set by the DOS project manager.

During Meeting/Event

- Meetings should be engaging, interactive, and informative.

- Document all meetings with photos.

- Have all in-person attendees sign in to any meeting or event.

After the Meeting/Event

- Post meeting materials and PowerPoints on website within two days of meeting

- Establish the virtual engagement option to obtain input similar to the feedback solicited at the in-person event.

- Develop a meeting summary within two weeks and distribute to the State team for review.

- If the community is using social media to advertise events, post an announcement to the appropriate outlet(s) informing the community of the meeting and the available materials for review.

Public Engagement Event Planning Guide

The following questions should serve as a guide when planning public engagement events. The consultant team should consult this list of questions with the DOS project manager to ensure that the event is well-planned. Public engagement events include workshops, information sessions, the Open Call, stakeholder sessions, local outreach activities, and any other events where consultants are engaging the public and stakeholders.

The consultant team is not required to submit answers to these questions; however, they should be prepared to discuss each event in this level of detail.

Purpose
1. What is the type of the event (e.g., workshop, information session, etc.)?
2. What is the purpose of the event?
3. What are the desired outcomes from this event?
4. How will this event inform the planning process or project development?

Logistics
1. What is the time and location of the event?
    a. Is the meeting location ADA-accessible?
    b. Is the meeting location near transit stops, if transit is available?
3. How will the event be advertised?
    a. When will advertisement of the event begin?
    b. How frequently will the event be advertised?
    c. What methods of advertisement (social media, traditional media, press releases, etc.) will be used?
4. What is the format of the event?
    a. What materials are needed?
    b. Is there a detailed agenda with associated responsibilities (from set-up to clean-up)?
    c. What information is being solicited and how?
4. How will this event incorporate the diverse language needs of the community, if applicable?
5. How will you obtain feedback from the public who is not able to attend this event in person?
6. What technology will this event require (e.g., screen, internet connectivity, etc.)?

Other
1. How will hard-to-reach populations be engaged in this event, if applicable?
2. What is the follow-up for this event? How will this information be shared with the core team, community, and the LPC?
3. What is the complementary online component for this event?
    a. How will this component be advertised?
    b. How long will participants be able to access this component?

Local Planning Committee

Overview

As the steering body of the process, the LPC will meet regularly to brainstorm ideas, provide direction to the consultant team, review planning products, discuss potential projects, and prioritize actions. The LPC members, working with the consultant team and State team, will determine the most appropriate meeting schedule to accomplish their goals and to deliver an on-time SIP.

LPC Meetings

All LPC meetings are encouraged to be in person; however, hybrid or virtual-only meetings may be an option based on local considerations and consultation with the State team. The meetings must be open to the public. The extent to which the public will be able to actively participate in a meeting will depend on the purpose and structure of each LPC meeting. At a minimum, time should be reserved at each LPC meeting for public comment.

In general, LPC meetings will cover the topics outlined in the following list. Please note each community's planning process will differ, and therefore the proposed meeting topics may be adjusted to better meet the specific needs of a community.

LPC Meeting #1. Topics to be covered during this meeting include:

- Team introductions
- Overview of the DRI/NYF program
- Overview of planning process scope and timeline
- Community's DRI/NYF application
- Confirmation of the DRI/NYF boundary as compact, walkable, and well-defined
- Public engagement and Open Call for Projects
- Stakeholders, various constituent groups, and hard-to-reach populations to engage
- Downtown opportunities and challenges
- Public comment

LPC Meeting #2. Topics to be covered during this meeting include:

- Planning process and engagement updates
- Summary of past plans and recent investment
- Overview of characteristics of strong DRI/NYF projects and slates of projects
- Project evaluation criteria
- Vision and goals for downtown
- Open Call for Projects
- Public comment

LPC Meeting #3. Topics to be covered during this meeting include:

- Planning process and engagement updates
- Vision, goals, and revitalization strategies for downtown
- Downtown profile key findings/takeaways
- Project evaluation criteria
- Proposed projects
- Projects to remove from funding consideration, as appropriate
- Proposed boundary amendments that may be needed to incorporate potentially transformative projects
- Public comment

LPC Meeting #4. At this point in the planning process, LPC meetings will shift to focus on developing and evaluating the proposed projects. Topics to be covered during this meeting include:

- Planning process and engagement updates
- Project evaluation criteria
- Proposed projects
- Additional project information needed to support decision-making
- Projects to remove from funding consideration, as appropriate
- Public comment

LPC Meeting #5. Developing and evaluating the proposed projects will continue at this meeting. Topics to be covered during this meeting include:

- Planning process and engagement updates
- Project evaluation criteria
- Proposed projects
- Additional project information needed to discuss decision-making
- Projects to remove from funding consideration, as appropriate
- Public comment

LPC Meeting #6. By the end of this meeting, the LPC should be prepared to finalize the slate of proposed projects recommended for funding. Ideally, only a few projects will need to be removed from consideration at this meeting to arrive at the final slate of projects. Topics to be covered during this meeting include:

- Project evaluation criteria
- Proposed projects
- Projects to remove from funding consideration, as appropriate
- Vote on the final slate of proposed projects
- Public comment

SECTION **2.2**   LOCAL PLANNING COMMITTEE

LPC Working Sessions

The LPC may hold working sessions, as needed, to dig deeper into an issue, sometimes with the help of non-committee members, such as local businesspersons, labor specialists, academic experts, and neighborhood advocates. Working sessions, which need not be open to the public, provide an opportunity for brainstorming and in-depth discussions focused on specific topics or projects. They also allow for better time management at LPC meetings. No decision-making may occur during these sessions, and information discussed in these sessions will be reported out at LPC meetings. Though not a requirement of the DRI/NYF planning process, working groups may be developed around any topic, such as public engagement, developing projects, and reviewing and discussing proposed projects.

Roles and Responsibilities

The LPC is expected to:

- Attend each LPC meeting
- Review all available project materials in advance of each meeting and come prepared for a productive discussion
- Actively participate in dialogue regarding all aspects of the DRI/NYF planning process and project selection
- Help advertise LPC meetings by sharing meeting notifications with colleagues and networks
- Assist in identifying and engaging hard-to-reach populations or representatives
- Disclose any actual or perceived conflicts of interest including recusing oneself as they pertain to project development

Municipal Representatives are expected to:

- Assist with securing a meeting venue
- Attend each LPC meeting and be prepared to provide information regarding proposed projects sponsored by the municipality
- Help advertise LPC meetings by sharing meeting notifications with the public using municipal outlets

The Consultant Team is expected to:

- Lead the planning and preparation for all LPC meetings, including meeting logistics and meeting notifications
- Develop all necessary materials to support LPC meetings and solicit feedback in an engaging, well-informed manner
- Facilitate all meetings
- Set-up and break-down for all meetings
- Develop meeting summaries for all meetings

SECTION 2.2   LOCAL PLANNING COMMITTEE

| **Penn Yan LPC Meeting** (DRI Round 3)

| **Brooklyn LPC Meeting** (DRI Round 3)

Best Practices + Requirements for LPC Meetings

In addition to following the [Best Practices + Requirements for Public Events](#), the following best practices should be considered for LPC Meetings, specifically.

Scheduling Meetings

- It is best to schedule all LPC meetings at the beginning of the process to ensure that LPC members can best avoid conflicts. Calendar invites should be sent as soon as possible for all LPC meetings.

- Because there is a chance that the LPC will need more time to discuss projects, it is strongly recommended that an extra LPC meeting be scheduled, in case there is need for it.

Preparing for LPC Meetings

- Prepare an agenda for each LPC, which shall follow this general format:
  – Opening remarks from the LPC co-chairs
  – Code of Conduct Preamble/Reminder
  – Recap accomplishments to date and lay out the purpose and goals for the meeting
  – Conduct meeting activities
  – Summarize meeting accomplishments, discuss upcoming activities, and preview the next meeting
  – Closing remarks from the co-chairs

- All materials (agendas, handouts, presentations) should be reviewed and approved by the DOS project manager in advance of LPC meetings, based on deadlines set by the DOS project manager.

- Final agendas and meeting materials (e.g., project summaries) should be provided to the LPC with sufficient time for review prior to the LPC meeting.

- An LPC meeting reminder should be sent approximately 24-48 hours in advance of the LPC meeting.

Setting Up LPC Meetings

- Set up the meeting room to facilitate conversation among LPC members. When possible, a u-shaped layout or similar should be used at all LPC meetings and working sessions. The diagram on the following page shows a typical u-shape layout that has worked well for past LPC meetings.

- With the exception of the lead consultant presenter and a support staff member, coordinating the slides/notes, only LPC members and the State team (DOS, ESD, and HCR) should sit at the table. All other consultant team members should sit to the side or with the members of the public.

LPC Meeting Layout
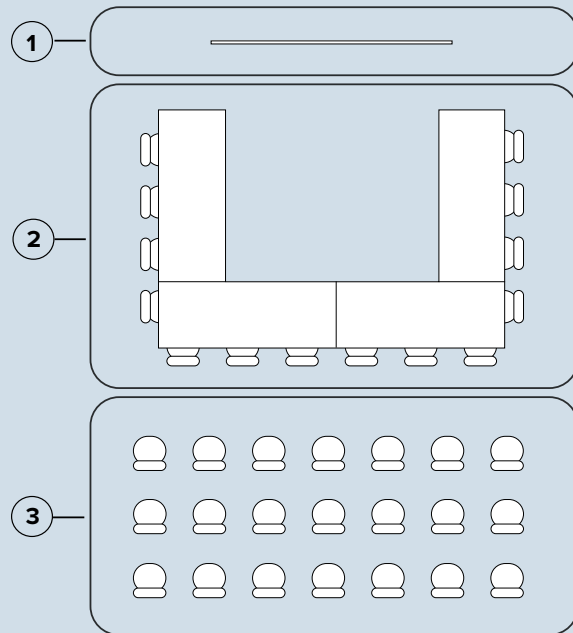
① Presenter(s)

② LPC Members and State Staff

③ Members of the Public

During LPC Meetings

- Consultants should not record LPC meetings, but if the municipality wants to record or live stream the meetings, that can be done at their discretion. Consultants may record th meetings for purposes of assisting with note-taking and providing meeting summaries, but recordings should not be disseminated publicly.

- When possible, document all comments/ideas on a flip chart or dry erase board so that everyone can visualize the discussion as well as the progress and decisions made.

- Ensure that each LPC member has the opportunity to contribute and that the conversation is not dominated by a few LPC members. The consultant team should work with the co-chairs to ensure that each LPC member has the opportunity to contribute.

After LPC Meetings

- Develop meeting summaries by a deadline established by your DOS project manager and distribute to the State team for review.

  – LPC meeting summaries should contain brief meeting minutes and a summary of public input, if applicable.

- Post PowerPoint presentations and meeting summaries to the DRI/NYF website after review by the State team.

- For LPC members who may not actively participate during the meetings, outreach to them outside of LPC meetings is important to ensure their thoughts and ideas are included in the process.

LPC Work Sessions/Work Group Meetings

- LPC work sessions/work groups typically consist of a subset of LPC members who are interested in diving deeply into a topic. In previous DRIs and NYFs, LPCs have had work sessions topics such as:
  - In-depth discussion of major challenges/opportunities
  - Potential public improvement projects
  - Discussion of public engagement techniques
  - In-depth review of project proposals

- While work sessions or work groups meetings are not required to be open to the public, no decision-making should occur during these sessions. A summary of these session(s) should be presented at subsequent LPC meeting(s).

- Consultant teams are not required to attend these meetings, but they may need to prepare materials, such as project backgrounds, for such meetings.

LPC Meeting #1

The DOS project manager and the consultant team will collectively lead the first Local Planning Committee meeting. Prior to the first LPC meeting, the DOS project manager will provide the consultant team with a presentation, which can be modified as needed. DOS will be primarily responsible for providing an overview of the following topics:

- Brief overview of the Code of Conduct
- Roles and responsibilities
- DRI/NYF program goals, planning process, and timeline
- Project requirements
- Open Call for Projects
- Project Evaluation

The consultant team will be primarily responsible for addressing the following topics, as appropriate:

- Public engagement, including outreach strategies, the community charette, local outreach activities, hard-to-reach populations, and other relevant topics
- Downtown opportunities and challenges
- Downtown vision
- Community's DRI/NYF application (may be designated to the community
- Meeting schedule for LPC meetings and public engagement events

At this meeting, the consultant team should provide a copy of the community's DRI/NYF application and the Code of Conduct to each LPC member. Additional materials, such as the public DRI/NYF Guidebook may also required, at the DOS project manager's request.

Disclosure and Recusals

- At the beginning of each LPC meeting, one of the co-chairs or the DOS project manager should read the Code of Conduct preamble with a list of previously disclosed conflicts and ask if there are additional recusals. The preamble should be provided to the co-chairs in advance of the meetings. The preamble is as follows:

  Each Local Planning Committee Member is reminded of their obligation to disclose potential conflicts of interest with respect to projects that may be discussed at today's meeting. If you have a potential conflict of interest regarding a project you believe will be discussed during the meeting, please disclose it now and recuse yourself from any discussion or vote on that project. For example, you may state that you, or a family member, have a financial interest in the project, or you are on the board of the organization proposing the project.

The conflicts of interest we have on file include (insert list of LPC members names, affiliation, and project with the conflict).

Do any LPC members need to make a disclosure to the Committee? (Pause for additional disclosures.) Thank you.

Please inform the LPC co-chairs during the meeting if the need to disclose a conflict arises unexpectedly, and then recuse yourself from discussion or voting on the project.

- LPC member should sign the Code of Conduct as soon as possible and no later than after the first LPC meeting. Consult with your DOS project manager to determine how they will be collected. All Code of Conduct forms must be provided to the DOS project manager.

- LPC members should disclose involvement in a project, even if it does not require recusal at the beginning of each meeting.

- LPC members should also note any recusals at the beginning of each meeting. LPC members may be present for factual presentations of project information and may respond to questions if they are a project sponsor. However, when a discussion of that project occurs, the LPC member must not engage in that discussion.

- DOS project managers will primarily manage this process and maintain records of disclosures and recusals, but consultant teams should be aware of recusals as part of meeting facilitation and be prepared to intervene if someone is speaking on a project when they should not be.

✅ LPC Meeting Material Checklist

This checklist defines the minimum required meeting materials for each LPC meeting. Consultant teams should use this checklist to aid in LPC meeting preparation.

- ◯ Sign-in sheet(s) for LPC members and members of the public

- ◯ Agendas

- ◯ Name tents for LPC Members and State representatives

- ◯ Hard copies of proposed project list(s), including the project sponsor, DRI/NYF funding request, total project cost, and a short description for each proposed project being considered by the LPC (this is only required once the Open Call has closed)

- ◯ Hard copies of relevant project deliverables (e.g., community vision, goals, and revitalization strategies)

- ◯ Handouts summarizing public feedback

- ◯ Hard copies of the meeting presentation for LPC members and State representatives (can be printed with multiple slides per page and double sided)

- ◯ Comment cards for the public to submit written comments, as appropriate

- ◯ Extra pens and/or markers

- ◯ Presentation equipment (screens, projectors, etc.) If the meeting room acoustics make it difficult to hear speakers, additional audio equipment, such as microphones, may be necessary.

- ◯ **At the first LPC meeting, the consultant team should provide a binder to each LPC member with the community's DRI/NYF application and the Code of Conduct. The DOS project manager may request additional materials such as the DRI/NYF Guidebook.**

Public Workshops

Overview

The purpose of public workshops is to solicit ideas and feedback from the public regarding various planning topics applicable to the preparation of the SIP. Public workshops may take various forms and include activities such as presentations, open houses, and design charettes. Public workshops should have a complementary online component to allow for the public to provide input outside of workshops. These public workshops are intended to be interactive, and should be held at key milestones during the DRI/NYF planning process.

The following section describes the topics that may be covered at each public workshop. However, please note that the format and content of each public workshop will vary and should be tailored to meet the unique needs of each community.

An additional public workshop may be necessary based on the community needs and interests. The need for and timing of a potential third public workshop will be determined based on consultation with the LPC, State team, the community, and the consultant team.

| **Cortland Public Event** (DRI Round 2)

Public Workshops

Public Workshop #1. This should occur between the first and second LPC meetings in order to gather information to help the LPC formulate a final vision statement and goals. Topics to be covered during this meeting include:

- Overview of the DRI/NYF program
- Identification of needs, challenges, and opportunities that impact the DRI/NYF community's revitalization
- Solicitation of project ideas
- An interactive component to solicit feedback on community needs, challenges, and opportunities; and community vision and goals

Public Workshop #2. This should occur after the LPC has reviewed all proposed projects in order to inform project development. This event will likely occur around the third or fourth LPC meeting. Topics to be covered during this meeting include:

- Status update of the DRI/NYF process
- Key findings from the downtown profile and assessment
- Description of the community vision statement and goals
- An overview of proposed projects, including an interactive component to solicit public feedback

Immersive Engagement

Public Workshop #1 should be part of an immersive multi-day series of engagement events at the beginning of the public engagement process. Holding a series of events that may include stakeholder meetings, information sessions, design charettes, DRI/NYF area tours, or pop-up events, among others, at the beginning of the process will help build community trust, educate the public about the DRI/NYF program, and serve as an opportunity to develop and solicit information that will inform the planning process.

The goal of immersive engagement is to ensure that the public is engaged and aware of this transformative planning process and can meaningfully contribute as DRI/NYF will help reshape their community's downtown. Extensive engagement at the beginning and throughout the planning process will help result in a shared and broadly supported vision for downtown, supporting the successful implementation of selected projects and ongoing downtown revitalization. The types of engagement events will be discussed with the LPC, State team, and consultant team to determine what is appropriate for the local context.

Public Workshop #3. If a third public workshop is needed, this workshop may occur after the LPC has voted on the final slate of proposed projects, likely following the final LPC meeting. Alternatively, if the LPC would like public input prior to finalizing the slate of proposed projects, this may occur in advance of the final LPC meeting. Topics to be covered during this meeting include:

- An overview of the community's DRI/NYF journey
- A review of the final list of proposed projects recommended by the LPC for inclusion in the SIP
- Next steps regarding project awards and implementation

Roles and Responsibilities

The LPC is expected to:

- Serve as a liaison to the broader community and encourage attendance by helping to advertise meetings and sharing meeting notifications with their colleagues and network
- Advise the consultant team on the appropriate outreach methods and activities
- Actively participate in public workshops

Municipal Representatives are expected to:

- Help coordinate the logistics of public workshops, including venue recommendations
- Help advertise public meetings by sharing meeting notifications with the public using municipal outlets

The Consultant Team is expected to:

- Lead the planning and preparation for all public workshops, including development of meeting flyers and other notifications
- Develop all necessary materials to support the public workshop activities and solicit feedback in a fun, interactive manner
- Facilitate the meeting
- Ensure broad and inclusive participation (e.g., providing translation services, conducting outreach to hard-to-reach populations)
- Set-up and break-down the meeting
- Develop a meeting summary for each event

Best Practices + Requirements for Public Workshops

Overview

When planning for public workshops, consultant teams should incorporate the best practices and requirements for public events, where possible. Public workshops should also be designed to be engaging and interactive and maximize public input opportunities. Each public workshop should strive to have an interactive component.

Considerations for Designing Public Workshop Activities

When designing the activities to be included in the public workshop, the following are best practices from previous DRI/NYF rounds.

- Use a variety of interactive planning exercises (e.g., asset and opportunity mapping, post-it activities, board and stickers, appropriately scaled design charettes) to engage the public.

- Avoid doing activities that imply ranking or prioritization of individual projects.

- Use activities that solicit feedback from the public that can be used to inform and improve proposed projects. For example, "What do you like about this project?" and "What can be improved about this project?" Or use a visual preference survey to help figure out what types of amenities might be wanted in a public space to inform project concept.

- Project evaluation exercises with the public in the latter public workshops can be valuable but should be carefully framed. For example, avoid developing activities that function as a "select your favorite project" activity. Rather, develop activities that have the public evaluate how proposed projects meet the community's vision/goals or assess a project's transformative or catalytic potential.

- Employ activities that obtain qualitative feedback about the project that can be summarized in the Project Profiles.

Public Workshop Requirements

In addition to following the Best Practices + Requirements for Public Events, the following should be done for Public Workshops:

- Brainstorm and discuss the proposed format and techniques with the DOS project manager using the Public Engagement Event Planning Guide as reference.

- Review the proposed format and techniques with the core team in advance of the workshop.

- Share all materials, including presentations, boards, etc, with the DOS project manager for review and approval in advance of the public workshop, based on deadlines set by the DOS project manager.

- Advertise/promote public workshops and associated activities well in advance to maximize attendance and participation. The following are potential ways to promote within the community:
  - Flyers
  - Social Media
  - Press releases
  - Local Newspapers, television stations, radio stations
  - Other local outreach channels as applicable

- Provide translation services and translated documents upon request. *If there is a relatively high proportion of the population that speaks a language other than English translation services should be provided at all public meetings and for all public notices.*
- Immediately before or after the workshop, post workshop materials to the DRI/NYF website.
- Develop and advertise a complementary online component to the public workshop to collect input from those not able to attend in person
- Develop a meeting summary that includes a brief description of the meeting format, content presented, and a synthesis of public feedback received. Detailed meeting minutes are not required.

✅ Public Workshop Materials Checklist

This checklist defines the minimum required meeting materials for each public workshop. Consultant teams should use this checklist to aid in public workshop meeting preparation.

- ◯ Sign-in sheet(s)
- ◯ Agendas
- ◯ Necessary equipment for meeting set-up and display
- ◯ Applicable project materials for workshop set-up and presentation (e.g., visioning exercises, poster boards of proposed projects, etc.)
- ◯ Large-format map(s) of the DRI/NYF area for the public to view
- ◯ Hard copies of relevant project handouts and advertisement (e.g., about the DRI/NYF program, project website, public surveys, etc.)
- ◯ Extra pens and/or markers

Immersive Engagement

Immersive engagement at the beginning of the process is essential to ensure the planning process is perceived to be fair, transparent, and inclusive. It will also provide the consultant team with more detailed on-the-ground observations and stakeholder input that can guide the development of the vision, goals, revitalization strategies, and projects.

A menu of engagement opportunities should be shared and discussed with the core team to determine the best mix of activities to produce quality outcomes.

Additional engagement activities outside of Public Workshop #1 may qualify as one of the required local outreach activities.

Potential Activities
- Open house
- Downtown business tour and survey
- Public DRI/NYF area walking tour
- Information session(s)
- Stakeholder meeting(s)
- Community design charette about large public/community projects where public feedback is wanted
- Youth engagement activity(ies)
- Pop-up event(s)

Potential Topics
- Overview of the DRI/NYF program
- Overview of what downtown revitalization is and how it occurs
- Community's DRI/NYF application
- Identification of needs, challenges, and opportunities that impact the DRI/NYF community's revitalization
- Visioning and goal setting
- Open Call for Projects
- Solicitation of project ideas
- Public project development

Example of Immersive Public Engagement

City of Watertown, DRI Round 2

In Watertown, the consultant team hosted a multi-day, highly interactive Community Planning and Design Workshop early in the planning process to educate the community, engage the public, solicit input and generate public project feedback. Formal and informal activities were held over three days and included:
• Graffiti wall exercise to inform the vision and goals
• Public walk & talk tour of downtown
• Focus group discussions
• Movie night with vision discussion
• Public project charette
• Stakeholder meetings

Key takeaways were presented to the LPC and used to inform project development and Strategic Investment Plan components.

Online Engagement

Overview

Online engagement — through various web-based and social media platforms — has increasingly become an important and common method for disseminating public information and obtaining feedback. Online engagement should be used in conjunction with varied forms of in-person outreach. An online presence should be established for each DRI/NYF community, as described below.

Project Website

DRI/NYF municipalities are required to have a project-specific website that is maintained for the duration of the planning process. The project website can be a standalone website created and maintained by the consultant team; or it can be dedicated page on a municipality's website, with content prepared by the consultant team. The website is intended to serve as a project portal to disseminate project information, advertise public events, post meeting summaries and presentations, provide a way for the public to provide comments, and provide contact information for project-related questions.

The State also maintains websites with information about the DRI/NYF programs and participating communities:

DRI: https://www.ny.gov/programs/downtown-revitalization-initiative

NYF: https://www.ny.gov/programs/ny-forward

Social Media

Social media may be used to bolster a DRI/NYF community's online presence and reach a broader audience in order to disseminate information about the DRI/NYF planning process, upcoming public events, and as an additional platform to encourage public comment. Social media is not required, and its use will depend on local context and needs.

Roles and Responsibilities

The LPC is expected to:

- Identify online platforms that will most effectively engage the local community
- Share social media posts and other online materials with their networks

Municipal Representatives are expected to:

- Identify online platforms that will most effectively engage the local community
- Share social media posts and other online materials with the public using municipal outlets

The Consultant Team is expected to:

- Create a project website
- Develop and maintain online content
- Post regularly to the different online platforms to solicit public input and advertise upcoming meetings

SECTION **2.4**   ONLINE ENGAGEMENT

Social Media

Comment Forms

Examples of Online Engagement

Project Website

Document Access

Online Surveys

ⓘ

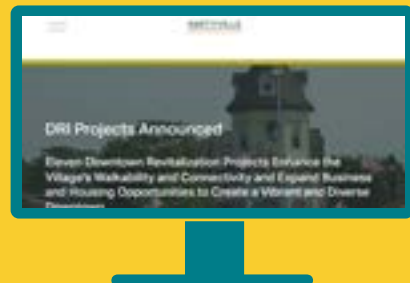## Project Website Example

Are you interested in seeing what a project website looks like? Click here to see the project website for Amityville (DRI Round 5):

www.amityvilledri.com

DRI Projects Announced

Eleven Downtown Revitalization Projects Enhance the Village's Walkability and Connectivity and Expand Business and Housing Opportunities to Create a Vibrant and Diverse Downtown

Best Practices + Requirements for Online Engagement

Project Website

The project website may be hosted on a standalone website or on the municipality's existing website. Regardless of where it is hosted, the following components must be included and updated regularly on the project website:

- Map of the DRI/NYF boundary;
- Overview of the DRI/NYF program;
- DRI/NYF planning process/timeline;
- Link to the NYS DRI or NYF website;
- Public engagement notices (including LPC meetings, public workshops, and other targeted outreach);
- A place for the public to submit general comments or questions
- LPC meeting and public workshop presentations.
- Summaries of LPC meetings and public workshops. Summaries should be posted on the DRI/NYF website in accordance with the deadline established by your DOS project manager.
- Online public comment opportunities that complement the public workshops. The website should have an online component that presents the same information and solicits similar feedback as the in-person public workshop.
- Regularly monitor the website for comments and questions and respond to them in a timely manner.
- **After the LPC has voted on the final slate of projects, the project list must be posted to the website.**
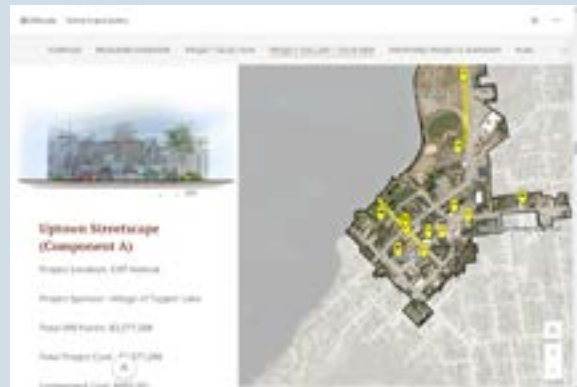
Tupper Lake Online Project Gallery (DRI Round 5)

Ossining Project Survey (DRI Round 5)

Suggestion: If a separate DRI/NYF website was established for this process, discuss the options for maintaining the website and/or the website's content with the community before the planning process concludes. This can include transferring the domain ownership to the municipality or transferring content to the municipal website. The website may be a place where the community wants to post updates on the award and implementation process.

Effective Social Media Presence

For communities where social media could be an effective tool to inform the public about the DRI/NYF process, the following should be considered:

- **Know your audience.** Social media should be tailored to the DRI/NYF community and posts should be clear and accessible to a wide range of ages and abilities.

- **Keep it short and simple.** Posts should contain short descriptions and important information (what, where, why, and when) for LPC meetings, public workshops, and other events. Posts need to succinctly give the public a reason to attend.

- **Make it pop.** The use of images, videos, and infographics can help increase interest and increase engagement.

- **Keep it consistent.** Consistency is key to effective communication and establishing a style or brand early on can increase the DRI/NYF community's following.

- **Post consistently.** Establishing a general schedule to follow at the onset of the planning process will provide a foundation for increased utilization and larger impact. A general schedule may include types of content to post, days to post content, and time(s) to post content.

- **Post frequently.** Posts should inform and provide reminders to followers related to upcoming LPC meetings, public workshops, and other public engagement events/opportunities.

- **Be inclusive.** Social media posts should be multi-lingual if this is an identified need in the community.

- **Use in the correct context.** Do not rely on social media in communities where it is not a proven communication tool or where Internet accessibility is a challenge.

Facebook post in Spanish in Haverstraw (DRI Round 5)

Public Workshop flyer in Norwich (DRI Round 5

Local Outreach Activities

Overview

While all public engagement should be locally tailored, the consultant team should plan and facilitate local outreach activities to engage a broad range of constituents. Local outreach activities are specifically tailored to engage the local community. These activities differ from public workshops in that they are geared toward meeting members of the community where they already are. Every DRI community is required to conduct at least three local outreach activities, and each NYF community is required to conduct at least two local outreach activities.

What to Expect

Local outreach activities should focus on developing activities that are unique to the community. While all public engagement should take the local context into consideration, local outreach activities should be unique to the individual community and may include activities like setting up a pop-up event at a local festival or school event or holding stakeholder round tables (see the next page for more examples). These activities should be customized to share and solicit relevant information that will inform and advance the DRI/NYF planning process. For example, an activity held at the beginning of the planning process may focus on identifying needs, opportunities, and challenges, visioning activities, or soliciting project ideas. Activities held later in the process may focus on gathering community feedback on the proposed projects.

Roles and Responsibilities

The LPC is expected to:

- Identify existing local events and community meetings where information about the DRI/NYF program can be shared
- Recommend engagement strategies that have been successful in engaging a broad spectrum of the community in the past

Municipal Representatives are expected to:

- Identify existing local events and community meetings where information about the DRI/NYF program can be shared
- Recommend engagement strategies that have been successful in engaging a broad spectrum of the community in the past
- Help with event planning and coordination, as needed

The Consultant Team is expected to:

- Lead the planning and coordination of all events
- Develop all the materials needed for each event (e.g., large format display boards, brochures, interactive activities, comment cards, sign-in sheets, etc.)
- Facilitate and staff each event
- Set-up and break-down each event

SECTION 2.5 LOCAL OUTREACH ACTIVITIES

Examples of Local Outreach Activities

- Public walking tours of the DRI/NYF area and potential projects

- Pop-ups at community events (e.g., farmer's market, festival)

- Social events like a movie night or restaurant crawl to share and gather information

- Presentations at standing community meetings to share information about the DRI/NYF program and solicit input

- Partnering with local businesses to establish a downtown project information center in a high traffic location

- Collaborating with the local school system to host a workshop with students and faculty

| **Geneva Open Storefront**
(DRI Round 1)

| **Peekskill Pop-Up Event**
(DRI Round 4)

| **Massena Pop-Up Event**
(DRI Round 5)

Stakeholder Engagement

The purpose of stakeholder engagement is to expand awareness about the DRI/NYF planning process, proactively solicit community needs, opportunities, and project ideas, and seek feedback from individuals and groups associated with and/or impacted by the proposed projects. Stakeholder meetings should include targeted outreach to hard-to-reach populations.

Stakeholders should be engaged from the beginning of the planning process with ongoing engagement throughout the entire DRI/NYF planning process to ensure stakeholders are aware of the ongoing planning and project development. Stakeholders to engage with may include the following:

- Business improvement districts
- Non-profit organizations
- Cultural and educational institutions (e.g., schools, libraries, museums)
- Business owners, Chambers of Commerce, professional organizations
- Special interest groups

- Block clubs and other civic groups
- Community leaders
- Organizations working with hard-to-reach populations
- Youth groups
- Municipal staff
- Senior citizen groups

I **Coxsackie Engagement Event** (NYF Round 1)

SECTION 2.5 — LOCAL OUTREACH ACTIVITIES

| **Cornwall Engagement Event** (NYF Round 1)

| **Owego Engagement Event** (DRI Round 3)

Best Practices + Requirements for Local Outreach Activities

Overview

A variety of public engagement techniques should be used to engage a wider range of participants. The appropriate local outreach activities should be identified in close consultation with the LPC and generally follow the best practices detailed in Best Practices + Requirements for Public Events. Consultant teams should consult the Public Engagement Event Planning Guide and consider the following additional guidance when developing these activities.

Requirements

- Review the proposed activity format and techniques with the DOS project manager and the core team in advance of the activity.

- Provide translated documents, particularly if there is a relatively high proportion of the population that speaks a language other than English.

- Develop a summary that includes a brief description of the activity, content presented, and a synthesis of public feedback received.

Active Outreach Ideas

- Attend standing community meetings, such as local civic organizations, Chambers of Commerce meetings, etc. to share information about the DRI/NYF program and solicit input. (LPC members are likely to be involved in such organizations)

- Collaborate with the local school system to host a workshop with students and faculty.

- Facilitate community design charettes and workshops.

- Host a pop-up at another community event (e.g., farmer's market, festival).

- Partner with local businesses and establish an "open storefront" where project materials can be accessed (e.g., informational brochure, open call for projects form, community survey, etc.).

- Hold a public walking tour of the DRI/NYF area and potential projects.

- Host unique events like a movie night or restaurant crawl to share and gather information.

- Hold small group meetings and/or listening sessions at senior centers, community centers, and other central locations where people gather.

Stakeholder Meetings

- Coordinate with the LPC and the municipality early in the planning process to build connections and trust with various stakeholders. These stakeholder should include representatives of hard-to-reach populations

- Provide takeaway materials about the DRI/NYF planning process, connect them to the project website, and share information about upcoming public events.

- Proactively invite stakeholders and their networks to public engagement events.

- Ask targeted questions that are relevant and meaningful to the stakeholder(s). Like public engagement, the purpose of stakeholder meetings will change depending on when stakeholder meetings occur. Stakeholder meetings early in the process may focus on downtown assets, challenges, opportunities, and the vision and goals for downtown. After projects are identified, topics of conversation should shift to the proposed projects, obtaining feedback, or identifying gaps in the project list.

SECTION **2.6**

Project Identification

Overview

The public engagement process is critical for identifying the projects that will help advance the community's vision for downtown revitalization. These projects can be identified in a variety of ways, including from the community's DRI/NYF application, during an Open Call for Projects, through public engagement, or through the planning process as it advances. Projects may be put forth by public, not-for-profit, and private for-profit entities.

Project Sourcing

DRI/NYF Application

There are various ways to identify projects to be considered for DRI/NYF funding. The initial way to identify projects is from the community's DRI/NYF application, in which the community was asked to identify transformative project opportunities. The sponsors of these opportunities must complete a DRI/NYF Project Form and submit the form to the consultant team.

Open Call for Projects

Another means of identifying projects is through the Open Call for Projects, a public process that solicits projects from public, not-for-profit, and private project sponsors. The Open Call for Projects should be discussed at the early LPC and public engagement events and should start after the community has established a draft vision for downtown. It will generally be publicized using various outlets in the early months of the planning process. Project

sponsors are expected to submit a DRI/ NYF Project Form detailing the project proposal. Project sponsors will have at least four weeks to complete and submit the DRI/NYF Project Form through the Open Call.

Public Engagement

Public engagement is also an opportunity to identify projects, particularly when engaging the public about community needs and opportunities. The information gathered during public engagement can help inform an existing project proposal or inspire a new project. While projects identified this way may require greater early project development, project sponsors should provide the information requested on the DRI/ NYF Project Form to the consultant team to aid in shaping the proposals into potentially viable projects.

Other

As the planning process advances, new projects may come to light. While these projects may form at a different stage in the planning process than other projects, they will be expected to develop and provide the same information as requested from all other projects.

All submitted project proposals will be reviewed by the LPC and publicly discussed during an LPC meeting.

Impacts to the DRI/NYF Boundary

The project identification process may result in the identification of projects that are adjacent or proximate to the boundary confirmed by the

LPC. The LPC has the ability to recommend and approve minor boundary adjustments to incorporate a project, or projects, that they believe are compelling and support the vision of the DRI/NYF area. These instances should be limited to transformative downtown projects that will advance the goals of the DRI/ NYF area.

Support for Project Sponsors

In support of project identification, the consultant team will be available to assist project sponsors as they complete the DRI/NYF Project Form and with other project development activities, as needed. Potential options for assistance include hosting a public information session, holding open office hours for project sponsors, or conducting one-on-one assistance with a project sponsor.

Considerations for Potential Project Sponsors

Considering submitting a proposed project for LPC consideration? Here are a few things to think about prior to submitting your project:

- Do you have a preliminary project budget?
- Do you own the property or do you have site control/permission to implement the proposed project?
- Have you identified any environmental constraints and/or regulatory issues/needs that may affect the project?
- Do you have a business plan?

See **Section 5.0: Project Development** for **detailed information regarding project eligibility and development.**

Roles and Responsibilities

The LPC is expected to:

- Assist in publicizing public engagement events and the Open Call for Projects in the community through networks and colleagues
- Serve as a liaison to the broader community and share information about DRI/NYF with potential project sponsors

Municipal Representatives are expected to:

- Identify and develop public improvement projects to submit for LPC consideration
- Help advertise the public engagement events and the Open Call for Projects to the community by using municipal outlets

The Consultant Team is expected to:

- Support project sponsors during the completion of the DRI/NYF Project Form
- Hold technical assistance opportunities for project sponsors such as office hours or public information sessions
- Conduct outreach to share information about the Open Call for Projects and solicit project proposals
- Work with the municipality to develop public improvement projects

Best Practices + Procedures for Project Identification

Overview

There is no set way for projects to be identified in the DRI/NYF planning process. This process will vary by the community depending on the responses to the Open Call for Projects and the feasibility of the projects put forth in the DRI/NYF application, among other factors. Public realm projects that are identified during public outreach often require the consultant team to assist in project formation and determine if the proposal is feasible with an active project sponsor. These processes vary by community.

In general, the following are procedures and best practices for identifying projects.

Open Call for Projects

Before the Open Call Begins

The following is a timeline/suggested procedures that should occur before officially opening the Open Call for Projects.
- Update the DRI/NYF Project Form to be specific to the community.
- The following should be done at LPC Meeting #1 with feedback from the LPC:
  - Provide an overview of the purpose and process of the Open Call for Projects and review the DRI/NYF Project Form
  - Determine the type of technical assistance that should be provided to project sponsors (e.g., public information sessions and/or office hours).
  - Determine the schedule for the Open Call for Projects. The Open Call should be previewed during the first Public Workshop and early outreach activities, but it will officially open after LPC Meeting #2.. The Open Call must be open for at least four weeks. If feasible, a longer available submission time between six to eight weeks is preferred.
  - Collect input from the LPC about how to advertise the Open Call and where to make hard copy forms available in the community (e.g., library or Village Hall)
- Preview the Open Call for Projects during Public Workshop #1 and early local outreach activities.
- Consider holding an Information Session as part of the early outreach. Topics to cover may include:
  - Types of projects
  - Project eligibility
  - Information needs about projects
  - Reimbursement
  - Small Project Fund projects
- Following LPC Meeting #2, revise the DRI/NYF Project Form to include the correct deadlines, the draft vision and goals, project evaluation criteria, and any other revisions requested by the LPC, and submit it to the DOS project manager for review in advance of initiating the Open Call.

During the Open Call

- Hold an Information Session and/or Office Hours to assist project sponsors and answer questions regarding the DRI/NYF process, project requirements, and general project development. These assistance opportunities should not be limited

exclusively to office hours or information sessions; the consultant team should make it clear they are available to assist with project development at convenient times for all parties.

- Post reminders to the project website and via other outreach tools about the Open Call for Projects, technical assistance opportunities, and deadlines.

- Offer technical assistance to project sponsors. Potential technical assistance options include:

  - Public Information Sessions. These should be held as soon as the Open Call is released. They are intended to provide an overview of the DRI/NYF program, Open Call for Projects, DRI/NYF project eligibility requirements, and technical assistance related to completing the DRI/NYF Project Form.

  - Office Hours. Strongly recommended, office hours are conducted by members of the consultant team and provide one-on-one technical assistance to project sponsors related to the DRI/NYF Project Form, project eligibility requirements, and project development. These sessions may be conducted in-person or virtually.

- Keep a log of all attendees to a Public Information Session and/or of all participants and proposed projects for which technical assistance was provided.

- Ensure that the DRI/NYF Project Form is available as a digital form on the project website and that there are hard copies available in at least one central public location.

- If appropriate, provide the Technical Assistance and Financing Resources list to the potential project sponsor. This list is intended to provide external resources to project sponsors that have project development needs beyond the scope of the consultant team. The project sponsor is responsible for seeking additional support.

- When the completed DRI/NYF Project Forms are submitted, conduct an initial review of submitted project information. If it's clear that the project sponsor did not provide all requested project information, outreach to project sponsors before the end of the Open Call is encouraged to obtain complete project information, if available. Any requests for additional information sent to project sponsors should be accompanied by a deadline. It is essential that project sponsors provide information in a timely manner.

After the Open Call for Projects

- Once the Open Call is closed, develop a summary of all project submissions, and set up a meeting with the DOS project manager to review project submissions.

  - Using the Project Summary Table format is a good way to organize project submission information throughout the process.

Small Project Fund

If the DRI/NYF community is interested in a Small Project Fund, a solicitation for projects that would be aligned with a Small Project Fund should occur concurrently with the Open Call. The Small Project Fund solicitation would be a more streamlined and less intensive process and would require interested parties to submit a letter of interest, for which there is a template available. The consultant team should work with the project sponsor and local business organizations (e.g., Chambers of Commerce) to share information about the Small Project Fund. The municipality is still expected to complete the DRI/NYF Project Form.

A Small Project Fund could be submitted during the Open Call for Projects by an organization other than the municipality. This project sponsor would still need to secure letters of interest depending on the proposed Fund activities. Letters of interest for building improvements or permanent equipment could still use the same template. A Small Project Fund for public art should include letters from property owners, if available, demonstrating interest in public art being placed on their property .

More information about the Small Project Fund, eligible activities, and other information can be found in Section 5.2 Project Types and Requirements and in the additional Small Project Fund guidance.

Public Engagement

Some projects may be identified based on feedback received during various public engagement opportunities. For example, community members may provide feedback during early public engagement opportunities about improving a particular park or creating more pedestrian-friendly streets. While these community members do not have the authority or capacity to become a project sponsor for these proposed projects, the consultant team can serve as the bridge between this project idea and the entity that has the authority to implement the proposed project. The consultant team would then work with the community and the appropriate entity to develop the idea into a define project. Public engagement is also an opportunity to enhance proposed projects, such as a public space project.

The best way to facilitate this identification process is to have opportunities for the public to provide feedback about community needs in the first community meeting and in early public engagement activities.

Other

Depending on the community and the mix of public and private projects presented, there may be a need for consultant teams to solicit projects from potential project sponsors. This could include reaching out to local developers, property owners, businesses, not-for-profit entities, and others to inform them about the DRI/NYF program and encourage them to develop a project. This may be necessary after the Open Call for Projects has closed and the consultant team, LPC, and State team have an opportunity to review the universe of projects.

There also may be occasion in which a project comes to light after the Open Call for Projects process, and it meets the goals of being transformative and catalytic. Such a project could be considered by the LPC for inclusion on the final slate, if real and feasible.

Next Steps

After completed project forms have been received and after the Open Call for Projects is closed, consultant teams should begin the early phases of project development, which are detailed in the Expectations for Project Development section.

Regardless of when or how projects are identified, ALL projects, including those from the DRI/NYF application, will need to have a completed DRI/NYF Project Form.

Engaging Hard-to-Reach Populations

Overview

The public engagement process is required to engage hard-to-reach populations and how these groups/individuals — including youth, seniors, the disability community, and racial and ethnic minorities. Meaningful engagement of hard-to-reach populations throughout this planning process and all public processes is vital to the present—and future—vibrancy, cultural richness, economy, intellectual prowess, and equitable revitalization of communities across New York State.

It is particularly important that hard-to-reach populations have a voice in project identification and development. The consultant team should work with DOS, municipal representatives, and the community to define outreach strategies to ensure hard-to-reach populations have access to the Open Call for Projects as well as the technical assistance necessary to complete the DRI/NYF Project Form.

Identifying Hard-to-Reach Communities

To identify appropriate outreach strategies, the consultant team will work closely with the LPC and State team to identify hard-to-reach populations using existing socio-demographic data, existing State resources (e.g., Disadvantaged Communities, Potential Environmental Justice Areas), and local knowledge from the LPC, stakeholders, and municipal officials and staff. LPC members and municipal officials and staff can be key partners in facilitating contact with hard-to-reach groups and individuals.

Practices + Approaches to Consider for Engagement

When developing outreach strategies, consider the following practices and approaches.

- Anticipate potential barriers (e.g., timing, format of meeting, facilities, language access) to engagement. For example, a public workshop held in the early afternoon, may limit access for different populations. While some meeting logistics may not be flexible, be mindful of planning for ways to share the same information presented at the meeting.

- Plan to engage early, often, and consistently. Engaging hard-to-reach groups from the beginning of the planning process shows intention and can build trust in the process and the later implementation of projects.

- Use the existing relationships between LPC members and the community to expand outreach to diverse populations.

- Personalize engagement and do individual outreach to community liaisons, if appropriate. Tailored outreach and messaging may be more successful in connecting with hard-to-reach populations.

- Focus on going to where community members are already gathering, such as at churches, community centers, and schools and hold meetings at time(s) convenient for various groups. Event locations should be within walking distance to public transportation (if applicable).

Examples of Engaging Hard to Reach Populations

Peekskill

Spanish Language Workshop
The Peekskill community includes a large population of Hispanic or Latino residents, some of whom may speak English as a second language. The consultant team hosted a Spanish-language workshop at the Church of the Assumption to engage with this community and to hear their ideas for the future of Peekskill. The workshop included an overview of the DRI program, a review of the potential projects, and concluded with a question-and-answer session.

Watertown

Targeted Focus Groups
In Watertown, the consultant team focused on engaging people who do not typically participate in planning processes by holding six focus groups. Focus groups were held with non-profit organization directors, elementary, middle, and high schoolers, participants in the local Getting Head program, a program designed to help people examine poverty in their lives and work on ways to make changes, and participants from the Teen Center.

Utica

Attend Existing Community Events
The DRI was presented at existing community events in Utica, including at a community meeting at The Center, a resource center for refugees, and at the New Americans Community Meeting, which is attended by more established immigrants living in the city. Both meetings featured a presentation, audience Q&A, and a mapping exercise, all with consecutive interpretation in seven languages.

Chinatown

Tabling and Canvassing
The consultant team set up tabling events in different parts of the DRI Area with facilitators proficient in Spanish, Mandarin, and Cantonese. They were accompanied by volunteers from Welcome to Chinatown and other Mandarin and Cantonese speakers. While these events helped increase language access, they were also designed to target residents with limited access to technology, who may not receive information via digital outreach.

Open Call for Projects
To increase access to the Open Call for Projects in Chinatown, a multi-lingual Call for Projects form was created in four languages: Traditional and Simplified Chinese, Spanish, and English. Over 40 project proposals were received.

Bronx Civic Center

Street Team Outreach
Over the course of two weeks, members of the consultant team conducted outreach at 12 high-traffic locations in the DRI Area, including transit stops, housing developments, and commercial corridors to interview residents, workers, and visitors. Information was provided in three languages - English, Spanish, and French - and using an iPad-based survey, respondents were asked to select four project theses that were of highest priority to them.

Downtown Profile and Assessment

In this Section:

SECTION **3.1**

Purpose and Schedule

The downtown profile and assessment tells a clear and concise story of the Downtown Revitalization Initiative or NY Forward community — where it is today, how it got there, and where it is going — and provides the logical basis for project recommendations.

Purpose

Working closely with municipal representatives and the State team, the consultant team will develop a downtown profile and assessment for each Downtown Revitalization Initiative (DRI) or NY Forward (NYF) community. The downtown profile and assessment shall consist of a clear, concise, and compelling narrative that articulates the story of the downtown, its relationship to the surrounding region, and its future potential.

The downtown profile and assessment should be a highly visual document that allows the reader to quickly and easily understand why a particular community is prime for revitalization, while also providing the logical basis for project identification and selection. The required components of the downtown profile and assessment are defined in Section 3.3 and include the following topics:

- Description of the study area
- Demographic snapshot
- Regional and historic context
- Related recent plans and investments
- Physical setting
- Economic context
- Housing assessment
- Key observations

DRI/NYF Boundary

As part of the DRI/NYF application process, each community clearly identified the boundary of the downtown area where it proposes to focus its planning efforts. These boundaries define concentrated, walkable areas and may range from a corridor to a few blocks of a neighborhood or arts district to the municipality's traditional central business district.

In addition to defining the eligible project area, this boundary also establishes the geographic focus for the downtown profile and assessment. Any changes made to the boundary will impact the data collected and presented in the downtown profile and assessment.

The DRI/NYF boundary will be confirmed or adjusted during Local Planning Committee (LPC) Meeting #1. Slight modifications, for which there is a strong justification, may be made to the boundary during the planning process, subject to State approval. However, communities are encouraged to limit boundary adjustments to the early phases of the planning process, as changes to the boundary can have cascading effects on other project deliverables, including the downtown profile and assessment.

SECTION **3.1**   PURPOSE AND SCHEDULE

Schedule

The graphic to the right defines key milestones related to the development and refinement of the downtown profile and assessment over the course of the planning process.

- A complete draft of the downtown profile and assessment will be generated by the consultant team during the early months of the planning process.

- As projects are identified and developed, additional analyses (e.g., a housing market analysis) may be required to better understand specific local or regional challenges. The consultant team will conduct these custom analyses and incorporate the findings into the downtown profile and assessment during the project development phase.

- Towards the end of the planning process, consultant teams will revisit and update the downtown profile and assessment to document any additional opportunities and/or challenges uncovered during project development and the planning process as a whole.

The downtown profile and assessment is intended to be a living document throughout the planning process. Although a full draft should be complete prior to the third LPC meeting, updates and refinements will be made throughout the planning process to ensure the downtown profile and assessment truly reflects the unique conditions, needs, and opportunities of each DRI/NYF community.

☑ **Confirm DRI/NYF Boundary at LPC Meeting #1**

☑ **Data Collection and Analysis**

☑ **Solicit Input from Community on Downtown Trends, Opportunities, and Challenges**

☑ **Review Complete Draft of Downtown Profile and Assessment**

☑ **Edits to Downtown Profile and Assessment**

☑ **Refine Downtown Profile and Assessment to Align with Community Needs**

☑ **Finalize Downtown Profile and Assessment**
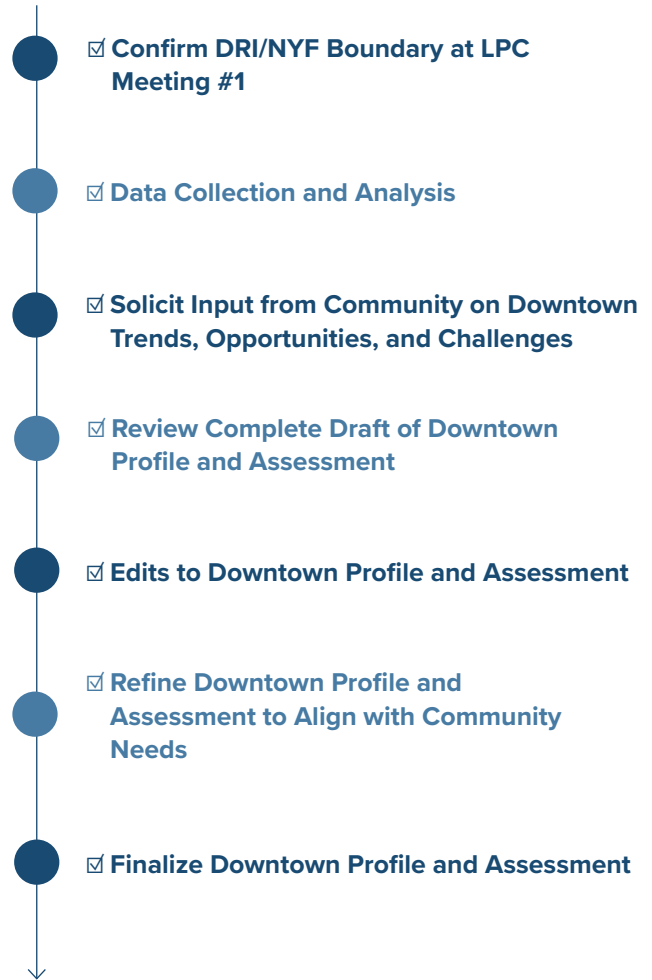
SECTION **3.2**

Best Practices

Developing a Strong Downtown Profile and Assessment

A strong downtown profile and assessment:

- Concisely tells the story of the community by using a combination of maps, diagrams, photographs, and other visuals to help the reader quickly understand the downtown area's context and its potential.

- Provides a strong analytical understanding of trends, opportunities, and challenges and lays the foundation for the development of revitalization strategies.

- Clearly relates all data and analysis back to the community's revitalization efforts (i.e., if there is no clear link between a piece of information and the community's revitalization potential, it's probably not necessary).

- Is an on-the-ground perspective of the community established through site visits and local insights, that provides greater context and understanding than a data and desktop review.

- Provides a logical basis for the recommended projects. Proposed projects should connect to or address some of the trends, opportunities, and challenges presented in the downtown profile and assessment.

- Avoids jargon and is written in a style accessible to the general public.

(i) The Downtown Profile and Assessment Does Not...

- **Provide a full inventory of all conditions.** Rather, it only highlights the conditions most relevant to achieving a community's downtown revitalization goals.

- **Present information in a vacuum.** Data and other information should be presented as part of a larger narrative that provides insight into the community and its future potential.

- **Limit data and analysis to the DRI/NYF area.** While the DRI/NYF area provides the geographic focus for the downtown profile and assessment, regional trends, transportation connections, destinations, and anchor employers/institutions should be considered. The DRI/NYF area does not exist in isolation. Regional connections critical to the downtown's revitalization should be clearly identified and described.

| **Town of Seneca Falls** (DRI Round 4)

Required Components

Overview

The downtown profile and assessment should be customized to each DRI/NYF community and organized in a way that clearly and effectively tells the story of each downtown area, including its strengths, challenges, and future potential. The downtown profile and assessment should be concise and targeted, and all information presented needs to clearly relate to the downtown's revitalization efforts.

The downtown profile and assessment is also expected to be a well-integrated mix of photographs, infographics, maps, diagrams, and narrative. All visuals should support the text and help the reader quickly distill key findings.

Minimum Requirements

At a minimum, each downtown profile and assessment must address the topics described below.

Study Area/Boundary Description

This section provides an overview of the DRI/NYF boundary, which serves as the primary study area for the downtown profile and assessment. In addition to describing the study area's general character, this section also highlights the regional context and significant features, such as roadways, landmarks, and/or environmental features.

Demographic Snapshot

This section provides a snapshot of the community's socio-demographic characteristics, including comparisons between the study area, the municipality, and potentially the larger region (e.g., county). This section is intended to introduce the downtown in a quick and easy-to-understand way. This section may include relevant data such as:

- Population/population trends
- Age
- Income
- Employment
- Poverty (may also include the delineation of Potential Environmental Justice and/or Disadvantaged Communities)
- Educational attainment
- Household tenure
- Other pertinent topics

Regional and Historic Context

This section provides a brief overview of the community's historical context — including defining events and how it has changed over time — the features and services that make it unique, and its relationship to the surrounding region and State as a whole. This section will also clearly identify regional connections that are critical to sustaining a high quality of life in the downtown area (e.g., access to airports and other transportation hubs, employment centers, healthcare, etc.). The information in this section should be relevant to informing downtown revitalization efforts.
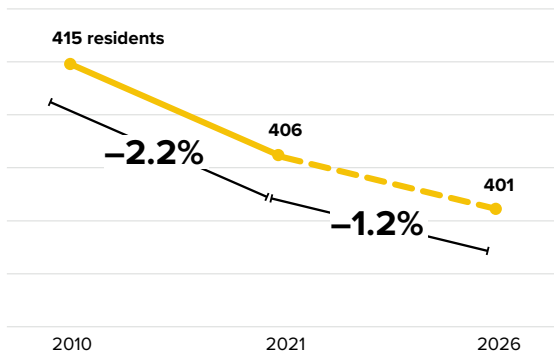
SECTION **3.3**   REQUIRED COMPONENTS

| Representative Demographic Snapshot Infographic from the Norwich DRI Downtown Profile and Assessment (DRI Round 5)
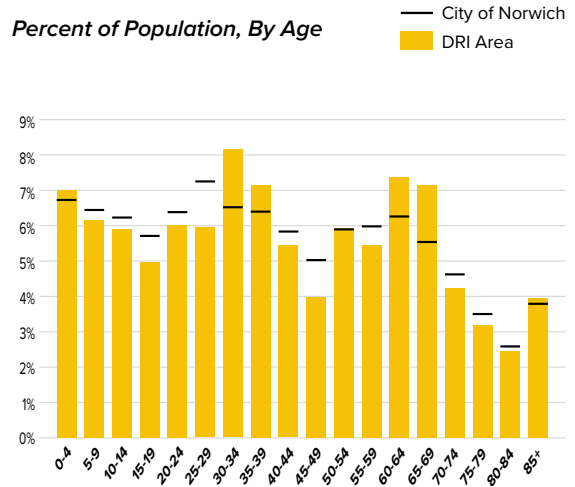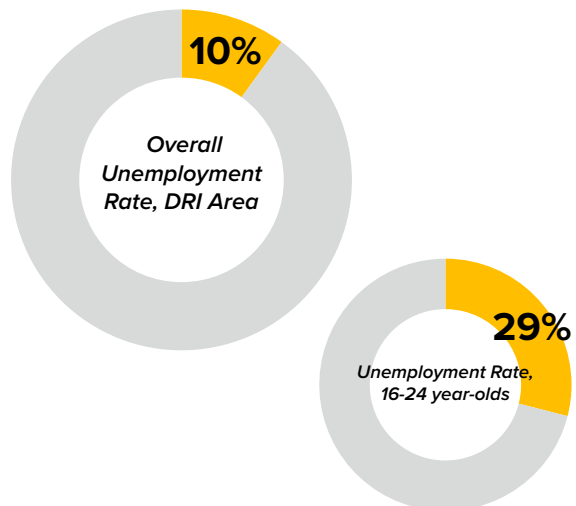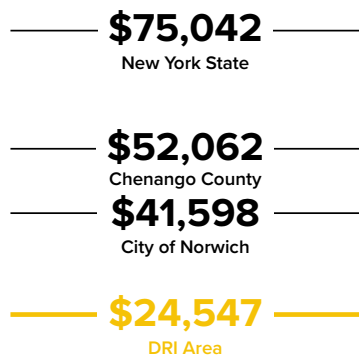
DRI Area At A Glance

- **406** residents
- **39** median age
- **30%** poverty rate
- **35%** high school education only
- **75%** of households are renters

Population Trends

415 residents
−2.2%
406
−1.2%
401

2010   2021   2026

Percent of Population, By Age

— City of Norwich
■ DRI Area

9%
8%
7%
6%
5%
4%
3%
2%
1%
0%

0-4 5-9 10-14 15-19 20-24 25-29 30-34 35-39 40-44 45-49 50-54 55-59 60-64 65-69 70-74 75-79 80-84 85+

Median Household Income

— **$75,042** —
New York State

— **$52,062** —
Chenango County

— **$41,598** —
City of Norwich

— **$24,547** —
DRI Area

$0

10%

Overall Unemployment Rate, DRI Area

29%

Unemployment Rate, 16-24 year-olds

SECTION **3.3**   REQUIRED COMPONENTS

Recent Plans and Investment

This section provides a concise narrative of major initiatives undertaken within or adjacent to the DRI/NYF boundary that directly support the revitalization of the study area, such as comprehensive plans, corridor studies, small area plans, Brownfield Opportunity Area and Local Waterfront Revitalization plans, parks and open space plans, and economic development initiatives. The updated REDC priorities found in the regional strategic plans should be included in this section. Key findings and recommendations related to the area's downtown revitalization efforts should be summarized for each plan and initiative.

This section should also describe recent public and private investments made within or adjacent to the DRI/NYF area that directly advance the downtown's revitalization. The attributes of each investment (e.g., project name and brief description, amount, funding source) will be organized in a table, and if possible shown on a map.

| Representative Recent Private Investment Map from the Chinatown DRI Downtown Profile and Assessment (DRI Round 5)

Private Investment
1. Essex Crossing
2. One Manhattan Square
3. 55 Suffolk Street – 64 Norfolk Street
4. Museum of Chinese in America (MOCA)
5. Chung Pak LDC — Housing and Small Business Support
6. Welcome to Chinatown Fund (Districtwide, not shown on map)
7. Hotel 50 Bowery
8. Wyndham Garden Hotel
9. 100 East Broadway

Physical Setting

This section is intended to give the reader a clear sense of the study area by describing its physical and regulatory context. Maps, diagrams, photographs, and other visuals should be thoughtfully integrated into this section to clearly illustrate concepts and findings described in the narrative.

The topics addressed in this section should be tailored to the community and will therefore vary between each DRI/NYF community. Only topics with the greatest relevance and significance to the study area and its revitalization should be addressed. Potential topics include:

- Environmental context (e.g., topography, flood hazard areas, unique habitats)

- Resilience (e.g., relevant ordinances and/or plans, lessons learned from flood vulnerability, heat vulnerability)

- Built environment (e.g., architectural style, streetscape character and connectivity, transit-oriented development, building scale, block sizes)

- Vacant and underutilized sites

- Existing land use

- Zoning and/or design standards

- Infrastructure systems (e.g., broadband, water supply and sewer infrastructure and capacity, energy)

- Transportation networks (e.g., street hierarchies, pedestrian circulation, parking, public transit, rail, active multi-modal trails)

- Public spaces (e.g., parks, plaza, open spaces)

- Historic, cultural, and artistic assets

Economic Context

The downtown profile and assessment must include a section that succinctly characterizes economic trends and opportunities for the region, municipality, trade catchment area, and the downtown. This economic overview should be verified with data and insights gathered from local stakeholders and development and real estate professionals. This section should also clearly identify local assets, growth opportunities, constraints, and strategies for spurring local economic development. Focused market analyses related to the identified opportunities and constraints may be necessary, especially if more detailed information is needed to understand a specific sector (e.g., tourism, office, commercial, etc.) and how it intersects with downtown revitalization. More specific analyses completed in support of proposed projects may also be summarized here.
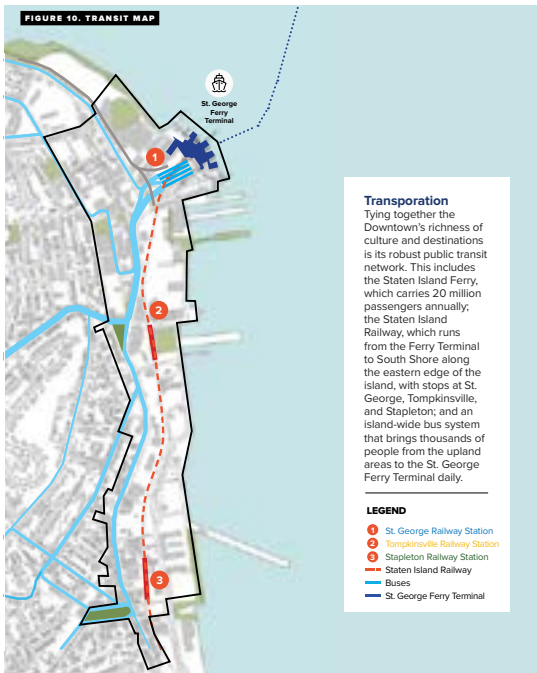
Findings from this section, particularly those with a direct connection to a community's revitalization, should also be integrated in the following section, "Key Observations."

SECTION 3.3 REQUIRED COMPONENTS

| **Representative Map Series Describing the Physical Setting of Staten Island's DRI Area**
(DRI Round 4)

FIGURE 10. TRANSIT MAP

Transporation
Tying together the Downtown's richness of culture and destinations is its robust public transit network. This includes the Staten Island Ferry, which carries 20 million passengers annually; the Staten Island Railway, which runs from the Ferry Terminal to South Shore along the eastern edge of the island, with stops at St. George, Tompkinsville, and Stapleton; and an island-wide bus system that brings thousands of people from the upland areas to the St. George Ferry Terminal daily.

LEGEND
1. St. George Railway Station
2. Tompkinsville Railway Station
3. Stapleton Railway Station
--- Staten Island Railway
— Buses
— St. George Ferry Terminal

FIGURE 16. OPEN SPACE NETWORK

Existing Parks / Open Space
1. North Shore Esplanade
2. Richmond County Supreme Court Plaza
3. Barrett Triangle
4. Tompkinsville Park
5. Inspiration Plaza
6. Lyons Pool
7. Tappen Park
8. Stapleton Esplanade & Waterfront park

Planned Investment
9. Lighthouse Point Plaza and Esplanade
10. Waterfront Esplanade
11. Bay and Central Triangle Park Conversion by DOT

FIGURE 25. UNDERUTILIZED LAND MAP

LEGEND
Industrial
Transit / Utility
Vacant
Parking & Other

FIGURE 26. PARCEL SIZE MAP

LEGEND
Small Lots
Big Lots

SECTION **3.3**   REQUIRED COMPONENTS

Housing Assessment

The downtown profile and assessment must include an assessment of the housing in the community, specifically its downtown. This section should include a broad review of community needs and issues pertinent to housing, supported by relevant quantitative and qualitative data as well as a brief analysis of barriers to housing development and supply(e.g., zoning, cost, lack of developable land, short-term rentals, etc.), with a focus on the DRI/NYF area. This section is not intended to be an exhaustive housing analysis; however, it should include a high-level summary of challenges and opportunities that would advance residential development in and around the DRI/NYF area.

Key Observations

Concluding the downtown profile and assessment should be a key observations section, which is a synthesis of trends, challenges, and opportunities, and how these findings are relevant to downtown revitalization. This section will likely reference information from other sections in the downtown profile and assessment and may introduce new data and information which clearly highlights the key observations. This section should seamlessly weave together data and information to provide a clear image of the key observations about the community and downtown that are relevant for downtown revitalization. These key observations should also lay the foundation for the development of revitalization strategies and the identification of proposed projects.

(i)

Using the Downtown Profile and Assessment to Inform Project Recommendations

The downtown profile and assessment should be clearly related to a downtown's vision, goals, and revitalization strategies and recommended projects. For example, in the Watkins Glen SIP (Round 2), the downtown profile and assessment identified long-term housing availability as a critical issue. It provided a summary of existing housing types, recent housing assessments and developments, and summarized a real estate market analysis that delved into residential inventory, vacancies, and rents. This information helped shape the community's revitalization strategies and recommended projects that focused on providing high-quality, year-round housing for current and future residents.

Additional Guidance for Downtown Profile and Assessment

As the consultant team drafts the downtown profile and assessment, the following table should be used to guide each of the required sections.

Component	Guidance	Content Suggestions	Recommended Page Length
Study Area / Boundary Description	This section provides an overview of the DRI/NYF boundary, which serves as the primary study area for the downtown profile and assessment. In addition to describing the study area's general character, this section also highlights the regional context and significant features, such as roadways, landmarks, and/or environmental features.	This section should include a one to two paragraph description of the DRI/NYF boundary as well as its key downtown features. The description should be supported with a boundary map. *What we don't want:* • Narrative that describes each and every irregular boundary of the downtown. *What we want:* • Simple boundary descriptions that include general study area/ downtown assets. • If the boundary is irregularly shaped, do not provide detail on each and every boundary feature, such as parcel lines, distance descriptors, etc. Instead provide major assets and defining features within the downtown. • It may be helpful to include descriptors such as "includes both sides of Main Street."	1-2 pages, including Boundary Map
Demographic Snapshot	This section provides a snapshot of the community's socio-demographic characteristics, including comparisons between the study area, the municipality, and potentially the larger region (e.g., county). This section is intended to introduce the downtown in a quick and easy-to-understand way. This section may include relevant data such as: • Population/population trends • Age • Income • Employment • Poverty (may also include the delineation of Potential Environmental Justice and/or Disadvantaged Communities) • Educational attainment • Household tenure • Other pertinent topics	This section is intended to provide quick-hit information on key demographic information of the downtown. The snapshot should create a visually oriented summary of community demographics, primarily comprised of infographics and supported by key finding statements. The purpose is to create an overview of facts that can be easily understood by the reader. The demographics chosen may include data/facts related to population trends, age characteristics, income and employment, educational attainment, housing tenure, etc. Please choose the demographic information that is most representative and critical to understanding the community as a whole. *What we don't want:* • Full 1-2 paragraph narrative for each demographic fact. *What we want:* • It may be appropriate to show a collection of infographics or graphs/charts showing demographic facts that are supported by one sentence statements indicating the key takeaways • Quick-hit facts of demographics	1-2 pages

Component	Guidance	Content Suggestions	Recommended Page Length
Regional and Historic Context	This section provides a brief overview of the community's historical context — including defining events and how it has changed over time — the features and services that make it unique, and its relationship to the surrounding region and State as a whole. This section will also clearly identify regional connections that are critical to sustaining a high quality of life in the downtown area (e.g., access to airports and other transportation hubs, employment centers, healthcare, etc.). The information in this section should be relevant to informing downtown revitalization efforts.	This section should contain a brief description of the community's history in terms of how past events and regional connections have shaped the community and the downtown into what it is today and what it means for future revitalization. This can be presented in two to three paragraphs and/or in a timeline format. *What we don't want:* • An extensive and detailed description of past historic events *What we want:* • Short regional context and history overview that provides enough detail to understand the community but is not an event-by-event description.	1/2 - 1 page
Recent Plans and Investment	This section provides a concise narrative of major initiatives undertaken within or adjacent to the DRI/NYF boundary that directly support the revitalization of the study area, such as comprehensive plans, corridor studies, small area plans, Brownfield Opportunity Area and Local Waterfront Revitalization plans, parks and open space plans, and economic development initiatives. The updated REDC priorities found in the regional strategic plans should be included in this section. Key findings and recommendations related to the area's downtown revitalization efforts should be summarized for each plan and initiative. This section should also describe recent public and private investments made within or adjacent to the DRI/NYF area that directly advance the downtown's revitalization. The attributes of each investment (e.g., project name and brief description, amount, funding source) will be organized in a table, and if possible shown on a map.	This section should contain a list of recent and relevant planning initiatives/plans that have taken place within the community or region (if applicable). A bulleted list of the plan goals/objectives, anticipated or real outcomes of the plan, and how they relate to the downtown's revitalization should be included. Each of the REDC regions updated their Strategic Plans in 2023 and can be found on the region's REDC website. A summary of the region's updated priorities and their associated strategies should be provided. A table or list of recent public and private investments should also be provided and accompanied by map, if possible. *What we don't want:* • List of every planning initiative that took place within the community/region • Long, paragraph-style narrative of each planning initiative *What we want:* • Inclusion of planning initiatives ideally within the past five years • Inclusion of relevant planning initiatives as a sub-heading with a short, bulleted list of the plan's main objectives and anticipated outcomes, how the anticipated outcomes advance the downtown's revitalization and/or proposed project	1 page

Component	Guidance	Content Suggestions	Recommended Page Length
Physical Setting	This section is intended to give the reader a clear sense of the study area by describing its physical and regulatory context. Maps, diagrams, photographs, and other visuals should be thoughtfully integrated into this section to clearly illustrate concepts and findings described in the narrative. The topics addressed in this section should be tailored to the community and will therefore vary between each DRI/NYF community. Only topics with the greatest relevance and significance to the study area and its revitalization should be addressed. Potential topics include: • Environmental context (e.g., topography, flood hazard areas, unique habitats) • Resilience (e.g., relevant ordinances and/or plans, lessons learned from flood vulnerability, heat vulnerability) • Built environment (e.g., architectural style, streetscape character and connectivity, transit-oriented development, building scale, block sizes) • Vacant and underutilized sites • Existing land use • Zoning and/or design standards • Infrastructure systems (e.g., broadband, water supply and sewer infrastructure and capacity, energy) • Transportation networks (e.g., street hierarchies, pedestrian circulation, parking, public transit, rail, active multi-modal trails) • Public spaces (e.g., parks, plaza, open spaces) • Historic, cultural, and artistic assets	This section should contain a collection of short sub-sections that present a holistic view of downtown in terms of physical features and characteristics. Consider the immediate needs and opportunities that are apparent when stepping into a downtown. • What are the key features and assets within downtown that make it unique? For example, there may be a body of water or public space(s) that define the downtown. Or there may be a collection of historic structures that give the downtown its unique charm. • What are physical improvements or enhancements that are needed? For example, an on-the-ground analysis may demonstrate a lack of accessible infrastructure. Or, it may be necessary to highlight that a downtown main street may lack consistent streetscapes or there is a need to preserve historic assets. *What we don't want:* • A data-heavy comprehensive assessment that reads as an engineering analysis or exhaustive existing conditions report. • A discussion of every topic listed in the Guidance. It is best to choose those topics that are most relevant and representative of the community and its revitalization potential. • A description of every designated historic asset/building within the downtown. Instead, a brief summary of the downtown historic district and list its important historic features, supported by annotated images could be provided. *What we want:* • A heavily graphic summary inclusive of images/mapping to convey key observations of the downtown. • Annotation of images, as necessary to showcase what is being relayed to the reader. • Every section that answers the questions: "Why does this matter?" Or "Why should the community care about this?"	3-8 pages

Component	Guidance	Content Suggestions	Recommended Page Length
Economic Context	The downtown profile and assessment must include a section that succinctly characterizes economic trends and opportunities for the region, municipality, trade catchment area, and the downtown. This economic overview should be verified with data and insights gathered from local stakeholders and development and real estate professionals. This section should also clearly identify local assets, growth opportunities, constraints, and strategies for spurring local economic development. Focused market analyses related to the identified opportunities and constraints may be necessary, especially if more detailed information is needed to understand a specific sector (e.g., tourism, office, commercial, etc.) and how it intersects with downtown revitalization. More specific analyses completed in support of proposed projects may also be summarized here. Findings from this section, particularly those with a direct connection to a community's revitalization, should also be integrated in the following section, "Key Observations."	These sections should contain the highlights and key findings of the larger market analysis and housing assessment. They should not contain the full discussion or description of the complete market analysis report. Analysis topics should be those most relevant to the community, its vision and goals, challenges and opportunities, and potential projects, including workforce, retail, housing/residential demand, lodging / tourism, and office space demand. For example, if a housing shortage is identified as a challenge, the downtown profile and assessment could address items such as housing inventory, vacancy, demand, rents, short term rentals, etc. Or if lack of diverse retail mix is an issue, this section could include information about the actual retail mix, storefront vacancy and leasing activity, or other information that illustrates the issue. It is essential that these components of the downtown profile and assessment include qualitative information that local stakeholders and development and real estate professionals have provided. Relying only on ESRI Business Analyst or other third-party data sources is not sufficient to characterize economic trends and opportunities. This information should not be used in isolation without additional local context.	2 - 3 pages
Housing Assessment	The downtown profile and assessment must include an assessment of the housing in the community, specifically its downtown. This section should include a broad review of community needs and issues pertinent to housing, supported by relevant quantitative and qualitative data as well as a brief analysis of barriers to housing development and supply (e.g., zoning, cost, lack of developable land, short-term rentals, etc.), with a focus on the DRI/NYF area. This section is not intended to be an exhaustive housing analysis; however, it should include a high-level summary of challenges and opportunities that would advance residential development in and around the DRI/NYF area.		

| Component	Guidance	Content Suggestions	Recommended Page Length

Key Observations	Concluding the downtown profile and assessment should be a key observations section, which is a synthesis of trends, challenges, and opportunities, and how these findings are relevant to downtown revitalization. This section will likely reference information from other sections in the downtown profile and assessment and may introduce new data and information which clearly highlights the key observations. This section should seamlessly weave together data and information to provide a clear image of the key observations about the community and downtown that are relevant for downtown revitalization. These key observations should also lay the foundation for the development of revitalization strategies and the identification of proposed projects.	This section should synthesize the downtown profile and assessment into multiple "observations" (between 3 – 5). These observations take all of the key findings identified in the downtown profile and assessment and integrate them into opportunities for the community to continue or jump-start their revitalization goals.
		
		What is the difference between a Key Finding and an Observation?
		• Key finding – statement of fact. These key findings should be sprinkled throughout the downtown profile and assessment.
		  – Example: The community's population has declined and aged since 2010.
		• Observation – Interpretations of the findings and what they mean for the community's revitalization. The observations are reserved for the final section of the downtown profile and assessment.
		  – Example: The development of diverse housing types at a variety of price points, which has been lacking in the downtown in recent years, may help to retain and attract new residents to the downtown.
		
		The observations are a prime place to describe the "so what" of the key findings. It should be clear to the reader why the information being presented is important to the story of downtown revitalization.
			3-8 pages

Best Practices from DRI 6 / NYF 1

The following provides examples of past downtown profile and assessment sections that are representative of the level of detail and visual display requested. Do not duplicate these examples exactly, but use them as a reference.

Demographic Snapshot

This one-page excerpt from the Sharon Springs (NYF Round 1) SIP provides a snapshot of important demographic information that highlights the characteristics of the community's population. This visual example clearly shows how to display information succinctly.

This particular page does not include a key finding(s) statement to point out specifically what the reader should interpret from the visual. Adding key finding statements to this page would enhance this snapshot and provide an example of what DOS is looking for in this section.
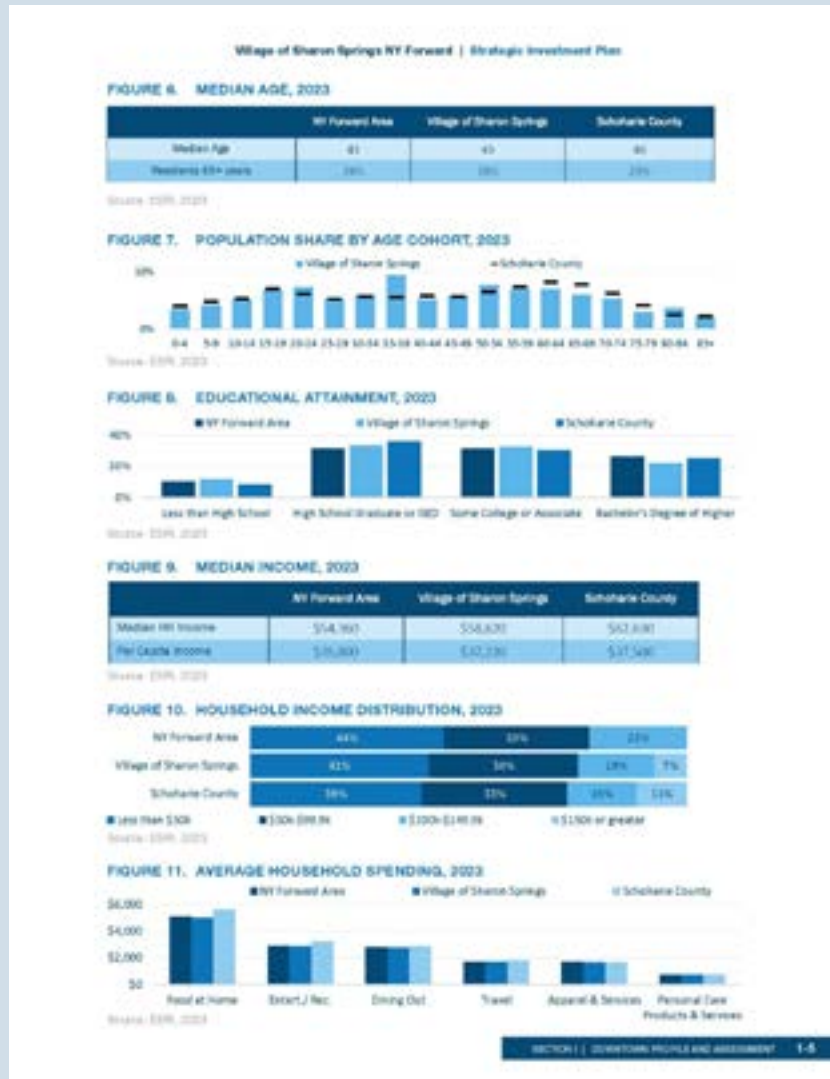
In the Village of Medina's (NYF Round 1) downtown profile and assessment, every section ended with a summary of key findings. These key findings related directly to the information presented in that particular section and provided the main facts the reader was to take away.

Downtown Medina is defined by its people and culture. Here are some key attributes.

01 Downtown has a historic legacy that should continue to be celebrated.

02 Downtown has a strong identity as a canal community.

03 Downtown is experiencing growth in small households.

04 Downtown residents are trending younger.

05 Incomes and discretionary spending are low.

Physical Setting

This two-page display from the Village of Cambridge (NYF Round 1) SIP is a good example of how to display information about a key topic for the Physical Settings piece of the downtown profile and assessment. This example provides a concise narrative of physical features and a description of the street network while also integrating mapping and annotated photos that clearly articulate downtown conditions. This section would benefit from a key findings statement indicating the main challenges and future improvement opportunities that could be relevant to downtown revitalization.

Streets, Circulation, and Parking

The Village center is relatively compact and walkable in the Main St. corridor. Bicycling is popular due to the quiet country roads, rolling hills, and spectacular scenery. There is some disrepair and problems with pedestrian safety, including many locations missing sidewalks and crosswalks. Parking is generally abundant, although "informal" in some areas, causing some confusion especially for visitors.

Off of Main St., the Owlkill Commons area is fairly disorienting, with no other cross-streets or clear public ways connecting S. Union, Memorial, Pearl, and Railroad. It is difficult for visitors to understand which areas are public and which are private.

Being in a rural area well removed from major urban centers, there is no public transport and no taxi services.

The railroad is still active for commercial purposes, but not heavily trafficked.

Pearl Street - no curbs, no sidewalks

Informal parking at Lumberyard / Red Barn

Parking at Varak Park Business Incubator

Parking behind Food Co-op, Railroad Ave. - no curbs, no sidewalks

42   CAMBRIDGE NY FORWARD

DOWNTOWN PROFILE AND ASSESSMENT

ADA Parking Space
Parking
Two-Way Road
One-Way Road

Figure 9: Streets, Circulation, and Parking Map

STRATEGIC INVESTMENT PLAN   43

Physical Setting

This example from Lindenhurst (NYF Round 1) SIP is a great example of how to integrate mapping and photos in a way that easily shows various land uses within the downtown. The use of bulleted information and imagery to describe land uses is effective and easy to digest.

Key Observations

The Challenges, Trends, and Opportunities section from the Village of Cooperstown's downtown profile and assessment presents several key observations that effectively use images to help convey the key observation. The observation documented on these pages uses photos of downtown buildings that highlight the historic character critical to the village's sense of place while also showing buildings that, through improvements, can continue to contribute to the village's unique character while also serving as redevelopment opportunities.

Key Observations

This spread is a great example of how to display a key observation, while incorporating relevant data in an appropriate context. It includes the observation, presents additional data and information not previously covered in the previous downtown profile and assessment sections, and ends with what the observation means for the Village's revitalization regarding types of projects that could be implemented in the downtown.

Vision, Goals, and Revitalization Strategies

In this Section:

SECTION **4.1**

Purpose and Schedule

> *The community's vision, goals, and revitalization strategies for the downtown are intended to be ambitious as well as illustrative of the future that can be achieved through the implementation of the Downtown Revitalization Initiative or NY Forward program and subsequent investment. Each community's vision, goals, and strategies for the downtown should be informed by robust community engagement, respond to the needs and opportunities identified in the downtown profile and assessment, and guide decision-making related to future development and investment in the community.*

Purpose

As part of the DRI/NYF application, communities were required to provide a brief statement of their vision for downtown revitalization. Early in the planning process, the Local Planning Committee (LPC) will review the initial vision and make modifications to best reflect the unique characteristics of the community and incorporate public feedback gathered during the public workshops and other forms of local engagement.

In support of the community's vision, goals and revitalization strategies will also be established. Goals should be detailed, attainable, and action-oriented, and they should be paired with measurable revitalization strategies that will guide the implementation of the DRI/NYF program. Each community's vision statement and supporting goals and strategies should incorporate, as appropriate, the fundamental goals of the DRI/NYF program which can be found in Section 1.2: Introduction to the DRI and NYF Programs of this guidebook.

ⓘ Vision, Goals, and Revitalization Strategies Defined

VISION

What will the community look like in 5–7 years? The vision statement provides a guiding framework for the DRI/NYF community's Strategic Investment Plan and decision-making regarding future development and investment in the community.

GOALS

How will the community attain its vision? Goals are clear statements of what needs to be accomplished to move towards the DRI/NYF vision.

REVITALIZATION STRATEGIES

What steps must be taken to achieve a specific goal? Strategies are discrete, measurable actions required to achieve a goal.

SECTION **4.1**   PURPOSE AND SCHEDULE

Schedule

The graphic to the right defines key milestones related to the development and refinement of the community's vision, goals, and revitalization strategies over the course of the planning process.

- The identification of strengths, opportunities, and challenges and the results from visioning exercises from the first LPC meeting and the first public workshop will help refine the vision statement originally presented in the community's DRI/NYF application.

- At LPC Meeting #2, the LPC should consider feedback from early public engagement events and establish a draft vision and goals for downtown.

- The refined vision, goals, and strategies should be presented and discussed at LPC Meeting #3. Corresponding revitalization strategies supporting the vision and goals should also be discussed.

- Minor adjustments to the strategies may be made during the project development phase of the process to better reflect the proposed projects.

The community's vision, goals, and revitalization strategies play an important role in guiding project identification, development, and evaluation. Therefore, each community's vision and goals should be near-final by LPC Meeting #2, in advance of the official launch of the Open Call for Projects. The vision and goals should be finalized, and the revitalization strategies should be near-final by LPC Meeting #3, which is when the planning process pivots to focus on project development and evaluation.

☑ **Strengths, Challenges, and Opportunities Identification at LPC Meeting #1**

☑ **Visioning and Goals Activity at Public Workshop #1**

☑ **Establish Draft Vision and Goals at LPC Meeting #2**

☑ **Finalize Vision and Goals and Establish Draft Revitalization Strategies at LPC Meeting #3**

☑ **Refine Revitalization Strategies** *(as needed)*

☑ **Submit Final Vision, Goals, and Revitalization Strategies as Part of the Strategic Investment Plan**

<div style="background: yellow; border-radius: 20px; display: inline-block; padding: 10px 20px;">

SECTION **4.2**

</div>

Required Components

Overview

As previously noted, the vision, goals, and revitalization strategies are intended to reflect each community's unique local conditions and provide a strong framework for long-term revitalization. Specifically, the vision, goals, and strategies should directly respond to the key findings and observations synthesized in the downtown profile and assessment and provide the evaluative framework for assessing proposed projects under consideration for DRI/NYF funding.

In addition, the vision, goals, and strategies will be critical during the latter half of the planning process as they guide the identification, evaluation, and selection of proposed projects.

Minimum Requirements

The vision, goals, and revitalization strategies must be clearly presented in the SIP, with general guidance and representative examples provided on the following pages.

Vision

The consultant team will support the LPC in reviewing and refining the vision statement included in the community's DRI/NYF application.

The vision statement should:

- Be future-focused and clearly define how the community would like to see itself in the next five to seven years;
- Be inspiring, aspirational, and ambitious for long-term revitalization;
- Be reflective of the unique nature of the DRI/NYF community and the catalytic impacts DRI/NYF funding will have on the community's downtown;
- Incorporate a diversity of voices through terms, ideas, and statements identified through public engagement;
- Be concise, accessible to all readers, and avoid jargon;
- Avoid metrics;
- Reflect consensus across community sectors;
- Be general enough not to be affected by short term changes; and
- Be locally-specific and not easily transferable to another community.

The next page is an example of a strong vision statement from Newark DRI Round 5.

SECTION **4.2**   REQUIRED COMPONENTS

| **Vision Statement from the Newark DRI Vision, Goals, and Strategies**
(DRI Round 5)

Example of a Strong Vision Statement

"Downtown Newark and the Erie Canal District will be a cultural and commercial center to the Finger Lakes region, serving regional residents, workers, and guests with unique urban vibrancy, blending downtown with the beauty of the surrounding rural landscape and the Erie Canal. As the heartbeat of a lively, world-class Village, downtown serves as a destination for those seeking to live in a unique setting, shop, and work in a vibrant commercial center, and visit a community reflective and central to all that the Finger Lakes has to offer."

(i)

Why this is a Strong Vision Statement

- Future-focused
- Context-specific (e.g., Erie Canal, Finger Lakes)
- Avoids jargon / words not meaningful to the DRI area

SECTION **4.2**   REQUIRED COMPONENTS

Goals

In support of the vision statement and with community feedback, the consultant team will develop a series of goals designed to achieve the community's vision for downtown revitalization. The consultant team will work closely with the LPC to develop and refine these goals; the goals must be responsive to public feedback received throughout the planning process.

The goals of the DRI/NYF community should be:

- Realistic;
- Clear and well-defined; and
- Aligned with and supportive of the community's vision.

Revitalization Strategies

Based on the vision and goals, findings from the downtown profile and assessment, and public feedback, the consultant team shall guide the LPC in the development of creative and ambitious strategies to direct future development and investment in the downtown area. Each goal should be paired with several action-oriented strategies that are locally specific.

The revitalization strategies should:

- Be actionable statements that are specific and have local context;
- Be derived from the opportunities and challenges identified in the downtown profile;
- Relate to the proposed DRI/NYF projects;
- Clearly and concisely direct a type of action to help meet a specific goal; and
- Guide the community on how to continue revitalization beyond DRI/NYF projects.

X

What to Avoid

The following should be avoided during the development of the community's vision, goals, and revitalization strategies:

- Restating a description of the community today
- Developing unattainable actions, especially those not tied to the DRI/NYF area
- Using vague language that could relate to anywhere

SECTION **4.2**   REQUIRED COMPONENTS

| Example of Strong Goals and Revitalization Strategies from the Syracuse DRI (Round 5)
The goals are very specific and the strategies clearly state how to achieve the goals.

Goal | **Improve the vibrancy of commercial and residential real estate in the Southwest Gateway.**
- ✓ Redevelop properties to maximize utilization of vacant or outdated structures and create additional commercial activity throughout the Southwest Gateway.
- ✓ Invest in new development, particularly infill development, to support a diverse array of uses that would help residents (e.g., pharmacies, wellness facilities) and attract people from outside the areas (e.g., food and music venues).
- ✓ Support facade improvements to buildings along the Southwest Gateway's primary commercial corridors.

Goal | **Help small business retain and attract new customers.**
- ✓ Invest in small mom and pop businesses eager to upgrade their buildings / facades that contribute to the vibrancy of the district.
- ✓ Promote small businesses in the Southwest Gateway, helping customers to identify and visit related businesses in the area.

Goal | **Attract a diverse community to the Southwest Gateway.**
- ✓ Create additional housing across the income spectrum, particularly affordable units, to attract new residents and improve the housing stock.
- ✓ Develop and execute a marketing plan for the Southwest Gateway to engage new investors, businesses, potential residents, and visitors.
- ✓ Support public art murals along West Onondaga Street and other key locations in the Southwest Gateway.
- ✓ Support of spectrum of small businesses that vary in the services they offer and the people they serve.

Goal | **Cultivate a walkable, vibrant streetscape that is environmentally-friendly and connected to Armory Square**
- ✓ Encourage pedestrian activity by adding lighting and improving streetscapes, particularly at crosswalks.
- ✓ Increase transit mobility by adding infrastructure improvements that support the use of bikes, scooters, and electric vehicles.

Goal | **Enhance the quality of life in the Southwest Gateway.**
- ✓ Improve public spaces and rights-of-way along business corridors to increase the area's attractiveness and provide additional quality of life amenities for residents, employees, and visitors.
- ✓ Encourage the frequent use of parks through improved infrastructure and additional activities.
- ✓ Support the development of outdoor vendor spaces.

Best Practices + Requirements for Vision, Goals, and Revitalization Strategies

Vision

- The Vision should be specific to the DRI/NYf community and not be so generic that it could relate to any downtown.

- As part of the application, communities developed their own vision for their downtown area. When framing the vision setting to the LPC and the community, it is important to convey that the community is not starting over, but rather is refining that vision in accordance with LPC and public feedback.

- The vision should synthesize key community characteristics and aspirations and ideas gathered during DRI/NYF engagement and celebrate and emphasize aspects of the community that are unique.

- The consultant team should have an established draft vision by the end of LPC Meeting #2 that incorporates LPC feedback and public feedback.

Goals

- Each SIP should have between four and six goals.

- Each goal should be concise and connect to a community characteristic and aspiration.

- Each goal should be a supporting component to achieving the community vision and may emphasize a community characteristic or aspiration.

- The consultant team should have established draft goals by the end of LPC Meeting #2 and should be included in the DRI/NYF Project Form.

Revitalization Strategies

- Revitalization strategies should be drafted after the establishment of the draft vision and goals and prior to LPC Meeting #3 and presented to the LPC at that meeting. These strategies should be refined over the rest of the process. Additional revitalization strategies may be added as project development occurs.

- At the end of the process, the SIP may include revitalization strategies that are not connected to a project. However, each project presented in the final SIP should connect to a strategy.

Examples

- The next page includes several examples of visions, goals, and revitalization strategies that are generally consistent with DOS' expectations for this section. Please use these examples as models or references when working with communities on crafting their visions, goals, and revitalization strategies.

Visions for Downtown

Vision

Set against the scenic backdrop of the LaChute River, Lake George and Lake Champlain, Ticonderoga is a hub for Adirondack and Champlain Valley recreational opportunities and experiences. The downtown is a vibrant, regional business and cultural hub that looks to the future while recognizing its identity as a historic community. At the heart of the downtown is Montcalm Street, a pedestrian-friendly corridor that features charming specialty shops and restaurants, a mix of heritage tourism and pop culture venues, arts and entertainment attractions, and contemporary services. The corridor is surrounded by natural beauty and public open spaces that offer visitors and residents an opportunity to experience a variety of outdoor activities within walking distance of downtown.

Vision

Downtown Sleepy Hollow will be a **vibrant, welcoming, and easily accessible** community in the Mid-Hudson region that showcases its legendary history, celebrates its cultural diversity, and offers a model for sustainable living.

Made famous by Washington Irving's short story, the Village of Sleepy Hollow will become a **year-round destination** for residents and visitors alike by building upon its strengths—a charming and walkable mixed-use district located near to **public transit, thriving immigrant-owned small businesses,** and the beautiful Hudson River waterfront.

In doing so, the Village will cultivate a **downtown that expands opportunities for all.**

SECTION II
VISION, GOALS, AND STRATEGIES

VISION STATEMENT

"Perry's distinct, revitalized downtown will be a gem at the center of a village known for its high quality of life and strong sense of community.

People will pick Perry because of the range of housing, employment and culinary options it offers, all reflected in its downtown. Visitors will be drawn year-round by the variety of restaurants and shops, as well as civic, arts and cultural events and family activities. Downtown Perry will be a base for exploring the surrounding natural beauty, agricultural landscapes, and recreation opportunities, offering unique accommodations and trail connections to Letchworth State Park and Silver Lake."

Goals + Revitalization Strategies

2 Foster a healthier community by investing in public realm improvements that promote environmental sustainability and protect and prioritize pedestrians and cyclists.

a. Install bike racks along existing and planned bike routes and delivery nodes. In addition, expand bike networks by adding protected lanes on heavily trafficked routes.

b. Extend curbs and apply traffic-calming measures to intersections that see high numbers of conflicts between vehicles and pedestrians, specifically intersections along East 125th Street.

c. Prioritize streetscape improvements along 125th and 116th streets and connections to secondary activity nodes, by adding trees, planting, lighting, and waste receptacles.

d. Incorporate green infrastructure projects such as bio-swales and green roofs along 125th and 116th streets, and around the Third Avenue, RFK, and Willis Avenue bridges to bolster environmental resiliency and reduce urban heat island effect.

e. Support community gardens with capital improvements and expand their visitation to community members.

GOAL Support the redevelopment of underutilized lands and the rehabilitation of underutilized buildings to accommodate new uses and to reinforce the character of Main Street.

GOAL Create a year-round, regional destination that promotes Perry's arts and culture scene, attracts visitors, and enhances residents' quality of life

Goal 3:
Enhance Downtown Aesthetics and Connectivity

Strategy 1: Create a Cohesive and Inviting Urban Form

Strategy 2: Improve Pedestrian Infrastructure

Project Development

In this Section:
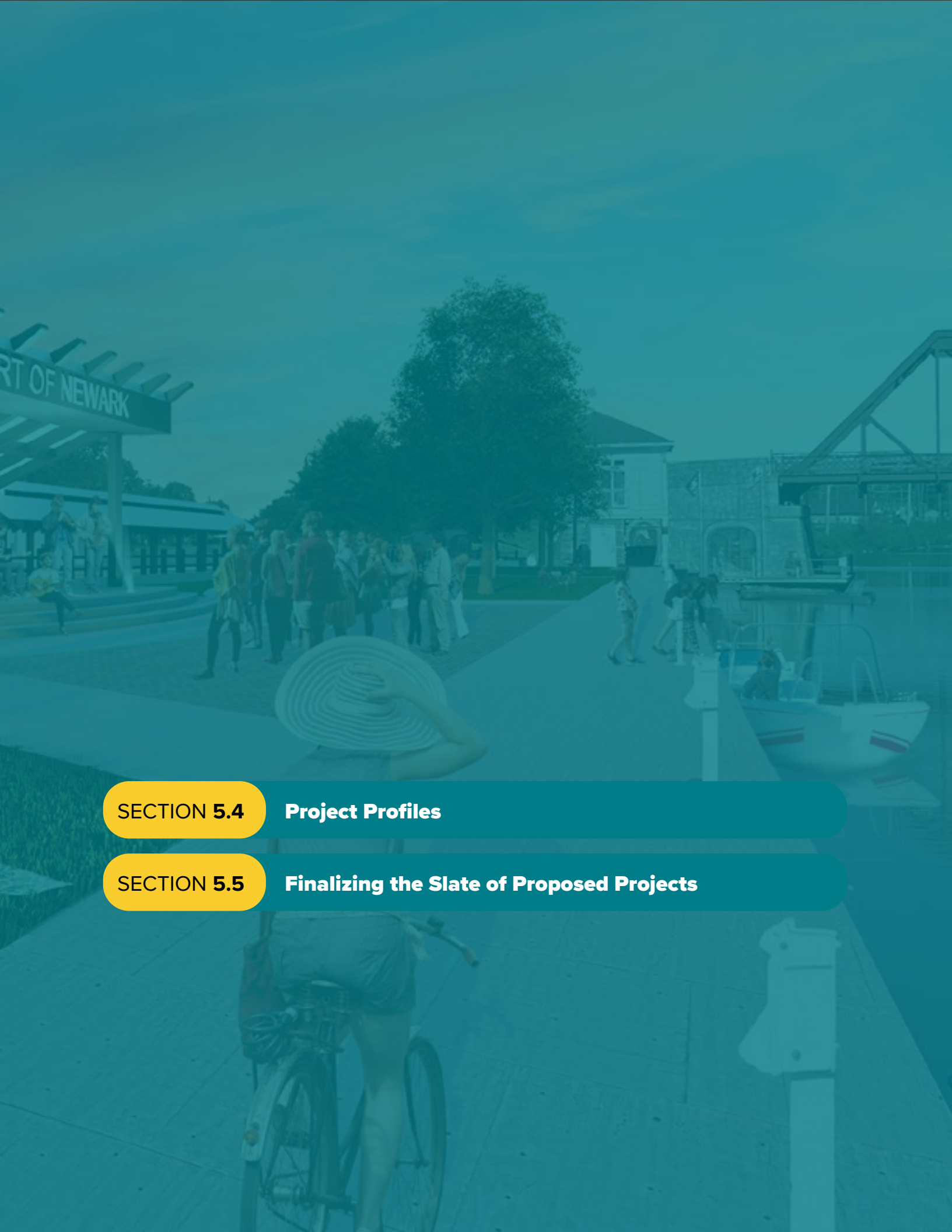
SECTION **5.4** Project Profiles

SECTION **5.5** Finalizing the Slate of Proposed Projects

Purpose and Schedule

Proposed projects seeking Downtown Revitalization Initiative or NY Forward funding should catalyze future downtown revitalization, further the community's vision and goals, and benefit a growing downtown.

Purpose

As part of the Strategic Investment Plan (SIP), communities should identify transformative projects that may be realized with an investment of Downtown Revitalization Initiative (DRI) or NY Forward (NYF) funds. It is expected DRI/NYF funds will be used for capital projects that will transform the physical environment of the downtown in ways that will benefit current residents and future generations. However, certain non-capital projects that may lead to capital investment will also be considered to the extent that they will contribute to the revitalization of the downtown and are consistent with the community's vision, goals, and revitalization strategies.

Project identification, development, and evaluation by the Local Planning Committee comprises a substantial portion of the planning process. The project development phase is fast-paced and collaborative; it requires that project sponsors, the consultant team, and the Local Planning Committee (LPC) be engaged in a process that will result in a slate of recommended projects, which will help the community progress toward its vision of a revitalized downtown.

| Example of a Proposed Project Rendering (Little Falls Round 5)

Schedule

The graphic to the right identifies key milestones related to the identification, development, and refinement of proposed projects over the course of the planning process.

- Public engagement and the Open Call for Projects should occur during the early months of the planning process to inform the community about the opportunity to submit proposed projects for the LPC's consideration.

- Projects received in the early months of the process will be presented at LPC Meeting #3. At LPC Meeting #3, the LPC will begin discussing and refining the list of proposed projects.

- Following LPC Meeting #3, the consultant team will work closely with project sponsors and the LPC to develop projects, conduct site visits, and identify information needs. During this period, the LPC will also be discussing and evaluating projects as they narrow the list into a final slate of projects.

- At the final LPC Meeting, a final slate of proposed projects will be identified for inclusion in the SIP. Project profiles may be further refined for inclusion in the SIP as it is compiled.

☑ **Begin Public Engagement, LPC Meetings, and Stakeholder Meetings**

☑ **Hold Open Call for Projects**

☑ **Initial List of Proposed Projects is Presented and Reviewed at LPC Meeting #3**

☑ **Refined List of Proposed Projects is Presented and Reviewed at LPC Meeting #4**

☑ **Refined List of Proposed Projects is Presented and Reviewed at LPC Meeting #5**

☑ **Final Slate of Projects Recommended for DRI/NYF Funding to be Identified at LPC Meeting #6**

☑ **Submit Final Project Profiles as Part of the Strategic Investment Plan**

←— Project Development with Project Sponsors —→

SECTION **5.2**

Project Types and Requirements

Overview

This planning process is designed to encourage creative and innovative approaches to downtown revitalization, resulting in a list of projects, including projects that were contemplated in the community's DRI/NYF application and others that arose during the process. DRI and NYF fund a wide variety of capital projects, which generally fall into the following categories under Eligible Project Types.

Eligible Project Types

- **New Development and/or Rehabilitation of Existing Downtown Buildings.** Projects in this category may include the development or redevelopment of real property for mixed-use, commercial, residential, not-for-profit, or public uses. All projects should be capital investments or should lead to capital investments. They should have a visible and functional impact on the downtown, serving as catalytic or transformative projects that will provide employment opportunities, housing choices, and/or services for the community. Proposals to construct or rehabilitate parking facilities will only be considered if they directly support new development in the downtown area.

- **Public Improvement Projects.** These may include projects such as streetscape and transportation improvements, recreational trails, wayfinding signage, new and upgraded parks, plazas, public art, green infrastructure, and other public realm projects that will contribute to the revitalization of the downtown.

| **Example of a Completed Park Project** (Watkins Glen Round 2)

- **Small Project Fund.** A locally managed matching small project fund may be proposed to undertake a range of smaller downtown projects such as facade enhancements, building renovation improvements to commercial or mixed-use spaces, business assistance, or public art. Funds are capped at $600,000 for DRI communities and $300,000 for NYF communities. However, a NYF community can receive up to $600,000 if there is substantial demand demonstrated for a Small Project Fund.

- **Branding and Marketing.** Downtown branding and marketing projects that may target residents, investors, developers, tourists, and/or visitors are eligible projects. The costs eligible under this category must be one-time expenses, such as those to develop associated materials. Ongoing operational costs, such as funding a downtown manager or maintaining a website, are not eligible for DRI/NYF funding.

X

Ineligible Activities

There are few restrictions on the use of DRI/NYF funds other than the requirement that proposed projects are largely capital in nature, can be implemented quickly, and as a whole, have a transformational impact on the downtown. However, a few specific activities have been identified as ineligible for DRI/NYF funds and should not be included in projects proposed for DRI/NYF funding. These ineligible activities include:

- **Standalone planning activities.** Following the preparation of the Strategic Investment Plan (SIP), all DRI/NYF funds must be used for projects that directly implement the plan.

- **Operations and maintenance.** DRI/NYF funds cannot be used for ongoing or routine expenses, such as staff salaries and wages, rent, utilities, and property upkeep.

- **Pre-award costs.** Reimbursement for costs incurred before the completion of the SIP and the announcement of funding awards is not permitted.

- **Property acquisition.** The cost of property acquisition can be included in the overall project budget, but the acquisition must be funded by another funding source.

- **Training and other program expenses.** The DRI and NYF programs are a one-time infusion of funds and cannot be used to cover continuous costs, such as training costs and expenses related to existing programs.

SECTION **5.2**   PROJECT TYPES AND REQUIREMENTS

Project Requirements

The DRI/NYF programs are designed to fund transformational projects that have the potential to create an immediate, positive effect on a community's downtown. Projects recommended for DRI/NYF funding in the SIP should meet the following requirements:

- **Timing.** Projects must be able to break ground within two years or sooner of receiving DRI/NYF funding.
- **Project Size and Scale.** Projects must be large enough to be truly transformative for the downtown area. Standalone DRI/NYF projects must be at least $75,000 in total project cost.* Projects less than $75,000 can be submitted through this process as demonstration of demand for a Small Project Fund.
- **Project Sponsors.** Every project must have an identified project sponsor. Sponsors may be public, not-for-profit, or private entities with the capacity and legal authority to undertake the proposed project.
- **Financing.** Projects should have financing commitments largely secured or be able to demonstrate a clear path to securing sufficient financing. This financing, combined with DRI/NYF funding, should enable the sponsor to undertake the project expeditiously.
- **Matching and Leverage.** For projects with a private sponsor, there is a minimum match requirement of 25% of the total project cost.** There is no minimum match

requirement for public or not-for-profit projects. However, the LPC may impose additional match requirements as part of the planning process for all project types. For a small project fund, matching requirements must be no less than 25% of the total cost per project.

- **Site Control.** The project sponsor must have site control or be in the process of acquiring site control. If the project sponsor is leasing or renting the proposed project site, the property owner must agree to the proposed project in writing.
- **Reimbursement.** Any DRI/NYF funding provided for projects will be made available on a reimbursement basis only after expenses are incurred or in some cases, after a project has been successfully completed in its entirety. Project sponsors will be expected to demonstrate financial capacity to complete the project while awaiting reimbursement.

Non-DRI/NYF Leverage

It is strongly encouraged that all projects, especially private projects, leverage non-DRI or NYF funds. DRI and NYF project funds are best used to fill funding gaps and facilitate other investment.

*A project may be exempt from the $75,000 minimum project cost under special circumstances. This exemption can only be sought after consultation with the consultant and State team.

**A private project may be exempt from the 25% minimum match requirement under special circumstances. This exemption can only be sought after consultation with the consultant and State team.

- **Building Decarbonization.** For DRI/NYF communities, all public, private, and not-for-profit projects that meet the criteria for new construction, substantial renovation, or a building addition shall include decarbonization techniques. Each of these projects will select a method demonstrating that the project satisfies the program decarbonization requirements, called the compliance path. Technical assistance regarding decarbonization strategies will be provided to project sponsors by NYSERDA and its consultants.

  - The following projects are required to comply with the decarbonization standards:
    - New construction and building addition projects > 5,000 SF
    - Substantial renovation projects > 5,000 SF and other renovation criteria
  - Projects meeting these criteria are required to follow one of the compliance pathways listed below:
    - Meet the New York State Stretch Energy Code, regardless of local adoption of the code
    - Obtain an Energy Star score of 90 or better using EPA's Target Finder Calculator
    - Obtain a certification from an approved third-party organization, such as Energy Star, LEED, etc.
  - Because decarbonization improves building performance and energy efficiency and reduces operating costs, projects are encouraged to implement decarbonization techniques even if they do not meet the threshold criteria. These projects will also receive the same technical assistance for decarbonization as provided to those DRI/NYF projects that are required to comply.

Building Decarbonization

As New York strives to reduce greenhouse gas emissions, decarbonizing buildings is a key component of the state's strategy. Decarbonizing buildings occurs by making equipment and systems in new construction and existing buildings more energy efficient and powered by emissions-free sources. The DRI and NYF programs support this effort by suggesting decarbonization strategies for individual buildings as well as requiring that certain DRI/NYF building projects meet decarbonization standards.

Benefits of Building Decarbonization

- Promotes healthier and safer buildings with improved indoor air quality, which improves overall health and enhances cognitive functioning
- Reduces utility bills by making buildings more energy efficient
- Increases resilience of buildings by using techniques to increase energy efficiency and generate and store power locally.
- Improves community health by improving outdoor air quality through reduced carbon emissions
- Supports local job creation through the design and installation of energy-efficiency measures
- Helps achieve the State's goals for carbon emissions reduction in accordance with the New York Climate Leadership and Community Protection Act.

Project Development

Overview

Given the diverse ways that project proposals are identified as described in Section 2.6: Project Identification, projects arrive to the process in different stages of development ranging from ideas to fully-formed proposals with clear budgets and design concepts. The project development portion of the DRI/NYF planning process is designed to first assist project sponsors with determining if the project is viable for DRI/NYF funding. Project viability can be affected by various factors, including but not limited to ineligibility, or lack of project sponsor, financing, site control, or readiness.

If a project is viable, this process shifts to the consultant team working with project sponsors to refine a project so the project can meet State standards and be ready for implementation if selected for inclusion in the final slate of projects. During this portion of the process and guided by the requirements listed in Section 5:4: Project Profiles, project sponsors and the consultant team work together to develop budgets, project justifications, and concept designs, among other project components.

While the consultant team may provide significant technical support to project sponsors (e.g., rendering development, planning level cost estimates, development of project profiles, etc.), it is critical that project sponsors communicate frequently with the consultant team and provide necessary project information in a timely manner. The consultant team, in close coordination with the State team, will also be responsible for helping project sponsors understand the requirements of the DRI/NYF grant funds, which are structured as reimbursable grants.

Roles and Responsibilities

The Consultant Team is expected to:

- Coordinate, schedule, and facilitate meetings with all project sponsors

- Conduct a site visit with each viable project sponsor at the proposed project site

- Conduct ongoing meetings, as needed, to develop and refine proposed projects

- Answer questions and facilitate ongoing meetings, as needed, to discuss the DRI/NYF program, eligible project activities, and a project sponsor's capacity to implement the proposed project and ensure its long-term success

- Coordinate NYSERDA technical assistance, as needed, based on the proposed project type and scope

- Develop project profiles, including conceptual renderings and cost estimates

Project Sponsors are expected to:

- Clearly define the project's purpose and scope and how it relates to the community's vision, goals, and strategies

- Work closely with the consultant team to provide the necessary information to support the development of the project profile, including a detailed scope of work, cost estimates, and renderings

- Provide information in a timely manner to enable review and evaluation by the LPC

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SECTION 5.3 — PROJECT DEVELOPMENT

What Makes a Project Idea into a Viable Project?

- Eligible project activities

- A project sponsor that has the legal authority and capacity to implement the project

- Sufficient financing

- Site control or demonstrated ability to acquire the property or receive permission to implement a project

- Readiness and capacity to implement the project within two years of DRI/NYF funding

| **Site Visit with Project Sponsor** (Auburn Round 3)

Project Profiles

Overview

The project profile is a description of the proposed project that includes all relevant information needed to evaluate the project in the context of downtown revitalization. The profile is the documentation of the project development and refinement process. The project profiles, which are developed for each proposed project, are the primary content generated during the planning process.

Each project profile should be able to stand on its own and should contain all the information needed to evaluate it in the context of the community's downtown revitalization effort. The content of each project profile is expected to evolve throughout the planning process, with the final project profiles providing the level of detail needed to move quickly from evaluation to funding and, if awarded, to implementation. Each SIP should include project profiles for all projects that would advance the community's vision for downtown revitalization.

Roles and Responsibilities

The LPC is expected to:

- Review project profiles as they are made available and come to each LPC meeting prepared to discuss the proposed projects
- Identify additional information and/or desired project elements needed to keep the project in consideration for DRI/NYF funding

Project Sponsors are expected to:

- Work closely with the consultant team to provide necessary information in a timely manner to support the consultant team's development of the project profile

The Consultant Team is expected to:

- Draft and finalize all content, renderings, photographs, and/or graphics required for the project profiles
- Work closely with project sponsors and the LPC to obtain and develop the necessary information and data to support the development of the project profiles

Project Profile Contents

Each project profile is required to address the following topics. Below are instructions for how to address that topic for each project as well as examples of how that topic could be successfully covered in a project profile.

Project Title

The project title must begin with an action-oriented statement and should succinctly describe the "what" and "where." Project titles must:

- Begin with an action (Transform, Expand, Establish, Renovate, Build, Create, etc.)
- Name the outcome if applicable (Public Plaza, Job Training Center, Small Project Fund, Mixed-Use, Housing)
- Name the location if applicable (Historic Edwards Building, Historic Cannon Building, Long-Vacant Historic Buildings, Corner of Main & Clinton, 78 Bridge Street)

Examples

- *Construct Mixed-Use Development on West Water Street*
- *Transform City Centre into an Indoor Market and Performance Space*
- *Renovate 13-15 Central Avenue to Create New Office Space*

DRI/NYF Funding Request and Total Project Cost

Each project profile must state the requested amount to be paid by DRI/NYF funds, the total project cost, and the percentage of total costs requested. It is expected that the DRI/NYF funding request for private projects will represent just a component of the overall project budget. The total project cost should reflect costs paid for by DRI/NYF funds, as well as private equity or financing, tax credits, or other public funding or financing. Those sources of additional funds should be listed in the project budget.

Example

Total DRI Funds Requested: $2,500,000

Total Project Cost: $6,500,000

% of Total Project Cost: 40%

Project Description

A complete but concise description of the project that includes the scope of the project and what will be planned, designed, and constructed; the background of the project and project site, including any previous planning work and general context needed to understand the project, and a brief description of the merits/goals of the project. This description should include the following, if applicable:

- A description of the proposed use (e.g., commercial, industrial, residential, public improvement, or mixed-use) and the specific proposed improvements. For example, a description of a residential or mixed-use development may include information about the estimated number of units, building stories, commercial square footage, housing class (e.g., affordable, market-rate, workforce housing), or commercial tenants (if identified). A description of a park improvement may include details about specific improvements such as new seating areas, lighting, landscaping, path construction, etc.

- The current use and condition of the property and the size of the area impacted by the project, such as number of square feet per floor and number of building stories.

- A description of any work or planning done previously on the proposed project.

- For a small project fund, a description of the types of projects that will be funded must be included. Eligible activities, activity funding limits, private funding requirements, and other requirements unique to the DRI/NYF should be included.

Example

Village Green, situated proximate to Main Street in a residential setting, is the primary community park within the Village, providing a range of programming and amenities. Although widely used by the community, the amenities within the park are outdated and need upgrades. The existing path is deteriorating, and the playground equipment is updated and inaccessible to some of the Village's population. Additionally, the park lacks modern amenities that would support the needs and interests of residents. To ensure an inclusive and welcoming recreation facility for all users, in 2023, the Village hired a consulting firm to complete a park master plan. The park is envisioned to get a comprehensive update, with upgrades to be completed in phases as funding becomes available.

The first phase, which is proposed for NYF funding, includes installing a large playground area with ADA-accessible equipment, a nature play area, a splash pad, and 1,000 square yards of new walking paths to provide access to and around the new playground areas. The walking path will be six feet wide and constructed with concrete to ensure accessibility for all users.

The proposed upgrades to Village Green will provide new and upgraded recreational options for community members that encourage healthy living and improve quality of life. The ADA playground equipment will expand recreational options for those with mobility differences and ensure that all in the community can access play spaces equitably. The ADA equipment and splash pad also have the potential to make the park into a regional destination, as these facilities are not available in nearby communities.

SECTION **5.4**   PROJECT PROFILES

Project Location/Address

Each project profile must indicate the location of the project and its physical extent, including the address if available with a location map. For small project funds, as well as branding and marketing projects, identify the project target area and provide a geographical representation of the project limits.

Example
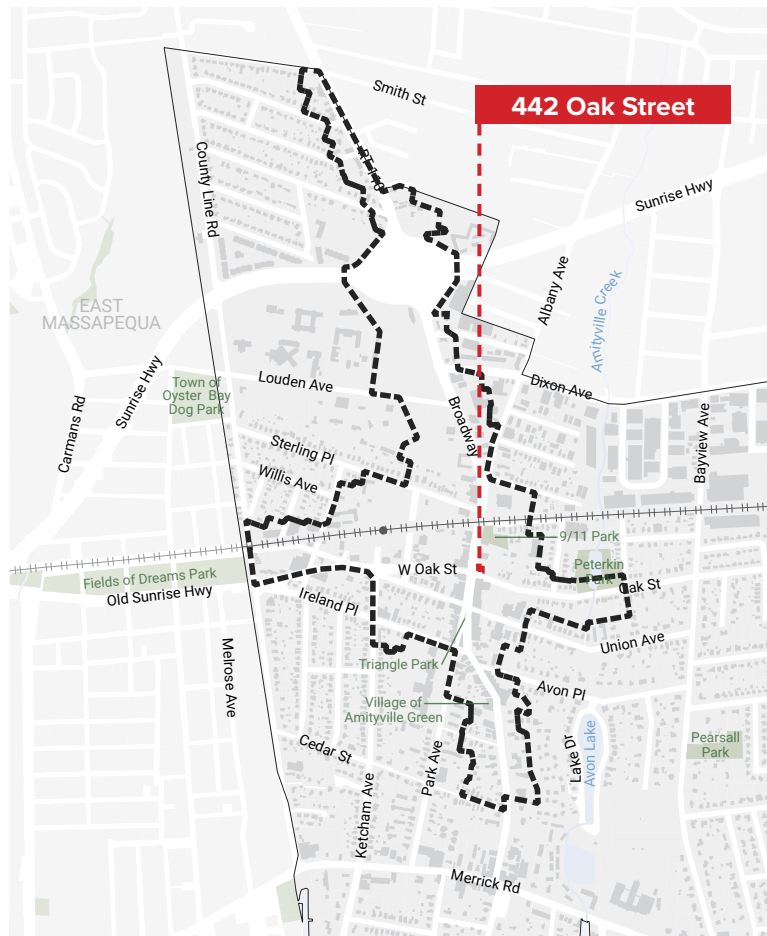
Project Sponsor

The project sponsor that will implement the project shall be identified. A project sponsor must be a legal entity; it cannot be an individual. The entity should have the legal authority to execute a contract with the State for any awarded funds as well as undertake and oversee the project. For small project funds, an entity must be identified who will manage the fund and contract with the State.

Property Ownership

This section must identify the current ownership of the property on which the project will be located. If the project requires the acquisition of real property, describe the need for property acquisition and its status. If the project sponsor is not the property owner, this section should describe the sponsor's rights to the property or how the sponsor will obtain permission to carry out the proposed project.

Property acquisition as a stand-alone project, without a committed redevelopment activity, is not eligible for DRI/NYF funds. While property acquisition may be part of a project, the cost of acquisition is not eligible for DRI/NYF funds. Project Sponsor and Property Ownership may be combined into one section in the Project Profile.

Examples

Example of Same Owners and Sponsors

The City is the property owner and project sponsor for the implementation of streetscape improvements on proposed neighborhood side streets.

Examples of Different Owners and Sponsors

- *The project sponsor is Artists Group, a local arts organization that fosters community through the arts. The property owner of the waterfront park and trail is the Village. The Village is fully supportive of this project and will develop a maintenance agreement with the project sponsor for the proposed sculpture installation.*

- *The current owner is King Development Corporation. ABC Realty, LLC, which will be the new property owner and project sponsor, executed a purchase agreement for the property, dated May 17, 2018. The agreement is contingent upon ABC Realty obtaining a zoning change to permit the proposed use.*

Example of Owners and Sponsors of Funds

The City Department of Neighborhood and Business Development will administer the Fund. All individuals, entities, or companies receiving funding will be the principal owner of the property or have an agreement with the principal owner to make alterations to the subject property.

SECTION **5.4**   PROJECT PROFILES

Capacity

This section shall describe the capacity of the project sponsor to implement and sustain the proposed project and include reference to any other proposed DRI/NYF projects in which the project sponsor is involved. This section should describe the sponsor's experience with developing and sustaining similar projects, the sponsor's experience with state or federal funding programs, and how this project, particularly if a public improvement project, will be maintained after project completion. For small project funds, information about the entity that will implement the fund, the entity's experience, its organizational structure, and how the fund will be managed should be included.

If there are partners involved with the implementation of this project, they should be identified in this section, and their roles should be described. Partners include key public, not-for-profit, and private entities or organizations needed to implement the projects (e.g., funding partners, operational partners). This does not include entities that are part of the project development team (e.g., architects, engineers, etc.).

Examples

- *The Village will be overseeing the implementation of the proposed project with the assistance of contracted professional planning, engineering, and construction firms. The planning and engineering firms will assist with the design of the project. The Village will subsequently release an RFP for contracting services to construct the approved design. With the assistance of these firms, the Village has implemented many public improvement projects, including streetscapes and park improvements, such as the recently added fitness center at the outdoor recreation area. Many of these public improvement projects were subsidized with state and/or federal funds, including CDBG, NYSDOT, and DEC, and were successfully managed by the Village. The Village intends to provide for future maintenance costs of the project in subsequent budgets. No partners have been identified for the implementation of this project*

- *The Youth & Family Center will be responsible for the implementation of the project. Founded in 1910, the Youth & Family Center is a longstanding 501(c)(3) non-profit organization that promotes youth and family development, healthy lifestyles, and social responsibility. The Center has extensive grant management experience including the management of millions of dollars in grants from the following organizations: Food Bank, United Way, County Youth Bureau, Office of Children and Family Services, ABC Foundation, and City School District, among others.*

  The Center currently provides numerous services to the community, including a food pantry, thrift store, childcare, and technology access. This project will help the Center expand its services and better meet the needs of the local population. To further its service offerings, the Center is collaborating with local and regional non-profits, including the Food Bank and ABC Foundation. The Food Bank will be an operating partner as it will be leasing a space in the building to expand the existing food pantry. The ABC Foundation, an existing financial supporter, will help fund the programming at the Center.

SECTION **5.4** PROJECT PROFILES

Revitalization Strategies

The DRI/NYF strategies that the project addresses and their alignment with relevant DRI/NYF and REDC strategies should be identified in this section.

| **City of Amsterdam** (DRI Round 3)

Example | *Enhance and Activate Downtown Public Spaces*

DRI STRATEGIES:
* *Increase access to recreational, cultural, and family-friendly activities and amenities.*
* *Build a concentration of activities and services around downtown anchors to attract visitors and extend their stay.*
* *Provide a network of public spaces that support year-round activities.*
* *Integrate green infrastructure, landscaping, art, and other amenities throughout public spaces to increase resilience to climate change and establish a sense of place.*

REDC STRATEGIES:
* *Facilitate growth of tourism opportunities.*

SECTION **5.4**   PROJECT PROFILES

Decarbonization and Environmental Resiliency

Project profiles must state whether or not the project meets the decarbonization compliance criteria (Section 5.2) and why (e.g., substantial rehabilitation of over 5,000 square feet that includes replacement of its heating, cooling, and lighting systems). A description of the decarbonization techniques proposed by the project sponsor should be included in this section. If the project sponsor has identified a compliance path at this stage, that should be indicated; otherwise, the profile should identify the compliance path under consideration. This section should also identify any incentives or energy efficiency programs for which the project sponsor intends to explore and/or apply.

For projects that do not meet the criteria but are electing to follow one of the compliance paths or intending to pursue key decarbonization strategies, that compliance path and/or a description of the strategies should be included in this section.

In addition to describing the decarbonization strategies, this section should also describe how the project incorporates resiliency as related to the environment. For example, projects may include natural measures such as bioswales, rain gardens, living shorelines, green roofs, creation of open space, etc. to address resiliency. If a project is located within a flood hazard area, this section must identify the measures and techniques that will be incorporated into the project to mitigate flood risk.

Examples

- *As a newly constructed building greater than 5,000 square feet, the proposed project must satisfy DRI/NYF decarbonization requirements. The project sponsor plans to meet the NYStretch Energy Code. Strategies will include LED lighting, high-efficiency HVAC and water heating equipment and distribution, properly insulated walls, floors, and roof and high-performance windows. Electrical systems will be sized for a future solar electric system, and the design may include electric HVAC and water heating systems. The project is exploring local utility incentives for the construction of the building.*

  In addition to constructing a more efficient building, the project will also use permeable pavement for its parking lot and install rain gardens and bioswales to manage stormwater runoff. Additionally, the project will incorporate native and drought-resistant plantings that require minimal maintenance.

- *As a streetscape project, there are no required decarbonization measures; however, the pedestrian connections established in this project will enhance walkability and may reduce automobile use and carbon emissions. Additionally, the streetscape will incorporate energy-efficient LED streetlights. The project promotes resiliency through the addition of pollinator plantings and street trees, which will provide improved stormwater management and habitat connectivity for pollinating insects and birds in a built environment that currently lacks these resources.*

Public Support

The level of public support for the project should be described, including any key project elements that were strongly supported by the community. If applicable, this section should also refer to any specific outreach and documented support for a project that was outside the DRI/NYF public engagement process (e.g., comprehensive plan, letters of support, non-DRI/NYF public meetings, etc.)

Examples

- *Many residents and LPC members expressed support for renovating this iconic building. Based on the feedback from Community Meeting 1, 92% of the Village's poll respondents expressed support for maintaining the historic integrity of buildings in downtown. Moreover, 67% of community respondents showed support for more diverse retail options in the downtown area. This project provides an excellent opportunity to both maintain the historic integrity of downtown through renovating existing buildings while also adding additional options for retail stores.*

- *Previous community outreach efforts of the city and the county have demonstrated strong support for the restoration of the city core and for mixed-use redevelopment. During the DRI planning process, this project had strong support by participants due to the perceived economic and aesthetic benefits of redevelopment and revitalization. The LPC felt that this was an important project that needed to be addressed, especially as the building has significant critical safety needs that have the potential to impact other downtown buildings.*

Project Budget

A firm and detailed cost estimate that includes a breakdown of sources and uses of funding is required for each proposed project. The budget should be developed using the following guidelines:

- All projects must use the prescribed budget table. The budget should be broken down into specific component activities or into grouped activities for each budget line.
- Public improvement projects should be broken down into component activities, including relevant soft costs. For example, a streetscape project could include itemized activities such as design and engineering, sidewalk installation, street furniture (benches, planters, trash receptacles, etc.), or asphalt resurfacing.
- New building or rehabilitation project activities can be grouped into a singular "construction" activity, but activities associated with soft costs, site improvements, or other non-building construction should also be broken down into component parts.
- A DRI/NYF small project fund budget should have separate line items for administration expenses, soft costs, and the proposed fund activity (e.g., façade rehabilitation, permanent machinery, etc.). The budget table should include any local match and/or private owner match. Matching requirements will be established by the DRI/NYF LPC as local conditions warrant matching requirements must be no less than 25% of the total cost per project.

- Branding and marketing projects should be broken down into component activities. For example, a branding and marketing project may include activities such as branding design, website development, or design of marketing materials. If a wayfinding signage project is combined with a branding or marketing project, those distinct costs, such as fabrication and installation of wayfinding signage, should be identified.
- All budgets should include specific soft costs if required for the project. Soft costs should be broken down into design, engineering, legal, and other soft costs to the extent practicable.
- Contingency amounts should be appropriately factored into all project budgets, as appropriate. These amounts should be factored into budget line items and not shown in a separate line.

SECTION **5.4**   PROJECT PROFILES

- The funding source for each line item should be specifically identified to the best knowledge of the project sponsor. It must be clear what components of the project will be paid for with DRI/NYF funds and other sources of funding. Sources of funding other than the DRI/NYF may include private equity or financing, tax credits, or other public funding or financing; and bond documents, memorandum of understanding, contracts, or other instruments. If the project sponsor does not have specific funding sources identified for project activities, that must be explained in the Budget Narrative section. The status of all funding sources must be stated in the budget table using the following definitions:

  – **Secured:** This funding source and amount of funding is guaranteed, and documentation has been provided demonstrating that the funding will be available at the time of project implementation.

  – **Anticipated:** This funding source is reasonably expected to be available at the time of project implementation, but the project sponsor does not have the funds currently available. This status may apply for funding sources such as loans, bonds, or fees.

  – **Requested:** The project sponsor has submitted a request to a funding entity for the amount identified but has not received confirmation of funding. This category is appropriate for the DRI/NYF funding source or other grants.

  – **Undetermined:** This funding source has not been secured, and the project sponsor has not fully identified the funding sources and amounts. This status may be appropriate for projects that anticipate a capital campaign, but no activity has yet occurred to obtain those funds.

- All project budget line items should be rounded to the nearest $1,000, meaning the total project cost and DRI/NYF request amounts will be rounded to the nearest $1,000.

SECTION 5.4   PROJECT PROFILES

Example | *Create the Regional Health & Wellness Center*

Activity	Amount	Funding Source	Status of Funds
Construction	$3,820,000	DRI	Requested
	$6,481,000	Bank Loan	Anticipated
	$500,000	RG&E	Requested
	$200,000	Restore NY	Requested
	$100,000	ESD Capital	Requested
	$530,000	Capital Campaign	Undetermined
	$470,000	ARPA Funding	Secured
Drainage Infrastructure/Site Work	520,000	DRI	Requested
Permitting / Inspections	$198,000	Bank Loan	Anticipated
Design	$352,000	Bank Loan	Anticipated
Construction Administration	$831,000	Bank Loan	Anticipated

Total DRI/NYF Funding Request	$4,340,000
Total Funding from Other Sources	$9,662,000
Total Project Cost	$14,002,000
% Requested of Total Project Cost	31%

Example | *Enhance Streetscaping Along Main Street*

Activity	Amount	Funding Source	Status of Funds
Stamped Asphalt	$69,000	DRI	Requested
Asphalt Resurfacing	$162,000		
Median Landscaping	$312,000		
Sidewalk Widening	$78,000		
Retaining Wall Repair	$67,000		
Decorative Fencing	$57,000		
Design and Engineering	$112,000		

Total DRI/NYF Funding Request	$857,000
Total Funding from Other Sources	N/A
Total Project Cost	$857,000
% Requested of Total Project Cost	100%

Budget Narrative

The budget narrative must explain how the cost estimate was developed and verified. If contingency is included in the project budget, the percentage of contingency and justification for that amount of contingency should be explained. The status of funding, particularly for all funding that is not secured, must be explained, and a timeline and/or plan for obtaining the unsecured funding should be discussed. This includes any funding identified as Anticipated, Requested, or Unsecured. For example, if a loan is identified as the source of funding, this section should describe the plan to obtain that loan. The project sponsor should be able to provide documentation of the status of other funding sources. If there have been previous investments in the project, they should be discussed in this section; however, those activities should not be in the proposed project budget as the project budget should only account for planned/future activities.

Example

The project budget, which is based on standard construction estimating methods, was prepared by a licensed architect familiar with the proposed design improvements associated with this project. The 10% contingency included in the budget is within the typical range for this type of project to account for unanticipated project modifications. The sponsor has identified four sources of funding needed to complete the project. The first source of funding, which represents 40% of the overall project budget, is the requested DRI funding. The second source of funding, which represents 30% of the overall project budget, is the project sponsor's cash equity. This funding is secured in the form of a mortgage that is supported by a commitment letter from the bank in the amount stated in the project budget.

The third source of funding, which represents 20% of the overall project budget, is currently being raised through a capital campaign. The project sponsor has secured approximately half of the goal amount and anticipates reaching the campaign goal within one year. The final source of funding, which represents 10% of the overall project budget, will be secured through the NY State and Federal Historic Tax Credit Programs. A Part 1 form has already been submitted, and Part 2 will be submitted if and when DRI funds are awarded to the project. The property is listed on the State and National Registers of Historic Places and the project architect specializes in historic preservation. Therefore, it is anticipated that the proposed work will meet the Secretary of the Interior's Standards for Rehabilitation, and the tax credits will be approved.

SECTION **5.4** — PROJECT PROFILES

Project Need and Impact

This section must demonstrate the need and feasibility for the project and characterize the potential impact and benefits of the project on the downtown and the surrounding region. To demonstrate need and feasibility for a private project, this section should discuss economic assessments, pro-formas, market studies, and/or other analyses, as appropriate. It could also incorporate findings from the downtown profile and assessment to support the need a certain type of development. For a public project or not-for-profit project, there could be a reference to a community need (potentially identified in the downtown profile and assessment) or other evidence that demonstrates the local and/or regional demand and/or interest in the project's long-term viability. This may also include a discussion of existing conditions that necessitate the proposed project.

In characterizing the potential impact and benefits, this section should describe the economic, environmental, climate resilience, health, and social impacts, as applicable, of the proposed project. These should be context-specific and clearly explain the connection between the impact/benefit and the project.

Example

The proposed project will help address the housing shortage in the community, and it has been demonstrated that the local market can absorb additional housing. The project sponsor commissioned a third-party preliminary market study, which established the appropriate number of units that can be absorbed so there is no possibility of over-building and vacancy, the appropriate mix of units according to bedroom size, and the appropriate income targeting and rents.

The market study also determined the number of units that the local housing demand supports, as well as the proposed rents based on working household incomes locally and county-wide. The market study identified that approximately 80% of expected tenants will come from the Primary Market Area. It also indicated that the housing units are expected to be rented at a rate of eight units per month, with an especially strong demand for studios and one-bedroom apartments. The project is anticipated to house approximately 130 people.

This project will immediately result in removing an abandoned, blighted, and unsafe building. Constructing the proposed housing project will also increase housing options for the local workforce, which will benefit the business community and strengthen economic development ventures in the region. New housing will also provide a larger year-round residential population creating a greater customer base for local businesses and helping to stabilize the declining school population. The availability of workforce housing may also give private investors more confidence to launch a brand-new business or project. The project will promote housing stability, economic revitalization, and quality-of-life improvement for residents.

Further, the community has experienced a significant rise in housing prices due to the increase in short-term rentals and pandemic-related migration. These factors have made it difficult for local workers and residents to afford housing, and housing prices for both owners and renters are expected to continue to rise. This project will address the need for housing at affordable price points, enabling the community's workforce to live in the community and for existing residents to age in place.

Additionally, this project is projected to generate a tax benefit of approximately $80,000 per year through a proposed payment-in-lieu of taxes arrangements, a fiscal benefit compared with zero tax revenue generated by the property for the past 20 years.

SECTION **5.4**   PROJECT PROFILES

Regulatory Requirements

Addressing regulatory requirements, such as consistency with the comprehensive plan, other locally adopted plans, and the zoning code; required state and local approvals; SEQRA status; permitting status; or potential regulatory hurdles is required in this section. Further, if a project requires a re-zoning or a variance, that should be noted in this section and appropriately incorporated into the project timeline.

Example

The proposed project is consistent with the city's comprehensive plan and meets the use requirements established in the zoning code. Final plan approvals will need to be obtained from the Planning Board, and SEQRA review will be undertaken at that time. The project sponsor may need to obtain area variances from the Zoning Board of Appeals for not meeting setback requirements, but these are not anticipated to be substantial requests. All local building, electrical, and plumbing permits will be obtained at the time of construction.

| Representative Rendering of a Proposed Project (Fulton DRI Round 4)

SECTION **5.4** PROJECT PROFILES

Images of Current and Proposed Conditions

At a minimum, each project is required to include an image of the current conditions and at least one perspective rendering or visual representation of the site and/or project when it is complete. All project renderings and visuals must be high-quality and should be developed with a consistent style. Site plans or additional imagery from the project sponsor may be included to supplement the rendering(s) or visual representation of the project.

Existing Conditions

Proposed Conditions
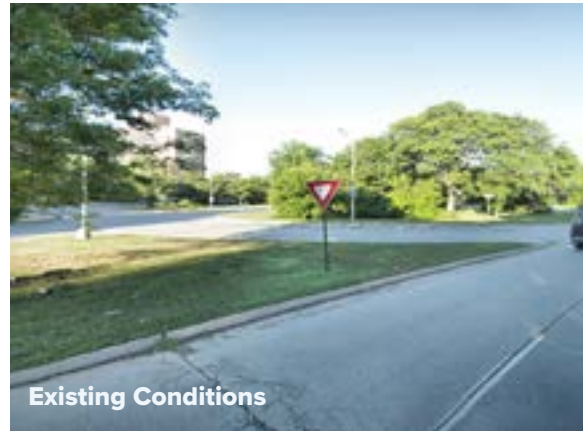
| **Representative Rendering of a Proposed Project** (New Rochelle DRI Round 3)

SECTION 5.4   PROJECT PROFILES

Existing Conditions

Proposed Conditions

| **Representative Rendering of a Proposed Project** (Newark DRI Round 5)

Existing Conditions

Proposed Conditions

| **Representative Rendering of a Proposed Project** (Little Falls DRI Round 5)

SECTION 5.4 PROJECT PROFILES

16. Timeframe for Implementation

This section should include a general timeframe and phasing for implementation with milestones and activities. Using the template below, the phases should be expressed in the anticipated number of months (e.g., prepare engineering design documents [2 months], permit submissions, review, and approval [3 months]).

If applicable, describe any preliminary work already completed or in progress that is part of this project (e.g., engineering and design, property acquisition, permits or approvals, capital infrastructure improvements, etc.). Additional preliminary work that is planned and funded, but not yet completed must be described. This information should also be included in the table

Example

PROJECT STAGE	TIMEFRAME
Conceptual Design • *Develop renderings* • *Develop project scope* • *Draft preliminary construction cost estimate*	*Completed*
Regulatory Approvals • *Seek rezoning for property*	*In Progress*
Design, Engineering, Bid Process • *Solicit design and engineering services* • *Develop construction documents* • *Obtain necessary permits and approvals* • *Issue bid documents* • *Award bid to selected contractor*	*10 Months*
Construction • *Demolition of existing building* • *Site work* • *Construction of new building*	*15 Months*
Total Time frame	*25 Months*

Requirements for Renderings of Proposed Projects

Each project profile must include a rendering of proposed conditions. If one is available or can be reasonably developed, the project sponsor should provide a rendering that meets the following standards; however, if no rendering exists, the consultant team is responsible for coordinating with the project sponsor to develop one representing the desired outcome of the proposed project.

All renderings should:

- Be created with professional rendering software (e.g., Adobe Creative Suite, 3D modeling programs, etc.);
- Have a high-quality resolution (min. 300 DPI) output; and,
- Provide an on-the-ground perspective of the proposed project.

If a project has proposed conditions that are not easily visualized (e.g., marketing plan for downtown), the consultant team should discuss these on a case-by-case basis with their DOS project manager.

All projects recommended for DRI/NYF funding must have a rendering of the proposed conditions. Consultant teams are expected to work with public, not-for-profit, and private project sponsors to develop renderings for the proposed project.

Rendering Guidelines

The following are guidelines for the types of images acceptable for depicting proposed conditions for final projects recommended for DRI/NYF funding:

- **Line Drawings.** Renderings should be developed professionally that utilize rendering software. Line drawings and/or hand sketches should only be used as a starting point for proposed project concepts.
- **Site Plans.** Site plan drawings may be used to supplement a proposed perspective rendering of the project and provide additional project information. They cannot be the primary proposed conditions image.
- **Precedent Imagery.** Precedent imagery may not be used as a final proposed condition for any project. Precedent imagery may be used to convey project ideas to the LPC, public, and project sponsors. These images can be used in the Project Profile to illustrate design options but cannot serve as images of proposed conditions.
- **Photo Simulations.** Photo simulations that do not clearly convey the proposed conditions are not allowed. Photo simulations that obviously show the changed conditions are acceptable for final SIP submission.

Additional Guidance for Project Profiles

General Guidance for Project Profiles

- The consultant teams are encouraged to be creative in how they present the requested information with the exception of the budget table. The examples provided are intended to be models, but the consultant teams should not seek to replicate those models. Rather, they should find ways to provide high-quality information in a unique way.

- Consultant teams may present the required information in a different order than what's presented in this section as long as it flows logically, with the exception of the first page. The first page of the profile must include the project title, the DRI/NYF funding request, the total cost, and an attractive image of the proposed conditions. Each project profile must follow the same order of information to assist in readability and ease of project profile review.

- All content for project profiles should be written in the third-person and with the same voice. **It is unacceptable for project profiles to include text directly from the project sponsor and the DRI/NYF project form.** All content should be presented in a professional manner and include the required information.

- All of the information in the project profile, especially cost estimates and status of funding, should be thoroughly vetted and confirmed.

- When writing project profiles with square footages, numbers of units, or proposed uses, use ranges or qualifiers (e.g., estimated, approximate) to express that information.

- Project sponsors should review the draft project profile to verify accuracy of information and to ensure the content is consistent with the project for which they are requesting funds.

- There may be some projects that are included in the SIP for which the consultant team has knowledge that is important for the State to know but such knowledge may not be appropriate to publish in a publicly-available document. For example, there may be unresolved questions around project readiness, budget accuracy, or capacity that cannot be clearly conveyed in a public document. In this case, the consultant team shall prepare a brief memo that will be used internally by the state review team.

The following is an example situation in which a memo would be needed: The public-facing project profile may state that the project sponsor has experience managing state grants and large projects. However, the consultant team may know that the project sponsor has not demonstrated the adequate capacity to implement the proposed project successfully. This type of issue would warrant a brief memo that details the concern.

Expectations for Project Development

- As projects are received through the Open Call, the **consultant team should review submitted information to determine if there is sufficient information to assess project eligibility and readiness** (this can include reviewing project scope and feasibility). If that information is not available, consultant teams should meet with the project sponsor to obtain all needed information.

- **To help evaluate the project to then later inform the LPC, the consultant team should consult the following list of questions.** This list of questions, while not intended to be comprehensive, may help guide initial evaluation of project information:

  – Are the proposed project activities eligible under the DRI/NYF programs or could the project be crafted in a way so that they become eligible?
  – How well-defined is the project scope? Is the project just an idea or are there clearly defined outcomes?
  – Are the major steps, milestones, and deliverables involved in project implementation identified?
  – Does the project sponsor have site control (either ownership or explicit permission to implement the project at the proposed location)? If not, are there plans for the project sponsor to acquire the site or get permission to use the site for the project?
  – If the project sponsor is using other sources of funding, what is the status of that funding (secured, anticipated, requested, or undetermined)? Are those sources of funding identified? Did they submit documentation indicating other funding sources are secured or anticipated?

  – What level of detail is available in the project budget related to design and construction costs and contingencies?
  – Are there regulatory, permitting, or other hurdles that would substantially delay project implementation?
  – Is there a reasonable timeline for project implementation (able to break ground within 2 years from contract execution)?
  – Does the project sponsor have demonstrated capacity or the potential to build the capacity needed to implement the proposed project?
  – Does the project sponsor have sufficient reserves to implement the project, or can they secure bridge financing?
  – Does the project sponsor have sufficient funds to operate and maintain the project post completion?

- **The project development phase generally begins once the Open Call closes; however, some project development need not wait for all proposed projects to be received.** Consultants can begin meeting with project sponsors once initial project information has been received to ensure the LPC has sufficient information to conduct its evaluation process.

- If the consultant team, in consultation with DOS, determines that a project is clearly ineligible for funding, the **consultant team should communicate with the project sponsor about the nature of the ineligibility and discuss options to make project eligible per the requirements of DRI/NYF**.

- **Generally, LPC Meeting #3 is when submitted projects are first presented to the LPC. While the initial presentation of projects at LPC Meeting #3 may not include all necessary project information, the consultant team should report on available information about the project and any discussions with project sponsors to date.** This should include a presentation of all projects that were found to be ineligible and an explanation as to why they were ineligible. If the consultant team is presenting any findings regarding readiness, the process for making the evaluation about project readiness should be conveyed to the LPC with clear justifications.

- Following LPC #3, the consultant team will continue project development using the content submitted in the DRI/NYF Project Form as the starting point and any additional project discussions. **The consultant team, with DOS, should meet (not email only) with the project sponsor and review submitted information, discuss any gaps and information needs, and work with the project sponsor to help them develop the project scope, funding, implementation steps, and other information needed for full consideration of the project.** The consultant team should outline the primary questions and information needs required in the project profile and needed for the LPC and State to determine if the proposed project is feasible and can be implemented. These project development meetings should also include a discussion of any questions the LPC has for the projects.

- **The consultant teams are required to provide project development assistance to public, private, and not-for-profit project sponsors.** The following are some of the areas where the consultant team may need to provide additional direct assistance.
  – Project scope/timeline
  – Proposed conditions/renderings
  – Budget estimates/verification
  – Decarbonization (with the help of the NYSERDA team)

- **For often lesser-experienced and lesser-resourced project sponsors, the consultant may refer project sponsors to external technical assistance and financing resources, if appropriate.** This does not relieve the consultant teams of their duties to help sponsors develop projects; rather, the technical and financing assistance resources are if a project sponsor needs assistance with a business or operating plan, needs to become a legal entity, needs to identify other funding sources, etc.

- **Project sponsors are responsible for actively participating in the development of these components.** For example, if a project sponsor needs assistance with budget estimates, the sponsor should bear some responsibility for figuring out the needed improvements in order to provide the information to the consultant team.

- Many project sponsors do not fully understand the regulatory requirements that may be associated with their projects. **Consultants are expected to discuss all proposed projects with the municipality to understand the local regulatory processes that would be required to implement each projects.** The information received should be included in the project profile.

Follow-up with Project Sponsors

In many cases, project sponsors will require help further developing the information that was submitted on the DRI/NYF Project Form. **This additional project development should be initiated with a virtual or in-person meeting and should not rely on email correspondence alone.** The DRI/NYF Project Form requests some of this information; however, consultant teams may need to go back to project sponsors to obtain information that wasn't provided or more details about that information. The following list of questions can be used to help the project sponsor further develop required project information.

Project Description

Redevelopment or New Development Projects

1. What are the proposed uses of your project and the approximate square footage of each?

2. If the building or portions of it are to be leased, do you have a tenant(s) identified and/or committed?

3. What are the total number of units (leasable retail spaces, housing units, etc.)?

4. What is the total building square footage?

5. What is the current use and condition of the building?

6. Do you have a business plan or pro forma that can be shared?

Public Improvement Projects

1. What is the goal you're trying to address with this project/what are the issues with this public space?

2. What specific improvements would you like to see?

3. Who will be the primary users of this public improvement/who will this primarily serve?

Project Sponsor/Property Ownership

1. Do you have site control of the property where your project is proposed? If not, do you have plans to acquire the site or a letter documenting the property owner's support of the proposed project?

2. What is the approximate timeline to gain site control?

3. What are the steps needed to obtain site control?

Readiness

1. Which phase of development is your project in - conceptual, preliminary design, final design, or pre-construction? If your project is in the conceptual stage, what steps are you taking to continue project development?

Capacity

1. What previous projects of a similar scope to the proposed project have you successfully implemented?

2. What experience do you have in managing public grant funds?

3. How will this project be maintained or operated after completion?

4. DRI/NYF grants are reimbursable and grant funds will often not be disbursed until the project is 100% complete. Do you have the financial capacity to implement the entire project prior to reimbursement?

Project Partners

1. Are there partners who are responsible for funding the project or are helping to implement the project? Are there partners who will be using the space or operating from the development after completion? What will their roles be?

Resiliency

1. Are there flooding or other environmental concerns you're aware of that would affect the project?

2. What measures are being incorporated that would make the project more resilient and provide additional environmental benefits?

Budget

1. How did you estimate your budget? Do you have documentation of a professional estimate?

2. Does the budget include contingency for potential scope changes and/or unexpected cost increases?

3. What other funding sources will you leverage to complete your proposed project? Have these funding sources already been secured or are they tentative? If funds are tentative, what is your plan to secure those funds?

Feasibility and Impact

1. What evidence do you have that there is need/demand/interest in this project?

2. Have you completed any market or real estate studies you can share with our team?

3. Do you have a pro-forma for your project?

4. How will this project benefit the downtown and the larger community?

5. How will your project transform the downtown area and/or help attract additional investment?

6. What evidence do you have that this project will be sustainable in the long-term?

7. What are the direct benefits of this project (e.g., affordable housing units, jobs, etc.)?

8. What are the indirect benefits of this project (e.g., climate resilience, larger year-round population to support businesses, etc.)?

Regulatory Requirements

1. Is your project consistent with the community's comprehensive plan?

2. Is your project allowed by the current zoning, or will you have to pursue a re-zoning?

3. Will any variances be necessary to implement your project?

4. Will you need permits from any state agencies?

5. Do you anticipate any issues that would slow the implementation timeline (e.g., a GEIS for SEQRA)?

Technical Assistance and Financing Resources

During the Open Call for Projects or in early phases of project development, it may become clear that some project sponsors need assistance developing their projects beyond what the consultant team can provide. Examples of situations where a project sponsor may need assistance beyond the consultant team and where an outside entity can help are when:

- Additional funding is needed to complete the project
- The project sponsor does not have site control nor the approval/support of the property owner
- The project sponsor is an individual, not a municipality, business or nonprofit entity
- The project sponsor lacks the administrative capacity to develop and/or implement the project
- The project sponsor lacks a business or operating plan

If there is a project sponsor that would benefit from these additional services in order to develop a feasible project, the DOS project manager and the consultant team should provide a list of resources to the project sponsor and offer initial guidance. The goal is for these additional technical or funding resources to provide assistance with some of the following:

- Identify and access additional sources of funding
- Assist with understanding how to gain site control or support from the property owner
- Assist with creating an LLC or other legal entity
- Assist with identifying administrative gaps and how they can be addressed

This list includes regional contacts for Small Business Development Centers (SBDCs), Entrepreneurial Assistance Centers (EACs) and Community Development Financial Institutions (CDFIs), which are organizations that receive public monies specifically to assist under-resourced or marginalized small businesses and/or nonprofits.

As project sponsors who need assistance outside of the scope of the consultant team are identified, they can be provided with the resource list and encouraged to work directly with an entity on that list. While the responsibility for reaching out for additional technical assistance is the project sponsor's, the consultant team should follow up with the project sponsor to keep lines of communication open to receive information needed for project development.

If a project sponsor engages with one of the technical assistance and financing resources, that does not reduce the consultant team's responsibility to provide the same level of project development support as it would to other projects who are not using this additional assistance.

Decarbonization

Overview

The DRI and NYF programs encourage decarbonization at all scales ranging from individual buildings to community-wide decarbonization initiatives. NYSERDA and its consultants will provide support as communities and project sponsors explore and incorporate decarbonization strategies as part of their revitalization.

Requirements

New construction, building addition, and substantial renovation projects are required to meet the DRI/NYF decarbonization standards. The following describe the threshold requirements:

- New construction projects ≥ 5,000 SF
- Building addition projects ≥ 5,000 SF

- Substantial renovation projects ≥ 5,000 SF and where two or more of the following conditions are met:
  – Removal and/or replacement of 50% or more of the area of interior wall-covering material of the building thermal envelope*
  – Removal and/or replacement of 50% or more of the area of the exterior wall-covering material of the building thermal envelope*, including doors, windows, and the roof
  – Replacement of equipment that makes up 50% or more of the total input capacity of the space heating or cooling equipment serving the building
  – Replacement of equipment making up 50% or more of the total input capacity of all the water heating equipment serving the building
  – Replacement of 50% or more of the interior and exterior lighting that is powered from the building
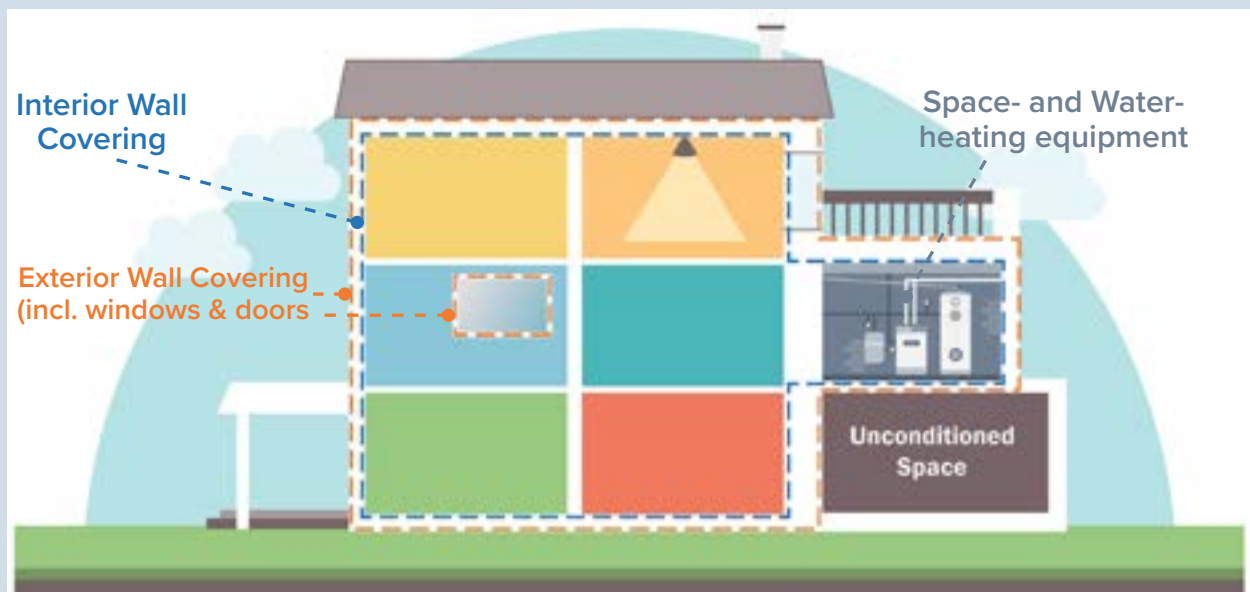
*Building thermal envelope**: The building elements (e.g., exterior walls, floors, ceilings, roofs) that enclose conditioned space or provide a boundary between conditioned and unconditioned space. Conditioned space is an area that is normally heated or cooled by equipment for human habitation, whereas unconditioned space is any enclosed space within a building with no means of regulating temperature, like garages or attics.

Eligibility Notes

For substantial renovation projects, the square footage of the project is based on the area of renovation activity, not the entire building.

For building addition projects, only the addition is required to incorporate decarbonization techniques. However, any shared systems should strive to incorporate decarbonization techniques.

Compliance Paths

Projects meeting the threshold criteria are required to follow one of the compliance pathways listed below:

- Meet the New York State Stretch Energy Code, regardless of local adoption of the code
- Obtain an Energy Star score of 90 or better using EPA's Target Finder Calculator
- Obtain a building or project certification from one of the following approved third-party organizations:
  – Energy Star Certification
  – LEED
  – Green Globes
  – BREEAM
  – Passive House Institute US
  – WELL
  – Fitwel
  – Living Building Challenge
  – Enterprise Green Communities
  – SITES
  – National Green Building Standard

Projects Below Threshold

Projects that do not meet the threshold criteria are strongly encouraged to pursue decarbonization. Technical assistance regarding decarbonization strategies will be provided to all project sponsors by NYSERDA and its consultants.

Decarbonization Project Support

Project sponsors will be able to receive support decarbonization strategies and compliance paths from NYSERDA and its consultants. The roles and responsibilities of the consultant team, the NYSERDA team, and the project sponsor as well as the process for receiving support are outlined in Planning Process for Decarbonization Projects.

Substantial Renovation Projects

Project sponsors may struggle to determine if they meet the criteria for substantial renovation, particularly regarding the space heating/cooling and water heating capacity. Below is an example that can be helpful to instruct project sponsors in figuring out if their project meets the thresholds.

Space and Water Heating Systems

The example proposed project is a mixed-use four-story building of approximately 235,000 square feet. The entire building is being renovated, but some of the space and water heating systems are sufficient. Each floor is served by an individual HVAC unit for space heating/cool and an individual domestic hot-water heater (DHW). The information for all equipment is in the table to the right. The information for this equipment can often be found directly on HVAC and DHW equipment labels.

Floor	HVAC (Tons)	DWH (Btu/hr)
1	80	40,000
2	75	40,000
3	50	25,000
4	50	25,000
Total	*255*	*130,000*

The project will replace the HVAC systems serving the third and fourth floors and the DHWs serving the first and second floors. To determine if the project meets the threshold for substantial renovation for either of these categories, calculate the percentage of input capacity for the HVAC system and hot water systems that are being replaced.

Space Heating Systems

To determine the percentage of input energy for space heating that is being replaced, calculate the combined input energy (tons) of the HVAC units for the third and fourth floors, and divide by the total input energy (tons) for all systems in the building.

$$\text{Space Heating \%} = \frac{\text{3rd Floor HVAC Tons + 4th Floor HVAC Tons}}{\text{Total Building HVAC}} = \frac{50 \text{ tons} + 50 \text{ tons}}{255 \text{ tons}} = 25\%$$

Because the percentage is less than 50%, the HVAC replacement **does not meet** the criteria for substantial rehabilitation.

Water Heating Systems

To determine the percentage of input energy for water heating that is being replaced, calculate the combined input energy (Btu/hr) of the domestic hot water heater units (DHW) for the first and second floors, and divide by the total input energy (Btu/hr) for all systems in the building:

$$\text{Water Heating \%} = \frac{\text{1st Floor DHW + 2nd DHW}}{\text{Total Building DHW}} = \frac{40,000 \text{ Btu/hr} + 40,000 \text{ Btu/hr}}{130,000 \text{ Btu/hr}} = 62\%$$

Because the percentage is greater than 50%, the hot water heater replacement **does meet** the criteria for substantial renovation.

If this project were to meet one of the other three substantial renovation criteria (interior wall-covering, exterior wall-covering, or lighting replacement), the project would be required to comply with decarbonization standards.

Planning Process for Decarbonization Projects

Roles and Responsibilities

The Consultant Team is expected to:

- Attend all required trainings held by DOS and NYSERDA regarding decarbonization
- Determine if the project meets the threshold criteria
- Encourage all building project sponsors to incorporate decarbonization techniques into their project
- Facilitate initial meeting between the NYSERDA team and the project sponsor, as needed
- Develop all required project profile information, in consultation with the project sponsor and the NYSERDA team.

Project Sponsors are expected to:

- Provide all available information to the consultant team upon request
- Participate in the community kick-off meeting for decarbonization
- Follow up with the NYSERDA team, as needed, to determine appropriate decarbonization techniques, a potential compliance path, and review costs

The NYSERDA Team is expected to:

- Provide community kick-off meetings regarding decarbonization to all projects required to comply or interested in decarbonization
- Keep meeting minutes for all project meetings, and share minutes with the consultant team and DOS

- Provide the following services to project sponsors:
  – education and training on decarbonization during design and construction
  – decarbonization strategy identification and review
  – tentative compliance path identification
  – energy modeling review
  – energy/carbon estimated savings and cost review
  – funding opportunities and resources identification

Process

The following steps outline the process for developing the information necessary to complete the decarbonization component of the project profile for applicable projects. Decarbonization information should be included for those projects that are interested in pursuing decarbonization even if the projects are not required to meet the standards.

1. The NYSERDA team will host an informational webinar to provide an overview of decarbonization strategies. The webinar will familiarize potential applicants with decarbonization compliance requirements. This will occur prior to closing of the Open Call for Projects phase. The consultant team will distribute notice of this webinar via the website, social media, and to potential project sponsors with building projects.

2. Project sponsors will answer eligibility questions on the DRI/NYF Project Form to determine if they are required to meet the standards and/or if they are interested in incorporating decarbonization techniques into their projects. This should occur during the Open Call for Projects phase.

3. Upon receipt of DRI/NYF Project Form, consultant teams will likely determine if the project meets the threshold or will seek additional information from project sponsor to determine if the decarbonization threshold is met. The NYSERDA team may become involved at this point, particularly if it is unclear if a project meets threshold requirements. A meeting with the project sponsor may be necessary to determine if they are likely to have to comply with the decarbonization standards.

4. After the Open Call for Projects is closed, the NYSERDA team will host community wide planning meetings for each DRI/NYF community. These meetings will review decarbonization compliance and generalized strategies for project sponsors to consider. This will be an opportunity for project sponsors to learn more about decarbonization efforts. Consultant teams are expected to schedule this meeting with the NYSERDA team and invite project sponsors.

5. Project sponsors may have additional meetings with the NYSERDA consultant as they continue to develop a plan for incorporating decarbonization. DRI/NYF consultant teams do not have to attend all meetings, but they are responsible for obtaining all of the information requested in the decarbonization component of the Project Profile from the project sponsor. For any individual project meetings, the NYSERDA team will provide meeting notes to the project sponsor, consultant team, and DOS.

Project Profile Requirements

The decarbonization section of the project profile should clearly state whether or not the project is required to meet the decarbonization standards and why. For example, if a project is below the threshold, this section of the project profile should state why the project is not required to incorporate decarbonization referencing the square footage and the substantial renovation criteria, as applicable. No additional information is needed. However, if a project is voluntarily including decarbonization strategies, they should be discussed.

Similarly, for required projects, this section should also state why it is required to meet the decarbonization threshold, referencing the square footage and the substantial renovation criteria, as applicable. This should be in addition to the guidelines in the Project Profile.

Small Project Fund

Overview

A community is allowed only one Small Project Fund of up to $600,000 for DRI and up to $300,000 for NYF. A higher amount, of up to $600,000, could be requested by NYF communities if clear need and interest is demonstrated by providing evidence of property/business owner proposals. This Fund may be used for building improvements, business assistance, or public art, either as a single activity or a combination thereof. Two separate funds are not allowed. Public art could also be a standalone DRI/NYF project, but it must include additional information as noted below.

Eligible Activities

- Interior and exterior building renovations for commercial and mixed-use spaces, e.g. façade/storefront renovations, permanently affixed signage and awnings, commercial interior fit-out, HVAC, MEP, and other permanent building improvements

- Upper-story residential improvements
- Business assistance/ Permanent commercial machinery and equipment
- Soft Costs – architectural, engineering, environmental
- Public Art Program

Ineligible Activities

- Acquisition
- Deferred maintenance or general repairs
- Working capital
- Landscaping
- Parking lot improvements
- Improvements to municipally owned and operated buildings;
- Participant, participant's family or participant's staff labor, etc.

Public Art Fund v. Public Art Project

In previous DRI/NYF rounds, there has been some confusion on what constitutes a standalone public art project from a public art fund. Generally, public art funds are when a community is interested in public art, but it does not have a type, location, cost estimate, or specifics about the potential art. If public art is of interest to the community, please work with the State team to clarify the best approach to a public art project.

Public Art Fund

Sponsor is interested in public art installations but does not know the type, costs, locations, or process to solicit/select potential art installations.

Public Art Project

- Sponsor has identified types of art and potential locations
- Sponsor has obtained statements of interest from potential property owners on whose property the art would be located
- Meaningful costs estimates for the art installations have been provided

Requirements

Match

- The minimum match requirement is 25% of the total project cost on a per project basis. The project sponsor could define a higher match requirement, if desired.

- Match requirements must be realized on a building-by-building basis and are calculated using the total project cost

- In-kind, owner or volunteer investment is not eligible as match.

Reimbursement

- The Small Project Fund operates as a reimbursement program. Property or business owners must successfully complete their projects in order to receive reimbursement for eligible activities.

Roles and Responsibilities - Planning Process

The LPC is expected to:

- Evaluate this proposed project in the same fashion as any other proposed project.

- Potentially make recommendations on: regulatory/claw back terms for individual small projects, types of eligible residential assistance (affordable vs. market rate, work force vs. short-term, etc.), or increases in the match requirement beyond 25%.

The project sponsor (municipality or experienced not-for profit) is expected to:

- Develop and submit project proposal

- Solicit projects to include in proposal to demonstrate need and interest (consultant could assist)

- Define which eligible activities the Fund will focus on based on property/business owner proposals

Homes and Community Renewal (HCR) is expected to**:**

- Define eligible activities

- Set activity limits and minimum match requirement parameters

Implementation Process for Small Project Funds

If a Small Project Fund is included in the SIP and selected for a DRI/NYF award, the municipality or a not-for-profit would be the awardee, who then identifies individual property owners or businesses to receive grant funding through a competitive application process. HCR enters into a **single contract** with the awardee, then the awardee makes **local funding decisions** and is responsible for compliance with grant rules.

If a Small Project Fund is selected for a DRI/NYF award, the following outlines the responsibilities of each entity involved.

The Project Sponsor (Municipality or Experienced Not-for-Profit) is expected to:

- Market the program
- Develop an application for funding
- Score applications
- Enter into contracts with selected participants
- Conduct financial management
- Procure grant administrative consultant - All DRI and NYF communities will be required to procure the services of a grant administrator to assist in grant administration. Most DRI 1-5 communities awarded a Fund have brought a grant administrator on board to help administer the Fund but also retained some specific responsibilities like marketing the program, that can be completed by the Sponsor. HCR will work with each community to identify the best path for implementation
- Oversee program administration

The Administrative Consultant is expected to:

- Assist in funding decisions
- Review program guidelines with selected participants
- Prepare scopes of work for individual projects
- Prepare project commitment and environmental review documents, including submittal to SHPO
- Coordinate procurement and bidding for individual projects
- Conduct construction monitoring and inspections
- Prepare requests for reimbursement

HCR is expected to**:**

- Set activity limits and match requirement parameters based upon proposed eligible activities
- Review and approve proposed projects before construction begins
- Work with community and consultant to complete program

Project Profile Guidance for Small Project Funds

Project Description

- Describe the proposed activities – i.e. façade renovations, interior and exterior renovations, business assistance, public art

Project Sponsor

- Identify project sponsor, which is usually the municipality or a not-for-profit.

Capacity

- Describe the project sponsor's capacity to undertake the project sponsor responsibilities identified in the Implementation Process for Small Project Funds section or how the project sponsor will manage these responsibilities.

- Describe the experience the project sponsor has related to administering a Fund-type grant program.

  - Example: Experience in administering New York Main Street, Micro Enterprise, CDBG, programs including any experience helping participants secure construction/permanent financing for projects.

- If proposing a Public Art Program as part of the Fund, provide specific information related to administering this type of program, demonstrated ability to manage a public art process, or identify experienced partners that will assist with implementation.

Project Need and Impact

- This section should demonstrate need for the Small Project Fund, not just interest. This section should include a summary of interested property/business owners that understand the rules and requirements of the Fund and are willing and able to participate.

- The section should also include a table labeled "Potential Small Project Fund Projects" and follow the headings and format at the bottom of this page. This table is essential for proving demand for the Fund and should be based on the documentation gathered.

- If a Public Art Program is part of the Proposal, provide information about interest and support in the community for public art. Include previously identified or completed activities like a mural trail or sculpture installations.

Regulatory Requirements

- At a minimum, this section should reference the environmental review requirements, including SHPO and any local regulatory requirements.

Project/Business Name	Project Address	Scope of Work	Total Project Cost	DRI/NYF Request
Total:			$	$

Guidance for Non-Capital Projects

Because DRI/NYF are intended to be primarily capital improvement programs, the programs do not allow planning activities (e.g., a parks master plan or a complete streets plan). However, while not the ideal use of DRI/NYF funds, activities like zoning or design guidelines are eligible to the extent that they facilitate capital investment and align the downtown development environment with the goals of downtown revitalization.

A zoning project or similar may be appropriate under some of the following scenarios:
* The current regulations restrict many of the proposed projects for DRI/NYF
* The current regulations and administrative process are cumbersome, particularly for business development
* The current regulations do not allow for the desired density or uses of the area

The following are examples of previously-funded zoning and/or design guideline projects:

* **Westbury (DRI Round 1):** The Village of Westbury received funds to update its 1930s zoning code to promote transit-oriented development to allow for a mix of residential and commercial uses near the LIRR station. This included conducting a GEIS to evaluate the maximum development scenario.

* **Watkins Glen (DRI Round 2):** Watkins Glen received funds to implement code updates that would address the conflict of short-term and seasonal rental housing with the need for year-round permanent housing, the adoption of a local historic district to build on the National Register District, and adjustments to existing design guidelines to enhance clarity, and other general zoning fixes.

* **New Rochelle (DRI Round 3):** The City received funds to prepare a new downtown overlay zoning district and to conduct the required studies and environmental reviews needed to rezone an area from mostly one- or two-family residences, multi-family residences, and institutions to allow for more density and commercial uses.

* **Oneida (DRI Round 5):** Oneida proposed creating a form-based code overlay based on Smart Growth principles that would allow for proposed DRI projects, build upon their City Center Design Guidelines, streamline the development process, and catalyze future innovative development.

Finalizing the Slate of Proposed Projects

Overview

From LPC Meeting #3 to the conclusion of the planning process, the LPC will focus on identifying, reviewing, and evaluating projects. During this process, the LPCs may have to narrow down the list of proposed projects into a final slate of projects. When doing so, the LPC may consider public support, the community's vision, goals, and revitalization strategies, and local project evaluation criteria as they identify a final slate of recommended projects.

LPC Project Evaluation

At the third LPC meeting, prior to reviewing the proposed projects identified through public engagement activities, the LPC will develop local project evaluation criteria using the State criteria as a guide.

The local evaluation criteria developed by the LPC, along with the community's vision, goals, and strategies, will guide the LPC members in their discussion of projects throughout the planning process, as they narrow the proposed project list into a final slate of projects. This will occur iteratively over the course of LPC Meetings #3-6 as more project information becomes available through the consultant team's ongoing project development work with the project sponsors.

| **Westbury LPC Meeting** (DRI Round 1)

State Evaluation Criteria

The DRI/NYF project evaluation criteria used by the State should serve as a guide for LPCs as they develop project evaluation criteria specific to their community's needs and goals. The LPC may use the State's criteria below as a guide to build on.

- **State and Local Goals.** The project should be aligned with State and local goals and demonstrate strong community support.

- **Project Readiness.** The project should be well-developed and poised to proceed in the near-term in a way that will jump start the redevelopment of the DRI/NYF area.

- **Catalytic Effect.** The project is likely to have a significant positive impact on the revitalization of the downtown by attracting other public and private investment at a scale appropriate for the DRI/NYF community.

- **Co-Benefits.** The project will result in secondary benefits to both the community and project developer, beyond the primary goal of the project itself, which will generate additional economic activity, grow the local property tax base, improve quality of life in the neighborhood, and/or result in improved buildings likely to create healthier, more comfortable, and productive environments in which to live and work.

- **Cost Effectiveness.** Investment of DRI/NYF funds in the project would represent an effective and efficient use of public resources.

Characteristics of the Final Project List

For DRI communities, the final slate of projects should total between $12-15 million in DRI funding requests. For NYF communities, this final project list should total approximately between $4-5 million (for communities awarded $2.25 million) or $6-8 million (for communities awarded $4.5 million) in NYF funding requests. It is essential that the LPC select a slate of projects with a total funding request in excess of the DRI/NYF grant award. A larger slate of projects will allow the State to evaluate a broader range of projects recommended by the LPC, while ensuring that there are enough viable projects in case one or two projects do not ultimately come to fruition or if selected projects receive funding from another source.

The LPC should also ensure that the removal of one project from the final project list will not result in a total DRI/NYF funding request that is less than the community was awarded. For example, if a NYF community receives a $4.5 million award and submits a final slate of projects that totals $6 million, no one project should request more than $1.5 million in NYF funding. Finally and importantly, the final proposed project list should not be prioritized — every project should be one that the LPC and community would be excited to see implemented.

Guidance for LPC Project Evaluation

There is no defined method for LPCs to evaluate projects and iteratively narrow the list to the final slate of projects. However, there have been best practices/processes identified over previous rounds of DRI/NYF that can guide consultant teams as they facilitate the evaluation and narrowing process.

As part of the first presentation of projects to the LPC (usually LPC #3), the consultant team should conduct an objective screening of the projects and provide a professional assessment to the LPC. This should closely mirror the initial evaluation described in Expectations for Project Development. This initial screening focuses on components of project readiness. Some questions that consultant teams may want to consider in this initial assessment include:

- Are the proposed project activities eligible or could the project be crafted in a way so that they become eligible?

- Does the project sponsor have site control (either ownership or explicit permission to implement the project at the proposed location)? If not, are there plans for the project sponsor to acquire the site or get permission to use the site for the project?

- If the project sponsor is using other sources of funding, what is the status of that funding (secured, anticipated, requested, or undetermined)? Are those sources of funding identified?

- What level of detail is available in the project budget related to design and construction costs and contingencies?

- Are there regulatory, permitting, or other hurdles that would substantially delay project implementation?

- How well-defined is the project scope? Is the project just an idea or are there clearly defined tasks and outcomes?

- Is there a reasonable timeline for project implementation?

- Does the sponsor have demonstrated capacity or the potential to build the capacity needed to implement the proposed project?

- Does the project have a smaller scope and project cost that may be more appropriate to show demand for a Small Project Fund?

Using these criteria, consultants have historically grouped projects into different categories for the purpose of LPC presentation and discussion. In previous DRIs, these categories have been:
- Idea; In Formation; Fully Formed

- Strong DRI Projects; Potential DRI Projects with Questions; Project Ideas that are Not Eligible or Ready for DRI

- Eligible; Likely Feasible, Likely Eligible; Feasibility TBD, Eligibility TBD

As a result of this initial assessment, LPCs may choose to remove projects from further consideration/development. Examples of presentation slides from previous planning processes follow this section.

For projects that the LPC continues to move forward, the consultant team will continue to develop project information as needed using the Project Profile requirements as guidance. Project updates must be provided to the LPC at subsequent meetings. At LPC Meeting #2, LPCs may develop their own local evaluation criteria that they will use to evaluate the projects for the remainder of the process. LPCs may use a range of criteria, building from the State evaluation criteria, to discuss and narrow down the project list.

It is suggested they consider only the most relevant criteria of the following commonly used criteria:

- Transformative potential - elements that fundamentally change the downtown and how it is perceived
- Catalytic effect - the ability to make other things happen
- Alignment with the community's vision and goals
- Public support
- Community and economic benefits
- Consistency with state goals
- Market demand and economic feasibility
- Ability to provide a sustainable impact in the downtown
- Estimated project costs, including cost to public and private sector partners and long-term operating or maintenance cost implications
- Need for DRI funds to make the project feasible
- Potential to leverage additional private and/or public funds
- Availability of alternative funding sources that are more appropriate than the DRI award
- Estimated impacts on tax revenue
- Estimated job growth and retention
- Employment and workforce development potential
- Capacity of responsible parties to implement the project
- Extent to which ongoing maintenance of management is needed and can be realistically addressed
- Existing local capacity to sustain the implementation of projects and initiatives

Often, the evaluation process begins with a more objective evaluation based on project eligibility and readiness, and as the evaluation and narrowing process continues, it usually shifts to the LPCs using the criteria are more community-centric and focus on impact. To facilitate this process, consultant teams have frequently provided the LPC members with project evaluation worksheets. Examples of those worksheets can be found in Section 8.9.

LPCs usually arrive at a preliminary slate of projects at LPC Meeting #5 or at the second to last LPC meeting. They should arrive at this list by general consensus. At the final LPC meeting, after the consultant team presents final project updates on the preliminary slate of projects and the LPC discusses, LPC members will be asked to take a formal vote to indicate their support for the final slate of projects using a ballot. LPC members vote on the entire slate of projects, not individual projects. There should be no surprises in this vote, as the slate of projects will represent the culmination of the LPC's work.

Using the preliminary slate of projects, the consultant team should pre-populate the ballot with the project name, description, and DRI/NYF request. A template of the ballot is in Section 8.6.

Supporting or Pipeline Projects

Oftentimes, there are projects proposed in the DRI/NYF process that are great ideas, but they are not ready to receive DRI/NYF funding for a variety of reasons. For these projects, the LPC may elect to include these projects in the SIP as supporting or pipeline projects. While not recommended for DRI/NYF funding, these projects are consistent with the goals of DRI/ NYF and the community's vision. These should be included in the Project Profile section and at a minimum include the following:

- Project Title
- Total Project Cost
- DRI/NYF Request (if available)
- Project Description (does not need to be as extensive as what's required in the Project Profile but should provide an outline of the project scope)
- Project Sponsor
- Proposed Conditions Image, if available (Consultant team is not expected to produce a proposed conditions image for pipeline projects)

Slide from Norwich LPC Meeting displaying project evaluation feedback, which was used to help the LPC make the decision on if this was either (1) a priority project to be recommended for DRI funding, (2) it was on the bubble and may be considered for DRI funding, or (3) the project was not moving forward for DRI funding, due to readiness or other issues, but would eventually be a project to benefit downtown.
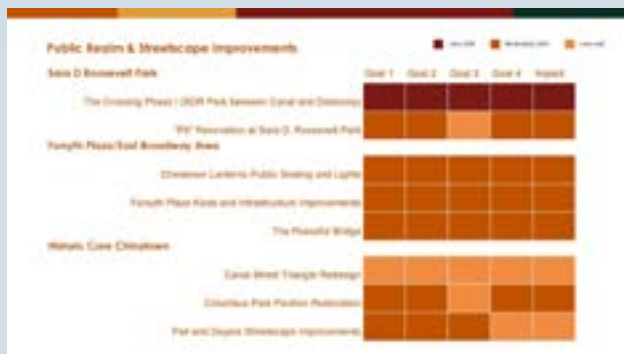
Slides from Chinatown LPC Meeting displaying LPC evaluation feedback on goal alignment and perceived impact

Slide from Tupper Lake LPC Meeting displaying LPC Working Group Evaluation Results
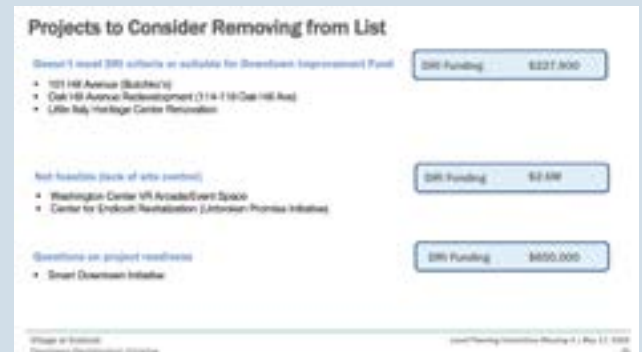
Slides from Endicott LPC Meeting displaying initial LPC project categorization

Characteristics of the Final Project List

The State will evaluate and award projects, and requires a total funding request above the allocated community award.

The total DRI/NYF funding request is flexible depending on the project list. The range may need to be higher if there are projects that make up a substantial portion of the funding. The non-selection of one project should still leave a strong slate of projects and options for the State to review. If a large project is not selected, there should be enough projects left in the final slate of projects to cover that amount and leave the state with a range of projects to evaluate. If providing that range of projects that requires going beyond the recommended total funding request ($13-16 million for DRI; $6-8 million for $4.5 million communities), that is acceptable. It is important to not let the LPC narrow the project list to the extent that it limits the State's options for review.

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SECTION **6.1**

Project Awards

After final submission of the Strategic Investment Plan, projects recommended for Downtown Revitalization Initiative or NY Forward funding will be selected following a careful review by the State.

Overview

Upon final submission of the Strategic Investment Plan, projects recommended for Downtown Revitalization Initiative (DRI) or NY Forward (NYF) funding will be carefully reviewed by the State based on how well each project achieves the following criteria:

- **State and Local Goals.** The project should be aligned with State and local goals and demonstrate strong community support.

- **Project Readiness.** The project should be well-developed and poised to proceed in the near-term in a way that will jump start the redevelopment of the DRI/NYF area.

- **Catalytic Effect.** The project is likely to have a significant positive impact on the revitalization of the downtown by attracting other public and private investment at a scale appropriate for the DRI/NYF community.

- **Co-Benefits.** The project will result in secondary benefits to both the community and project developer, beyond the primary goal of the project itself, which will generate additional economic activity, grow the local property tax base, improve quality of life in the neighborhood, and/or result in improved buildings likely to create healthier, more comfortable, and productive environments in which to live and work.

- **Cost Effectiveness.** Investment of DRI/NYF funds in the project would represent an effective and efficient use of public resources.

SECTION 6.1 PROJECT AWARDS

| **Governor Hochul and Secretary of State Rodriguez Announcing DRI Funding Awards in Little Falls** (DRI Round 5)

SECTION **6.2**

Contracting with the State

Overview

Projects selected for a DRI/NYF award will be assigned to an appropriate state agency or authority to manage the contract for implementation of the project. The state agency or authority selected and method of contracting and funding disbursement will be dependent on the specific project. While there may be some variation between agency or authority administration and the project type, in general awarded project funding will be provided on a reimbursement basis. It should be noted that DRI/NYF funds may be used as match for other grant funding if permitted by the granting agency or authority. However, the priority is to fund projects that are ready for implementation, with the expectation that all projects to break ground within two years from the time of the award.

DRI/NYF awards will be subject to all requirements typically attached to state funding, including but not limited to minority- and woman-owned business enterprise (M/WBE) goals, competitive procurement, grant reporting requirements, and prevailing wages, as appropriate. For example, prevailing wages will be required where required by State law. Prevailing wage provisions would need to be met for public works projects (such as those projects subject to the Wicks Law, etc.) or if it is a requirement of another funding source (as it is for U.S. Housing and Urban Development Community Planning and Development programs-Davis-Bacon).

| **City of Peekskill Five Elements Mural Project** (DRI Round 4)

SECTION 6.2 CONTRACTING
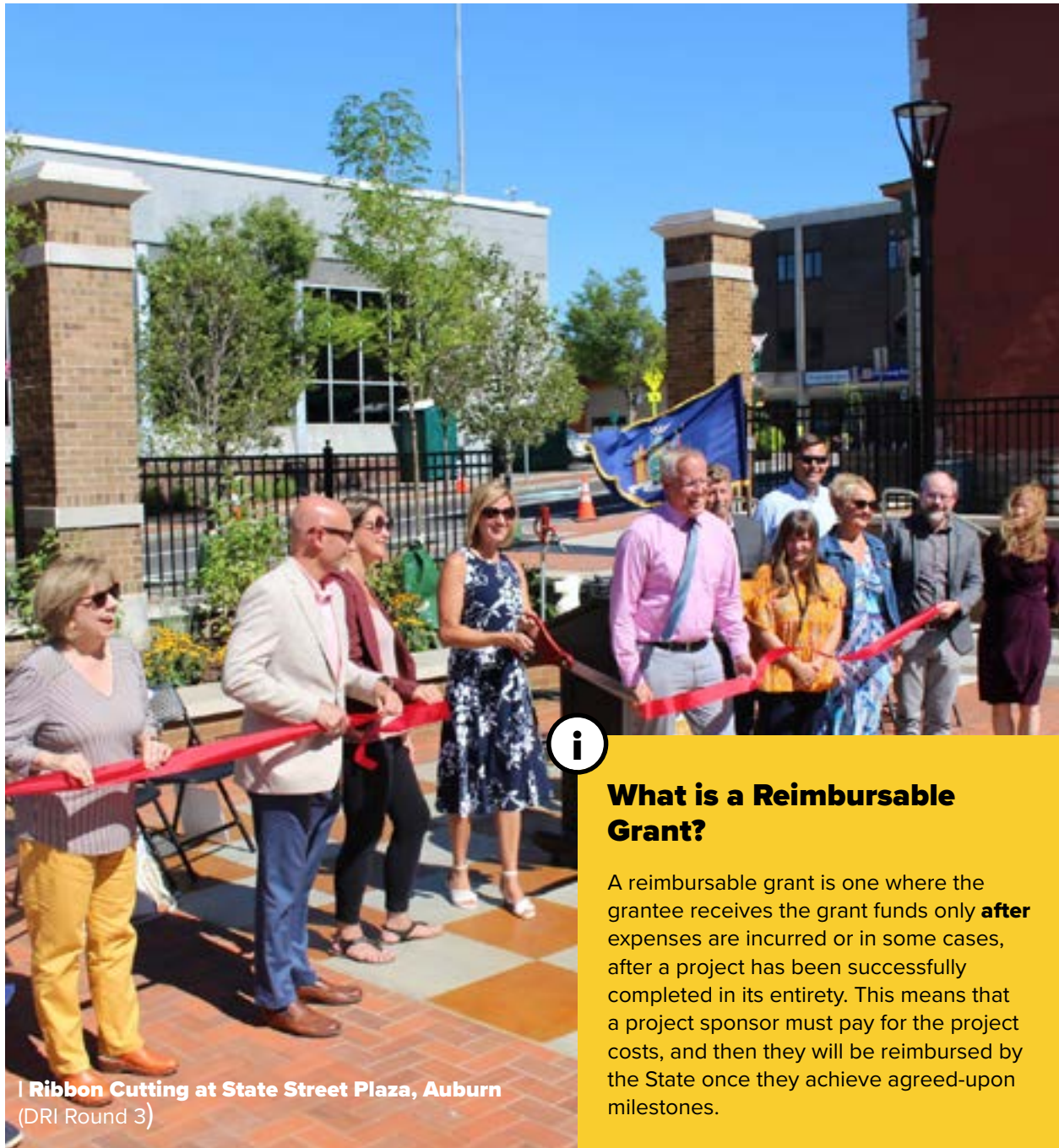
Ribbon Cutting at State Street Plaza, Auburn (DRI Round 3)

What is a Reimbursable Grant?

A reimbursable grant is one where the grantee receives the grant funds only **after** expenses are incurred or in some cases, after a project has been successfully completed in its entirety. This means that a project sponsor must pay for the project costs, and then they will be reimbursed by the State once they achieve agreed-upon milestones.

Downtown Management and Grant Administration

Overview

Local oversight and coordination of downtown projects is vital to the overall success of the DRI/NYF investments. To ensure efficient and coordinated implementation of DRI projects, it is expected that each community will designate a DRI/NYF point of contact who will provide consistent oversight and serve as a single point of contact regarding all DRI/NYF projects.

Each contracting state agency/authority (primarily DOS, ESD, and HCR) will be responsible for managing individual contracts with project sponsors; however, DOS will remain the lead for the state team and will be responsible for tracking progress of all DRI/NYF projects.

| **Albany Skyway** (DRI Round 3)

SECTION 6.3 — DOWNTOWN MANAGEMENT AND GRANT ADMINISTRATION

| Clute Park Enhancements, Watkins Glen (DRI Round 2)

SECTION **6.4**

Roadmap for Continued Revitalization

Overview

Downtown revitalization usually does not begin or end with the DRI/NYF award. Downtown revitalization work begins well in advance of receiving a DRI or NYF award, and that work must continue beyond the DRI/NYF planning and project implementation process. To continue the work of downtown revitalization in each community, the LPC will guide the development of a "roadmap," which will identify actions, projects, and programs to continue downtown revitalization. This roadmap will include near-term (three to five years) recommendations that will help continue and build on the momentum of the DRI/NYF planning process and projects.

| **Town of Ticonderoga** (DRI Round 6)

Developing a Community Roadmap

Overview

After the completion of the DRI/NYF planning process, communities often struggle to figure out what to do next to continue the momentum of revitalization. The Community Roadmap will help communities figure out what to do next, while also smoothing the way for the implementation of DRI/NYF projects.

The Roadmap is a list of recommendations that the community can begin pursuing following the conclusion of the DRI/NYF planning process. The recommendations will help the community realize the vision and goals developed during the planning process, aside from the specific projects proposed in the final slate of projects. Recommendations may also be made to help the community prepare for the implementation of DRI/NYF projects.

The Roadmap may suggest taking advantage of other state programs like Empire State Development's Restore NY program, Homes & Community Renewal's NY Main Street Grant, Environmental Facilities Corporation's Green Innovation Grant Program (GIGP), or Department of State's Local Waterfront Revitalization Program (LWRP). It may suggest opportunities for collaboration with other municipalities or how to build internal capacity. A community's work to revitalize doesn't stop when the DRI/NYF planning process is completed.

The Roadmap is part of the Strategic Investment Plan and is created by the consultant and State teams. The inspiration for recommendations may come from issues or projects that were identified during the DRI/NYF planning process but were not an appropriate fit for DRI/NYF funding or from best practices that other DRI/NYF communities have implemented to support ongoing downtown revitalization.

Roadmap Suggestions

The following topics are intended to help consultant teams identify the appropriate recommendations for communities that will advance the community's vision and goals for the downtown.

Funding

DRI/NYF funds are limited, and the investments needed to further revitalization often go beyond the available DRI/NYF funds. As consultants develop the Roadmap, they should consider the following questions.

- Are there additional funding sources that were identified during the planning process that could supplement the DRI/NYF award and help achieve specific goals realized during the planning process?

- Are there programs or opportunities that could fund projects identified during the planning process that weren't included in the final slate (like the creation of a waterfront trail or upgrading infrastructure or becoming a NYSERDA Certified Clean Energy/Climate Smart Community)?

- Are there other state programs identified during the planning process that the community can take advantage of and that will catalyze future development?

Example Recommendations:
- Pursue NYS Office of Parks, Recreation, and Historic Preservation Recreational Trails Program for additional funding to extend the rail trail from downtown to village park.

- Become a DEC-certified Climate Smart Community and initiate mandatory and priority actions to increase levels of certification.

Leadership and Capacity

The process for implementing DRI/NYF projects and other revitalization projects can require substantial resources and often take time to implement. If there are things that a community can do to ensure smooth implementation of projects and ongoing downtown revitalization, the Roadmap could consider the following questions and include relevant recommendations.

- Will the community undergo a leadership change before DRI/NYF projects are implemented?

- Do municipal staff and/or boards need additional training or development?

- What steps can be incorporated to create a seamless transition for DRI/NYF implementation?

- Does a subset of the LPC continue planning efforts and assist with implementing public DRI/NYF projects following the announcement of awards?

Example Recommendations:
- Establish a downtown revitalization committee to help guide the implementation of DRI/NYF projects and coordinate them with other revitalization initiatives.

- Ensure there is a transition where information about DRI/NYF projects is clearly conveyed to newly elected officials and new staff.

Engaging with the Community

Important to the success of downtown revitalization is ensuring community buy-in into the local revitalization efforts. This includes soliciting input from the community and sharing updates about downtown projects and initiatives. Questions to consider when developing recommendations include:

- Can a municipality take ownership and use a newly created website and/or social media channel to continue public engagement (example: Crown City Rising | Cortland Revitalization Project)?

- How can a municipality utilize established communication channels (such as: newsletters, other organization's email blasts, a BID) to communicate next steps and additional opportunities for public input?

- How can a community share the story of revitalizing its downtown?

- Are there specific ways to highlight projects and the identity of the community through this process?

Example Recommendations:
- Use online tools (e.g., the DRI/NYF website, social media, etc.) and other communication channels to keep the public apprised of and solicit input on downtown revitalization projects, DRI/NYF and non-DRI/NYF.

- Host walking tours of revitalization projects to share project visions and project statuses.

- Develop and host informational presentations about downtown revitalization to inform the public about the project development and implementation process.

Additional Revitalization Components

Some ideas for revitalization may come up during the DRI/NYF process that are not appropriate for DRI/NYF funding. This section may include other recommendations that advance revitalization. Pipeline project should **not** be included in this section as they should be identified in the Project Profiles section. Questions to consider when developing recommendations include:

• Are there complementary projects that were identified during the planning process that can build upon the slate of projects?

• Can paths forward be identified to progress pipeline projects and connect them to resources?

• Were there strategic sites or gaps that the planning process was unable to address at the time?

• Are there identified gaps that will exist after implementation of the DRI/NYF?

Example Recommendations:
• Investigate ways to increase affordable access to broadband within the DRI/NYF boundary, with potential avenues including NYS ESD ConnectALL and the New York Power Authority.

• Identify properties that were not included in the DRI/NYF slate that would be strategic for redevelopment because of location, access to the water/sewer/utilities, size and/or condition, and task a committee to develop a plan for these strategic sites.

Evaluation

While metrics of success can often be seen through visual improvements to downtown, there may be other ways to measure success a community may want to pursue, specific to their goals. The following questions may be considered when developing Roadmap recommendations.

• Are there specific metrics that a community wants to achieve, such as increasing the number of units of workforce or market-rate housing, or increasing the reliance on alternative fuel sources?

• Are there metrics that a community/project is already using that can be highlighted or capitalized on?

Example Recommendations:
• Track the number of new housing units added annually (market rate, affordable, and workforce).

• Track the downtown investment that has been directly or indirectly leveraged by the DRI/NYF award.

• Survey downtown businesses at a regular interval to assess the downtown business environment to engage in a process of continuous improvement

Preparing the Roadmap

During the planning process, both the consultant team and the State team will keep track of ideas outside of the scope of the DRI/NYF that would help advance a community's revitalization efforts.

Using the information and non-DRI/NYF project ideas gathered throughout the process, the consultant team should craft recommendations and provide the additional detail to help implement those recommendations, as feasible. Those additional details related to each recommendation may include:
- Description of steps involved for it to be accomplished
- Person(s)/position(s), organization or department that will champion this item
- Timeframe
- Budget
- Potential Funding Sources

The consultant may organize these recommendations into a table format and organize them into categories, as appropriate.

Roadmap Considerations

When developing the final Roadmap, be sensitive to recommendations that may cause issues in the community. For example, do not recommend acquisition of a strategic site that has not been publicly discussed as it may cause issues with negotiations, etc. Or do not recommend a zoning change that may be controversial for which there has been no analysis completed. These recommendations will be public.

I **City of Lockport** (DRI Round 3)

Strategic Investment Plan (SIP)

Putting it all Together

In this Section...

SECTION **7.1**

Overview

Each Downtown Revitalization Initiative and NY Forward Strategic Investment Plan will describe the unique challenges and opportunities for revitalization of the downtown, present the community's vision for the future of the area, and propose transformative projects that may be realized with an investment of Downtown Revitalization Initiative and NY Forward funds.

Purpose

All Strategic Investment Plans must be organized and presented in a manner determined by DOS, in consultation with the consultant team. High-quality writing and graphics are expected, and all plans must be professionally written and edited to ensure consistency in tone and style.

Each DRI/NYF Strategic Investment Plan shall consist of the following sections in the order presented below:

- Front Cover/Inside Cover
- Table of Contents
- Foreword text and accompanying graphics to be provided by the State
- Executive Summary
- Section 1.0: Downtown Profile and Assessment
- Section 2.0: Community Vision, Goals, and Revitalization Strategies
- Section 3.0: Public Engagement
- Section 4.0: Projects Proposed for DRI/NYF Funding
- Section 5.0: Community Roadmap

Requirements + Best Practices

The consultant team and DOS project manager should discuss the key milestones and deliverables related to the development and compilation of the DRI/NYF SIP at the beginning of the process. As there is little time during which to draft a full SIP between the final LPC meeting and the deadline for the submission of the final SIP to the State, it is important that the consultant team and DOS project manager develop a timeline for receiving, reviewing, and finalizing documents. The following are best practices and suggestion for delivering an on-time SIP.

- At no point during the planning process should the draft downtown profile and assessment or draft project profiles be posted for public review. Project summaries, as would appear in public engagement materials, are sufficient for public review. Further, the complete SIP (draft and final) should not be shared with any parties outside DOS including the municipality or LPC. The Executive Summary is the only component that can be viewed by the LPC and the municipality.

- Work with your DOS project manager to establish a workflow for review to ensure all parties are providing drafts and feedback promptly. These parties should also identify the best means to review documents (e.g., fully-designed PDF documents or via shared Word documents). This can be done using the DOS SharePoint or another mechanism.

- Develop the downtown profile and assessment and vision, goals, and revitalization strategies sections early in the DRI/NYF process, submit them to your

DOS project manager for review. The LPC and the community should also have an opportunity to review the downtown profile and assessment. Upon receiving feedback, make suggested revisions immediately. Do not wait to do major revisions until the end of the process when everyone is working on project profiles. The final SIP may still require additional minor revisions to these sections at the end of the process.

- If possible, develop project titles early in the project development process and use them throughout LPC meetings and public events.

- Develop a Project Profile template for projects moving forward in the evaluation process after LPC Meeting #4 and start filling in the details.

- As soon as project budgets are received, begin checking those budgets for eligible expenses, contingency amounts, and to ensure that they provide sufficient information for the Project Profile.

- Share the relevant draft Project Profiles with the project sponsors to ensure that all information is accurate. Do not share any other SIP content.

- Renderings should be developed for projects moving forward in time for them to be seen at a public workshop and in advance of the LPC voting on the slate of projects.

Format and Required Elements

Roles and Responsibilities

Consultant Team is expected to:

- Draft and finalize all elements required for the SIP in a timely manner

- Incorporate all changes requested by the State team

The LPC is expected to:

- Review the following SIP elements as they are made available.

  - Downtown Profile and Assessment (usually only the draft version)

  - Draft project profiles

- The LPC will not review any other components of the plan, nor will they review the final plan document prior to award announcement

Document Layout

The preferred layout of the SIP is in portrait format; however, landscape format is allowed, but the pages must be standard size (8.5" x 11") so that they can be printed out if desired. With the exception of oversized maps or other graphics, facing pages should not be merged into single pages in the PDF as this makes viewing on a computer screen difficult. Therefore, the online document should be formatted for single page viewing.

Page Numbering

The PDF should be appropriately indexed so that the page numbers of the PDF match the page numbers in the document, and the table of contents should hyperlink to the sections listed in the document.

Submittal Requirements

The DRI/NYF SIP must be submitted to the State in PDF format as well as in its native format (e.g., InDesign). Two versions of the PDF should be provided: a high-resolution file suitable for printing and a low-resolution file that may be posted online.

Required Elements

Each SIP must contain the following elements:

Front Cover

The front cover of the SIP must be attractively laid out and properly branded. The front cover MUST contain the following items:

- The words "Downtown Revitalization Initiative" or "NY Forward" and "Strategic Investment Plan"
- The DRI/NYF community name
- REDC Region
- The DRI/NYF logo
- The date, as appropriate (e.g., "November 2023")
- Picture or pictures representative of the DRI/NYF community

The front cover may NOT include the following:
- Logos or the name of any consulting firm
- Renderings of proposed projects

The front cover MAY include the following items, as approved by the Department of State planner assigned to the community.

- Images
- Local brand or community tag line, such as, "a thriving downtown"

Inside Cover

The inside front cover MUST contain the following items:

- A list of the members of the DRI/NYF Local Planning Committee. List them alphabetically by last name, with the Co-Chairs at the top. The list may include a member's title and affiliation. Municipal staff who participated as non-voting members should be identified and may be listed below the voting members. State team staff may also be listed along with their agencies.
- An attribution that says: "This document was developed by the [Community Name] Local Planning Committee as part of the Downtown Revitalization Initiative or NY Forward and was supported by the NYS Department of State, NYS Homes and Community Renewal, Empire State Development, and NYSERDA. The document was prepared by the following Consultant Team: [name firms]."

The inside front cover MAY include the following:

- A modest-sized logo of the consulting firm(s).
- If the image(s) used on the cover were not produced as part of the DRI/NYF contract with the consultant team, please get permission to use the image(s) and provide an attribution.

Table of Contents

Each SIP must include a table of contents with each section listed, at a minimum. The Table of Contents must include hyperlinks to each of the plan's sections and to each project profile as SIPs will primarily be accessed electronically. The Table of Contents must also include a list of projects with the page number of the first page of each project profile. The Table of Contents may also include a list of supporting/pipeline projects.

The Table of Contents may include subsections, and it can also include a listing of graphics, tables, and maps used in the document. The Table of Contents may include a list of all tables and figures, but is it not required.

Each section and each project profile should be hyperlinked.

Foreword

The NYS Department of State will provide a Foreword that describes the DRI/NYF programs. It should be located immediately following the Table of Contents and shall appear on the right-hand side of the publication. The Foreword should also include the provided map of the DRI NYF communities, which will be provided by the State. For spacing purposes, an image from the community or the map of the current DRI/NYF areas may appear opposite the Foreword. **Consultant team must make sure "Foreword" is spelled correctly.**

Executive Summary

The Executive Summary will immediately follow the Foreword. The Executive Summary should be presented in a visually appealing, graphic manner and should be able to stand on its own and be used separately from the plan. The Executive Summary should be approximately 12-15 pages in length, including all graphics.

The following items should be included in the Executive Summary and should generally be in this order:

- An introduction
- A brief description of the DRI/NYF area accompanied by a map
- A summary of the key observations
- A summary of community engagement results
- The DRI/NYF vision, goals, and strategies

- A brief description of each of the projects recommended for funding. The order of the projects in the Executive Summary should match the order of the projects in Section 4.0: Project Profiles. The Executive Summary project descriptions shall include the following:

    - The project title and description, which should match the information in the Project Summary Table

    - The total project cost and the DRI/NYF funding request

    - The proposed conditions image

Section 1.0: Downtown Profile and Assessment

This section should be clear and concise and weave together a narrative that sets up the community vision and identification of proposed projects. An initial draft of this section must be completed early in the process, and the final version must address comments received from the State, LPC, and stakeholders. Other refinements may also include revisions to key opportunities and challenges based on the identified proposed projects and changes to the economic trends and opportunities as more market analyses information related to project becomes available. The final version of the downtown profile and assessment shall be integrated into the SIP as Section I.

Section 2.0: Community Vision, Goals, and Revitalization Strategies

This section should concisely define the community's vision, goals, and revitalization strategies. All comments received from the State,

LPC, and stakeholders shall be incorporated into the final version of the community vision, goals, and revitalization strategies and integrated into the SIP as Section 2.0.

Section 3.0: Public Engagement

This section should summarize all types of public engagement conducted over the course of the planning process. At a minimum, this section should include:

- A high-level summary of the different types of engagement conducted (e.g., 6 LPC, 3 public workshops, etc.);

- A subsection focused on LPC meetings, including a high-level, brief description of each LPC meeting and key outcomes;

- A subsection focused on public workshops, including generalized feedback related to the community vision and proposed projects. Public feedback should not be presented in a way that prioritizes projects;

- A subsection focused on local outreach activities; and,

- A subsection describing any other types of engagement conducted (e.g., stakeholder meetings, online engagement, etc.).

Section 4.0: Project Profiles

This section should include all of the project profiles. All comments from the State, LPC, and stakeholders should be incorporated into the final version of the project profiles.

This section should include the following:

- An introduction to the slate of projects.
- A section that describes the synergies between the proposed DRI/NYF projects.
- A project alignment matrix that shows hows each project aligns with the goals for the downtown.
- A project summary table.
- A project summary map.

There are additional guidelines and examples for each of these sections below.

Introduction

This section should include a high level summary of how the LPC evaluated projects, the evaluation criteria used, the number of projects, the total DRI/NYF request, and the total project cost. The introduction should be brief and approximately 1/2 to one page.

Project Synergies

This section should describe the synergies between the proposed DRI/NYF projects and how they will work to revitalize the community's downtown. If there are other non-DRI/NYF projects, plans, and investments that the DRI/NYF projects complement, a description those synergies should also be included. The description of synergies should not be limited to the visual improvements that these projects will bring but should also focus on operational synergies and how the projects will promote downtown revitalization upon implementation.

Example of Project Synergies

The 13 projects recommended for DRI funding are proximate to each other in the heart of downtown Ticonderoga. This proximity allows for the concentration of public investment, maximizing the impact of public and private funds and enabling projects to leverage each other's momentum and benefits, resulting in a comprehensive revitalization approach that will encourage continued investment.

The recommended projects for the Ticonderoga DRI are sponsored by public, private, and not-for-profit entities that will beautify the public realm, boost the arts, support tourism, preserve historic buildings, and enhance local community assets.

The Beautify the Montcalm Streetscape in Downtown Ticonderoga project along the Montcalm Street corridor will create a more inviting environment for downtown businesses, patrons, residents, and visitors while creating seamless pedestrian connections within the downtown and between other DRI projects. This project will complete the implementation of the streetscape plan that the community has been working on for over a decade. At the center of Montcalm, the Redevelop a Downtown Gateway into a Multi-Functional Community Space project substantially enhances the corridor by removing a dilapidated building and turning it into an attractive community space at the entrance to the core of downtown.

Complementing these projects throughout the DRI boundary and beyond is the Strengthen Downtown Ticonderoga's Identity through a Branding, Marketing, and Wayfinding Signage Initiative project. The project will create a unique brand for the downtown, displayed

via wayfinding signage, helping to create a distinctive and cohesive downtown identity. This identity will complement the streetscape and gateway improvements that visually define downtown. The branding, marketing, and wayfinding project will also direct residents and visitors within downtown and to its amenities, including DRI projects while promoting downtown Ticonderoga and its features to the region and beyond. The Connect Downtown Ticonderoga Through Dynamic Art Installations also contributes to the downtown character by adding murals, sculptures, and interactive art pieces that will engage downtown patrons and contribute to the placemaking that will distinguish Downtown Ticonderoga from other downtowns.

These public realm improvements will create an environment that supports the private and not-for-profit investment, backed by DRI funds, by making it a safe and walkable downtown, promoting attractions and businesses, and cultivating a pleasant environment that makes people want to spend time there. The proposed private and not-for-profit projects seek to preserve key downtown buildings, bring new businesses to downtown, expand existing businesses, and add cultural facilities.

One block away from Montcalm Street, where many of the DRI projects are concentrated, is the La Chute Riverfront, one of the hidden gems of downtown Ticonderoga. The Enhance the La Chute Riverfront to Promote Natural Features project will activate an underutilized space and create a unique downtown attraction in Ticonderoga, resulting in an appealing public space for residents to use and serve as an attraction for visitors, who may also utilize one of the lodging options and frequent the businesses supported by DRI. To further

connect the downtown to the natural assets of the community, the Activate Adirondack Drive to Link Downtown to the La Chute Riverfront project will create a gateway from the riverfront to Montcalm Street and each of the DRI projects within the downtown corridor. With an activated Adirondack Drive, the La Chute Riverfront and neighboring Bicentennial Park will be clearly connected to the downtown. This link will promote additional patronage of the unique natural features of downtown and the businesses within the commercial district.

Critical to the success of any DRI is the synergistic nature of the projects, as the collective impact of projects that leverage each other's momentum surpasses the benefits of implementing the projects individually. This slate of 13 synergistic projects will drive further investment in downtown Ticonderoga, contributing to a comprehensive revitalization.

Project Alignment Matrix

The matrix will show how each project aligns with the goals developed during the early part of the planning process. At a minimum, the matrix should include the project name, project description, and the goal(s) as shown in the example below.

Example

Project Summary Table

The project summary table should list all projects recommended for DRI/NYF funding and be formatted using the template shown below. Projects should be listed in the order they appear in the SIP. There is no requirement related to the order in which projects are to be listed. Acceptable order of projects could include by DRI/NYF funding request, location, or another method. Projects should **not** be listed in priority order. This summary table must include the project number, project name, project description, project sponsor, estimated total project cost, DRI/NYF funding request, funding sources, proposed start date, and anticipated completion date. Supporting or pipeline projects should **not** be listed in this table. The table on page 181 shows how the project summary table must be presented.

Guidelines

- Project names should match the names used in the project profiles.
- Project descriptions are brief summaries of the project using the content from the project description in the project profile. These project descriptions should be written in accordance with these guidelines:
    - The description should be 1-2 sentences, start with an action verb (could be same as project title), and written in present tense
    - Include locational details
    - Include the outcome of the project in general terms (e.g., housing, mixed-use, commercial, streetscape, park, branding, wayfinding)
    - Include the goals for the project (e.g., improved façade, renovated interior,

improved walkability, expanded programming, inclusion of green space), if applicable
    - Leave out referrals to descriptors such as market-rate, luxury, or upscale as well as specific numbers of units or references to square footages. This will allow for flexibility as a project progresses through development. If such descriptors are pertinent to magnitude of the project, use "approximately" or "expected."

The following are examples of project descriptions from previous SIPs and how they should be modified in accordance with the guidelines.

Original title and description

Develop Alta Vista: Construct an approximately 6-story, 76-unit mixed-income building on four vacant lots in Downtown Rochester. The project includes supportive housing units for survivors of domestic violence and space for the Landmark Society of Western New York. This project will also make improvements to the adjacent St. Joseph's Park. New lighting, pathways, and structural improvements will enhance this public and outdoor event space.

Revised title and description

Develop the Alta Vista Mixed-Income Housing Complex: Construct a mixed-income building on four vacant lots in downtown Rochester to be accompanied by improvements to the adjacent St. Joseph's Park, which may include new lighting, pathways, and structural improvements.

SECTION 7.2 — FORMAT AND REQUIRED ELEMENTS

Original title and description
Implement a Commercial Storefront Revitalization Fund: Implement a storefront revitalization fund to provide grants to renovate building exteriors within the DRI area. Upgrades will be in line with Village character and may include facades, entrances, awnings, lighting and signage.

Revised title and description
Implement a Commercial Storefront Revitalization Fund: Implement a storefront revitalization fund in the DRI area to renovate building exteriors, including facades, entrances, awnings, lighting, and signage to be in line with Village character.

Original title and description
Construct Main Street Commons: Create a new outdoor public space in the heart of Downtown and improve pedestrian connections between St. Paul Street and Clinton Avenue. This project will divide the existing 600-foot-long superblock into two more walkable urban block lengths.

Revised title and description
Construct Main Street Commons: Create a new outdoor public space in the heart of downtown and improve pedestrian connections between St. Paul Street and Clinton Avenue to improve walkability.

Project Summary Map

Each of the proposed projects recommended for DRI/NYF funding must be shown on a project summary map. The projects should be numbered to correspond to the project number provided in the project summary table. This map should also provide a graphic representation of the relationship of the proposed projects to each other and to the downtown and may include downtown anchors, significant developments, areas of community value, and other features that provide necessary context. Please note that all projects must be located within the DRI/NYF boundary.

The map may take up two pages in printed format but should be presented on one (expanded) page in the electronic version of the document. A legend listing each of the projects should also be included. An example map is on page 182.

| Project Summary Table Example

No.	Project Name	Project Description	Project Sponsor	Estimated Total Project Cost	DRI Funding Request	Funding Sources	Anticipated Implementation	
							Start Date	End Date
1	Construct Higinbotham Park Performance Pavilion & Visitor's Kiosk	Construct a new pavilion with a stage and sound system as a permanent venue for multiple performance arts in the heart of downtown, incorporating rest rooms and a visitor's kiosk for information.	City of Oneida	$531,000	$531,000	N/A	Q1 2023	Q1 2024
2	Develop a Downtown Business Assistance Fund	Create a matching grant fund for facade repairs and interior improvements for downtown businesses in the DRI area.	City of Oneida	$1,140,000	$600,000	N/A	Q1 2023	Q4 2025
3	Develop Area Youth Soccer Organization (AYSO) Soccer Fields	Build soccer fields on former flood sites in downtown to encourage downtown area sports.	City of Oneida	$760,000	$760,000	N/A	Q1 2023	Q1 2025
4	Establish a Form-Based Zoning Overlay District	Establish a form-based code and overlay district for the DRI area to ensure that future development is consistent with the City's built and natural environment.	City of Oneida	$150,000	$150,000	N/A	Q1 2023	Q4 2023
5	Improve Downtown Infrastructure and Streetscaping	Implement streetscape and pavement improvements to portions of Main St, Broad St, Farrier Ave, and Vanderbilt Ave with bicycle infrastructure added to Sconondoa Street.	City of Oneida	$3,419,000	$2,519,000	- NYS DOT Touring Route Funding (awarded)	Q1 2023	Q3 2024
6	Redevelop Dispatch Commons	Rehabilitate a former newspaper printing building into multipurpose retail, office, restaurant, and microbrewery.	Dispatch Commons, LLC / MEID Construction	$2,030,000	$812,000	- Bank Line of Credit	Q1 2023	Q3 2023
7	Redevelop the Lerman Building for Commercial and Residential Uses	Convert the upper two floors of the Lerman Building into townhouse style apartments, update the commercial spaces, and expand the existing Oneida Co-Works space, adding new offices.	Center Street Residential LLC	$4,379,000	$1,141,000	- NY Main St (awarded) - Restore (awarded) - HTC (awarded) - Financing -Equity	Q1 2023	Q1 2024

Project Summary Map Example (Auburn DRI Round 3)

PROJECT TYPE

🔴 New Development, Redevelopment, Rehabilitation, or Site Improvements on Private Property

🟢 Public Improvement Projects

PROPOSED PROJECTS

1. Create the West End Arts Campus

2. Rehabilitate Metcalf Plaza

3. Redevelop an Underutilized Strip Mall to Create a Shared Services Public Safety Building

4. Construct New Multi-Family Residential Buildings on Vacant Land

5. Transform a Vacant Lot into an Urban Public Plaza

6. Establish a New Facility to Expand Services Provided by Nick's Ride 4 Friends

7. Rehabilitate the Seward House Museum's Carriage House and Barn

8. Establish a Downtown Facility for Cayuga Community College's Culinary Arts Program

9. Renovate Auburn Public Theater with a Cafe and Large Event Space

10. Convert a Vacant Structure into Six Apartments and a Ground Floor Retail Space

11. Establish a Downtown Auburn Fund to Support the Growth of Small Businesses and Improve the Built Environment (DRI-wide; not mapped)

12. Renovate Health Central to Provide New Specialty Health Services in a Walkable, Downtown Location

13. Install Public Art to Create a Sense of Place and Beautify Downtown Auburn

14. Renovate and Restore the Willard Memorial Chapel

15. Redevelop the Vacant Rudolph Building into Mixed-Use

16. Rehabilitate the Phoenix Building, a Prominent Landmark in Downtown Auburn

17. Renovate an Affordable Housing Building

18. Create a Vibrant, Interactive and Multi-Generational Destination in Downtown Auburn

Submitting the SIP and Related Materials

Submission Requirements

The following documents must be submitted electronically to the assigned DOS project manager upon final submission of the SIP.

✓ Public Engagement

The documents for this section should be organized in accordance with the bullets below. Within the LPC Meeting Materials and Public Workshop Materials folders, the information requested should be organized by the event (e.g., LPC Meeting #4, Public Workshop #2).

- ☐ Public Engagement Plan
- ☐ LPC Meeting Materials
  - ☐ Sign In Sheets
  - ☐ Presentations
  - ☐ Handout Materials
  - ☐ Public Notices
  - ☐ Meeting Summaries
  - ☐ Meeting Photos
- ☐ Public Workshop Materials
  - ☐ Sign In Sheets
  - ☐ Presentations
  - ☐ Handout Materials
  - ☐ Public Notices
  - ☐ Meeting Summaries
  - ☐ Meeting Photos
- ☐ Other
  - ☐ Surveys
  - ☐ Survey Results and Summaries
  - ☐ Supplemental Engagement Materials and Summaries, including materials for Local Outreach Activities
  - ☐ Newspaper Articles, etc.
  - ☐ Ballots (final LPC Meeting)

✓ Proposed Project Checklist

Each project recommended for DRI/NYF funding should be in a folder labeled with the project title (Project 1_Abbreviated Project Name). This should include any information available for pipeline/supporting projects.

Each project folder should contain the following sub-folders:
- ☐ Completed DRI/NYF Project Form
- ☐ Final Cost Estimate (including original estimate documentation)
- ☐ Existing Conditions Photos
- ☐ Final Rendering(s) - including source files and final PDF or JPG of the rendering
- ☐ Location Map - including source files and final PDF or JPG of the map
- ☐ Supplemental Information if Applicable (Agreements, Background Information, Architectural Drawings, etc.)
- ☐ Financing documents (pro-formas, proof of funds, market studies)

✓ Strategic Investment Plan (SIP) Checklist

The following stand alone documents must be submitted as part of the final SIP package:
- ☐ Final Strategic Investment Plan
  - ☐ High Resolution PDF
  - ☐ Low Resolution PDF
- ☐ Folder of packaged report with links (photos, maps, renderings, fonts, etc.)
- ☐ GIS data and maps
  - ☐ Shapefiles
  - ☐ Raw data
  - ☐ Basemaps
- ☐ Economic and Market Reports

Writing Style Guide

The following writing style guidelines are to be used with all documents produced as part of the DRI/NYF planning process.

1. All agency names and other terms that could be abbreviated should be fully spelled out in the first reference of each section. Include the jurisdiction in the full name, when applicable. The term should be followed, in parenthesis, by the abbreviation. E.g., first reference in section: "New York State Department of State (DOS)." At times, it will be necessary to include the abbreviated jurisdiction in front of an abbreviated agency name. E.g., "DOT" should be either "U.S. DOT" or "NYS DOT." Note that there are not spaces or periods in abbreviations, except for "U.S.," which has periods after each letter. Also note that there is a space between jurisdiction and agency. For state agencies, use "NYS," not "NY."

2. When New York is referred to in the text, it can be referred to as "New York," "State of New York," or "New York State (NYS)." Remember, "New York" is not synonymous with "New York City."

3. The name of the program is the "Downtown Revitalization Initiative" or "NY Forward." The first reference in a section to the program should be "Downtown Revitalization Initiative (DRI)" or "NY Forward (NYF)." Subsequently, the program may be referred to as "Downtown Revitalization Initiative" or "DRI;" Or "NY Forward" or "NYF."

4. Use %, not percent.

5. A DRI or NYF Planning Committee is comprised of "Co-Chairs" and "Committee Members."

6. The "Local Planning Committee" can be referred to as "LPC" after the first reference in each section. The first reference should include the abbreviated form in parentheses.

7. Federal should be capitalized; State should be capitalized when referring to New York State; Governor should be capitalized when referring to Governor Hochul. County, Town, City and Village should be capitalized when referring to a specific municipality.

8. On first reference in the Strategic Investment Plan, the Governor should be referred to as "New York Governor Kathy Hochul." Thereafter in the plan, the Governor should be referred to as "Governor Hochul."

9. The consultant firms can be referenced by name on the inside cover of the document. Throughout the remainder of the DRI/NYF Plan, the appropriate reference is "Consultant Team." (Do not use "Consulting Team.") "The Consultant Team" should not be mentioned as the primary agent in the planning process.

10. The serial/Oxford comma should be used throughout the document. A comma should be placed after each member within a series of three or more words/phrases/letters/figures used with and/or/nor. Commas (like other punctuation marks) are placed inside closing quotation marks. A comma is needed after "e.g." and "i.e."

11. A numerical figure is used for the number of 10 or more except when it is the first word of a sentence. When a number is less than 10 or the first word of a sentence, it should be spelled out. When spelling out a number, hyphenate compound numbers between twenty-one and ninety-nine. Always spell out simple fractions and use hyphens between the words in the fraction; mixed fractions can be expressed as a numerical figure, although if it is the first word of a sentence then the entire mixed fraction should be spelled out. Commas should be used to separate thousands/millions/billions. When two or more numbers appear in a sentence and one of them is 10 or larger, numerical figures are used for each number, regardless of value. A unit of measurement/time/money, which is always expressed in numerical figures, does not affect the use of figures for other numerical expressions within a sentence. Age, dates, measurements, percentage, time and unit modifiers are always expressed in numerical figures. Do not spell out units when there is a symbol that can represent the unit (e.g., "$" or "%").

12. Be consistent in writing $1 million versus $1,000,000.

13. At the end of a sentence, use one space after the period, not two.

14. The sentence that precedes a bulleted list of items should end with a colon. Each item of a bulleted list should conclude with a semicolon, period, "and," or "or."

15. Each figure (e.g., map) or table (e.g., chart) should have a title. Each figure or table should contain a key, when applicable.

SECTION **8.2**

Photo and Image Guidelines

Image Quality

- All photos and images should be at least 300 DPI or higher.

- Do not attempt to increase the photo size using filters or software.

SIP Photos

- Include photos in the SIP that provide a sense of the downtown neighborhood's character beyond the specific project locations. For example, photos that show the architecture, streetscape, public arts, public spaces such as park or trails, and downtown events or activities are important to conveying the character of the downtown.

- Capture the community in a variety of conditions (season, weather, light) that highlight the downtown's character and engage the reader

- Consider using aerial photography to capture the whole of the downtown neighborhood and its relationship to the surrounding environment.

- Attempt to capture active uses in downtown (people in the downtown space dining, in parks, at events, etc.

Project Photos/Images

- If possible, photos of existing conditions of proposed projects should be taken from a similar perspective as the rendering associated with that project.

- Floor plans and other diagrams should be high-resolution (minimum of 300 DPI)

Photo/Image Credits

- All photos and images must be credited to the photographer or owner of that image in the document.

- A blanket statement about photo or image credits can be used by the consultant team.

  - *Example: All photos in document were taken by the consultant team, unless otherwise noted.*

Branding Guidance

Background

The following guidance is intended to recognize that the DRI/NYF planning process involves both the State and the community. While the program is a State program, there are components and activities that are determined by the community, namely the LPC; therefore it is important for documents to convey that this is a community-based process. Please use this guide as you are developing all materials for distribution.

Terms Defined

To avoid confusion, a description and examples of the following terms are provided: DRI/NYF program logo, DRI/NYF community logo, official seal, local brand, and consultant logo.

DRI/NYF Program Logo

An image provided in the form of a JPG showing the State of NY branding with the words "Downtown Revitalization Initiative" or "NY Forward"

DRI/NYF Community Logo

A logo or heading should be developed and used on all materials to reflect a specific DRI/NYF community. The DRI/NYF community/area name should precede the words "Downtown Revitalization Initiative" or "NY Forward." Colors and fonts are not specified, but each DRI/NYF community should be consistent in its choices to establish local branding recognition.

Official Seal

The official seal of the community.

Local Brand

A local brand, such as an economic development slogan or local image associated with downtown revitalization. Existing branding may be used, or the consultant may create a new downtown logo and slogan for the LPC's consideration.

Consultant Logo

Logo or other consultant branding. The only appropriate place for consultant logos is on the inside cover of the final DRI/NYF Strategic Investment Plan.

Guidance

The following guidance encompasses most materials that will be produced through the DRI/NYF process. "Required" means that is the exclusive branding that may be used. "Optional" means that the listed branding may be used in addition to the required branding. No other branding is permitted. If in doubt about the proper use of branding for products not mentioned below, the consultant should consult with the DOS project manager.

LPC Meeting Notices

It is the responsibility of the community to provide LPC meeting notices. Those notices will typically be provided to the media by the office of the mayor/supervisor.

- Required: DRI/NYF Community Logo at the top of the page

- Optional below the level of the DRI/NYF Community Logo: Official Seal, Local Brand, DRI/NYF Program Logo

LPC Meeting Agendas

Meeting agendas are prepared by the consultant for the use of LPC members and may be distributed to the public.

- Required: DRI/NYF Community Logo

- Optional below the level of the DRI/NYF Community Logo: Names of Co-Chairs (Co-Chairs: Mayor X and Y); DRI/NYF Program Logo, Official Seal, Local Brand

Sign In Sheets and Notes from LPC Meetings or Public Events

Sign in sheets primarily serve an administrative purpose. Notes from LPC meetings, stakeholder meetings, public events and the like represent preliminary ideas and discussions, and are not offered for approval by the LPC.

- Required: DRI/NYF Community Logo.

- Optional: No other logos or brands should be used.

PowerPoints for LPC Meetings or Public Events

PowerPoints are prepared by the consultant, and reviewed by State planners, prior to their use at LPC meetings and/or public events. They are typically posted on the local DRI/NYF website for public viewing, and demonstrate an evolution of the planning process.

- Required: DRI/NYF Program Logo and DRI/NYF Community Logo on first slide

- Optional: DRI/NYF Community Logo or DRI/NYF Program Logo may be used on one or more subsequent slides

Public Event Materials

Throughout the process, documents such as posters, display boards, brochures, and handouts will be produced for use at public events. Such materials may also be reproduced on local websites or in news stories.

- Required: DRI/NYF Community Logo and DRI/NYF Program Logo

- Optional: Local Brand, Official Seal

Public Event Flyers

Flyers and other notices advertising public engagement opportunities are intended to garner the attention of the public and press. These flyers help alert the public about the DRI/NYF planning process, build buy-in of the process, and promote the DRI/NYF programs, which can lead to continued support for the programs at the local, regional, and state levels.

- Required: DRI/NYF Community Logo and DRI/NYF Program Logo

- Optional: Local Brand

Community DRI/NYF Website

Use of a local website is required to share information about the DRI/NYF with the public and to post meeting materials, draft products, surveys and the like. The website should be consistent in its design choices to establish local brand recognition and use the branding components, as required. The website must include a hyperlink directly to the DRI/NYF DOS website.

- Required: DRI Program Logo and DRI/NYF Community Logo on DRI/NYF home page, DRI/NYF Community Logo on each of the other webpages dedicated to the DRI/NYF

- Optional: Official Seal or Local Brand on a municipal website

Draft DRI/NYF Plan Components

Draft components of the DRI/NYF plan have not been finalized by either the LPC or State, but are working documents that are part of the DRI/NYF planning process. They should not be presented as final documents with the program logo.

- Required: DRI Community Logo

Final DRI/NYF Plan

The final SIP, when released, will have undergone extensive review by state planners. The following branding is required in addition to the requirements of the SIP as outlined in this Guidebook.

- Required on Front Cover: DRI/NYF community name followed by "Downtown Revitalization Initiative/NY Forward Strategic Investment Plan", REDC region name, and DRI/NYF Program Logo.

- Optional on Front Cover: DRI/NYF Community Logo or community tagline and/or appropriate imagery.

- Optional on Inside Front Cover: Modest-sized logo of the consulting firm(s).

What Not to Do

- Don't use unofficial DRI/NYF logos. Consultant teams will be provided with official DRI/NYF logos.

- Don't use consultant logos except on the inside cover of the final SIP.

DRI/NYF Project Form

All project sponsors must complete the DRI/NYF Project Form early in project development. It is also the form that should be used in the Open Call for Projects. Consultant teams should add the appropriate community information to the document. Consultant teams will receive an InDesign version of this document. Consultant teams may add questions to the Project Form if approved by the DOS project manager.

[Insert DRI/NYF Community]

DRI/NYF Project Form

The [DRI/NYF community] has been awarded funds through the New York State [Downtown Revitalization Initiative (DRI) / NY Forward (NYF) program] to fund catalytic projects in the downtown to spur revitalization. The Local Planning Committee (LPC) is seeking project proposals from the public for potential projects to be included in [DRI/NYF community's] Strategic Investment Plan. Projects included in the Strategic Investment Plan will be reviewed by New York State and may receive funding from a total allocation of [DRI/NYF award amount]. Project proposals must be received by:

[Time + Date]

An informational meeting to learn more about the Open Call for Projects and eligibility requirements will be held [in-person/virtually] on:

[Time + Date]

How to Submit Your Project

(1) **Review the Eligibility Criteria and Project Requirements**

on pages 2-4 to learn about requirements for projects and to make sure your project is eligible to be considered for [DRI/NYF] funding.

(2) **Review the Local Vision, Goals, and Evaluation Criteria**

on pages 5-6 to learn about the vision and goals for [DRI/NYF community's] downtown and about how the Local Planning Committee (LPC) and State will evaluate projects.

(3) **Fill out the Project Proposal Submission Form**

on pages 7-14. Address each topic thoroughly and completely. The LPC will use this information to consider projects to be included in the [DRI/NYF community's] Strategic Investment Plan.

(4) **Submit your Completed Application**

Submit your Completed Application (and any supplemental materials) either electronically, in-person, or by mail no later than [TBD].

➡ **To submit online:**

Go to [insert DRI/NYF community's project website with instructions on how to access and submit the Project Form]

➡ **To submit via email:**

Email your completed application and any supplemental materials to [provide email]

➡ **To submit a hard copy, mail or hand-deliver:**

[provide address]

(?) **Questions regarding project eligibility, evaluation, or the project forms can be directed to [provide contact] at [provide email]**

Project Types & Requirements

It is expected that DRI/NYF funds will be used for capital projects that will transform the physical environment of the downtown in ways that will benefit current residents and future generations. However, certain non-capital projects or projects that may lead to capital investment will also be considered to the extent that they will contribute to the revitalization of the downtown. The following is a description of eligible and ineligible project types.

Eligible Project Types

- **Public Improvement Projects.** These may include projects such as streetscape and transportation improvements, recreational trails, wayfinding signage, new and upgraded parks, plazas, public art, green infrastructure, and other public realm projects that will contribute to the revitalization of the downtown.

- **New Development and/or Rehabilitation of Existing Downtown Buildings.** Projects in this category may include the development or redevelopment of real property for mixed-use, commercial, residential, not-for-profit, or public uses. All projects should be capital investments or should lead to capital investments. They should have a visible and functional impact on the downtown, serving as catalytic or transformative projects that will provide employment opportunities, housing choices, and/or services for the community.

- **Small Project Fund.** A locally managed matching small project fund may be proposed to undertake a range of smaller downtown projects such as facade enhancements, building renovation improvements to commercial or mixed-use spaces, business assistance, or public art. Funds are capped at $600,000 for DRI communities and $300,000 for NYF communities. However, an NYF community may receive up to $600,000 if substantial demand is demonstrated.

- **Branding and Marketing.** Examples include downtown branding and marketing projects that may target residents, investors, developers, tourists, and/or visitors. The costs eligible under this category must be one-time expenses, such as those to develop materials and signage.

Ineligible Project Types

- **Planning activities.** Following the preparation of the Strategic Investment Plan, all [DRI/NYF] funds must be used for projects that directly implement the plan.

- **Operations and maintenance.** [DRI/NYF] funds cannot be used for on-going or routine expenses, such as staff salaries and wages, rent, utilities, and property up keep.

- **Pre-award costs.** Reimbursement for costs incurred before the completion of the Strategic Investment Plan and the announcement of funding awards is not permitted.

- **Property acquisition.** The cost of property acquisition can be included in the overall project budget, but the acquisition must be funded by another funding source.

- **Training and other program expenses.** The DRI and NYF programs are a one-time infusion of funds and cannot be used to cover continuous costs, such as training costs and expensed related to existing programs.

- **Expenses related to existing programs.** [DRI/NYF] funds cannot be used to supplement existing programs or replace existing resources.

Project Requirements

The following are the requirements for projects to be considered for DRI/NYF funding. Recognizing several requirements must be met to qualify for [DRI/NYF] funding, each project sponsor will have access to technical support from State agencies and a consultant team to assist with project development (i.e. construction cost estimates, renderings, climate resilient design, meeting decarbonization requirements, etc).

- **Project Location.** Projects must be located within the [DRI/NYF community] boundary. If your project is located outside the [DRI/NYF] boundary, please provide a brief description of how the project relates to the downtown and supports the stated goals of the [DRI/NYF]. Minor boundary modifications may be considered by the LPC.

- **Project Timing.** Projects must be able to break ground within two years or sooner of receiving DRI/NYF funding.

- **Project Size and Scale.** Projects must be large enough to be truly transformative for the downtown area. Standalone DRI/NYF projects must be at least $75,000 in total project cost.* Projects less than $75,000 can be submitted through this process as demonstration of demand for a Small Project Fund. If you have a project that is under $75,000 in total project costs, please contact the consultant team at [insert email] for more information.

- **Project Funding.** Projects should have financing commitments largely secured or be able to demonstrate a clear path to securing sufficient financing. It is strongly encouraged that all projects, especially private projects, use non-DRI/NYF funds that leverage requested public funding. Projects that use other funding sources will be more competitive for funding awards.

  For projects with a private sponsor, there is a minimum match requirement of 25% of the total project cost.** There is no minimum match requirement for public or not-for-profit projects

- **Project Sponsors.** Every project must have an identified project sponsor. Sponsors may be public, not-for-profit, or private entities with the capacity and legal authority to undertake the proposed project.

- **Building Decarbonization.** For DRI/NYF communities, all public, private, and not-for-profit projects that meet the criteria for new construction, substantial renovation, or a building addition shall include decarbonization techniques. Each project that meets the criteria will be required to select a method of demonstrating that the project satisfies the requirements *More information on this requirement can be found in the DRI/NYF Guidebook.*

If your project does not meet all of the criteria described in this section, we still want to hear your project idea! Please share your ideas at [insert DRI/NYF project website URL].

*A project may be exempt from the $75,000 minimum project cost under special circumstances. This exemption can only be sought after consultation with the consultant and State team.

**A private project may be exempt from the 25% minimum match requirement under special circumstances. This exemption can only be sought after consultation with the consultant and State team.

[Provide Map of DRI/NYF Boundary]

DRI/NYF Community's Vision and Goals

The following draft vision and goals were established by the DRI/NYF Community's Local Planning Committee (LPC) using feedback received from the public during earlier public engagement events. Alignment with the DRI/NYF Community's vision and goals will be a criteria that the LPC will be using to evaluate submitted projects.

Draft Vision for Downtown

[Insert draft vision for downtown established at LPC Meeting #2]

Draft Goals for Downtown Revitalization

[Insert draft goals for downtown established at LPC Meeting #2]

Evaluation Criteria

The following criteria have been established by the DRI/NYF Community's Local Planning Committee (LPC) for project evaluation. These criteria were developed based on the State's evaluation criteria, which are listed at the bottom of the page. The LPC will use these criteria when discussing and evaluating proposed projects throughout the DRI/NYF planning process.

[Insert local evaluation critera established at LPC Meeting 2]

State Evaluation Criteria

Alignment with State DRI/NYF Goals.
- Create an active downtown with a strong sense of place.
- Attract new businesses that create a robust mix of shopping, entertainment and service options for residents and visitors, and that provide job opportunities for a variety of skills and salaries.
- Enhance public spaces for arts and cultural events that serve the existing members of the community but also draw in visitors from around the region.
- Build a diverse population, with residents and workers supported by complementary diverse housing and employment opportunities.
- Grow the local property tax base.
- Provide amenities that support and enhance downtown living and quality of life.
- Reduce greenhouse gas emissions and support investments that are more resilient to future climate change impacts.

Catalytic Effect. The project is likely to have a significant positive impact on the revitalization of the downtown by attracting other public and private investment at a scale appropriate for the DRI/NYF community.

Project Readiness. The project should be well-developed and poised to proceed in the near-term in a way that will jump start the redevelopment of the DRI/NYF area.

Cost Effectiveness. Investment of DRI/NYF funds in the project would represent an effective and efficient use of public resources.

Co-Benefits. The project will result in secondary benefits to both the community, which will generate additional economic activity and improve quality of life in the neighborhood.

DRI/NYF Project Form

Fill out this form to be considered for LPC project review and potential [DRI/NYF] funding. Please address each topic thoroughly and completely. The LPC will use this information to consider projects to be included in the [DRI/NYF community's] Strategic Investment Plan. Project sponsors are expected to provide timely responses to requests for any additional information from New York State and/or the DRI/NYF consultant.

1 ## Project Sponsor

Provide the contact information for the project sponsor, which is the entity proposing to implement the project..

Name:

Sponsor business or organization (if applicable):

Title (if applicable):

Mailing Address:

Phone:

Email:

If there are additional people who should be contacted as part of this proposal, please provide their contact information.

Name:

Phone:

Email:

Affiliation:

Name:

Phone:

Email:

Affiliation:

(2) Project Location

Please indicate the location of the proposed project.

Project Address or Location:

If the project is located outside the [DRI/NYF] boundary shown on page 4, please provide a brief description and justification of how the project relates to the downtown and supports the stated goals of the [DRI/NYF] program. The LPC may consider minor boundary adjustments.

(3) Project Type

Please indicate your project type:

- ☐ **Public Improvement**
- ☐ **New Development***
- ☐ **Redevelopment and/or Renovation of an Existing Building(s)***
- ☐ **Small Project (Less than $75,000 in Total Cost)**
- ☐ **Branding and Marketing**

(4) Existing Conditions

Describe the project site's existing conditions, including a description of why the proposed project is needed.

(5) Project Title

Please provide a title for your project that summarizes the goal of your proposed project (e.g., Renovate 10 Main Street into a Childcare Center).

(6) Project Description

Please provide a detailed description of the proposed project's scope of work, as applicable:

- The proposed use (e.g., commercial, industrial, public improvement, mixed-use).
- Any work or planning done previously on the proposed project.
- The size of the project (e.g., square footage of the building and of the space to be renovated (if applicable), number of floors, acreage, number of units, type of housing, commercial tenants, etc.).
- The types of activities to be completed as part of this project (e.g., sidewalk construction, replacement of flooring, exterior siding, interior walls, plumbing, and electricity in upper floors).

It is important to provide as much detail on the proposed project scope as possible. The information submitted on this form does not need to be final and may change as the project becomes more developed.

If your project involves new construction or renovation of a building, please complete Question 12 about decarbonization.

(7) Property Ownership

Identify the owner of the property on which the proposed project will be located. If the project sponsor and the property owner are not the same, please describe how the project sponsor will obtain the legal authority to implement the project at this site.

(8) Capacity

Describe the project sponsor's experience in implementing projects similar in scope/complexity to the proposed project, including any experience with grant administration.

Describe any partner entities or organizations that will help implement the project (e.g., funding, operating, or business partners).

Explain how the project investment will be maintained following the completion of the project.

Private project sponsors will be expected to submit information about the long-term financial feasibility of their project. At a minimum, project sponors will be required to submit documentation demonstrating the ability to financially maintain the business/building after project completion. This may include a pro-forma (strongly encouraged from projects requesting $500,000 or more from DRI/NYF), a business plan, or other documents showing cash flow. It is strongly encouraged that this documentation be provided when submitting this form, but it may be submitted later.

9 Preliminary Funding Estimate

What is the total estimated project cost and the amount of [DRI/NYF] funds requested?

Total Project Cost: _____

Total DRI/NYF Request: _____

Please complete the budget table below. Please identify different activities associated with the project, their costs, the funding source, and the status. Please use the following definitions to guide the response for the Budget.

Secured: This funding source and amount of funding is guaranteed.
Anticipated: This funding source is reasonably expected to be available at the time of project implementation, but the project sponsor does not have the funds currently available. This status may apply for funding sources such as loans, bonds, or fees.
Requested: The project sponsor has submitted a request to a funding entity for the amount identified but has not received confirmation of funding. This category is appropriate for the DRI/NYF funding source or other grants.
Undetermined: This funding source has not been secured, and the project sponsor has not fully identified the funding sources and amounts.

Note: [DRI/NYF] funds are structured as reimbursable grants. If [DRI/NYF] funds are awarded, the grant recipient may need to finance the total project cost using a bridge loan, owner equity, or another financing mechanism. In this situation, grant funds will be released once the project is completed per the contracted scope of work.

If a proposed project has not yet developed cost estimates or identified sources of funding, please provide as much detail as possible at this stage.

A project may include the cost of acquisition in the project budget, but the acquisition must be covered by another funding source, as [DRI/NYF] funds cannot be used to acquire property.

Action	Cost	Funding source	Status of Funds
Total [DRI/NYF] funding request	$		
Total funds from other sources	$		
Total project cost	$		

10 Project Readiness and Timeframe for Implementation

Describe any work that is underway or has already been completed to advance the project, such as feasibility studies, market studies, preliminary site design, permits obtained, and/or funding or financing that has been secured.

Describe the proposed timeline for project implementation that includes major project milestones.

Describe any known challenges, such as regulatory issues and environmental constraints, and explain how these challenges will be addressed in a timely manner.

11 Supplemental Information

If available at this time, indicate the types of supplemental information that will be provided with this application:

☐ **Images of the existing project site**

☐ **Images/renderings of the proposed project**

☐ **Documentation of project readiness**

☐ **Other (please specify)**

Supplemental project information may be submitted either electronically or as a hard copy. Include the project title and project sponsor contact information on each page of supplemental information. **If you are submitting supplemental information that is confidential, please label it as such.**

(12) Decarbonization (only applicable to new construction, building additions, and substantial rehabilitation)

Projects involving new construction, building additions, or renovations equal to or greater than 5,000 square feet may be subject to decarbonization compliance. *More information on decarbonization criteria and requirements can be found in the DRI/NYF Guidebook.* Please answer the following questions to help determine whether or not your project will require decarbonization.

Project Square Footage: [   ]

Which types of improvements will be made in this project? Check all that apply.

Removal and/or replacement of 50% or more of the area of interior wall-covering material

Removal and/or replacement of 50% or more of the area of the exterior wall-covering material, including doors and windows

Replacement of equipment that makes up 50% or more of the total heating and cooling capacity serving the building

Replacement of equipment making up 50% or more of the total water heating equipment serving the building

Replacement of 50% or more of the interior and exterior lighting that is powered from the building

Unsure about if my project will meet any of the above items

Are interested in learning more about how to make your building more energy efficient and reduce long-term operating costs?

Yes   No

Learn more about decarbonization on one of our upcoming webinars!

June 19, 2024
Time: TBD
Registration Link

July 9, 2024
Time: TBD
Registration Link

Certifications

I hereby certify that the information provided in this form is true and correct to the best of my knowledge. In order to be considered for DRI/NYF funding, I understand that additional information may be requested about the project and may involve meeting(s) with the DRI/NYF consultant. I agree to provide the requested information in a timely manner in order for the LPC, consultant team, and State team to consider my project for funding.

Project Sponsor Signature:

Date:

I understand that submission of this form does not constitute an application for or guarantee of funding from New York State, that the information provided herein will be reviewed and considered by the [DRI/NYF] Local Planning Committee for possible inclusion in the [DRI/NYF] Strategic Investment Plan. I further understand that inclusion in the [DRI/NYF] Strategic Investment Plan does not constitute a guarantee of funding from New York State, that all funding decisions will be made by New York State, and if funded I will comply with all State funding requirements.

Project Sponsor Signature:

Date:

Further, I hereby acknowledge that I have read the DRI/NYF project criteria and understand that any DRI/NYF funding provided for projects will made available on a reimbursement basis only after expenses are incurred or in some cases, after a project has been successfully completed in its entirety. I also understand that DRI/NYF funding will be subject to all applicable New York State requirements, including, but not limited to MWBE utilization, competitive procurement for goods and services, and project status reporting.

Project Sponsor Signature:

Date:

➔ **To submit via email:**

Email your completed application and any supplemental materials to [provide contact] at [provide email]

➔ **To submit a hard copy, mail or hand-deliver to:**
[provide address]

Deadline for Submission:

[Time + Date]

Small Project Fund Letter of Support Template

A community interested in a Small Project Fund should solicit Letters of Support from potential eligible applicants to demonstrate that a Fund would be feasible in the community. The following template for a Letter of Support could be used by the project sponsor in gathering these letters. It is important to convey to entities providing these letters that this is not a guarantee that they would receive funds, if awarded. A separate application process is still required.

Under Development

DRI/NYF LPC Ballot

The following ballot template can be used at the final LPC meeting when LPC members formally vote on the entire slate of projects. Consultant teams should customize this document for the community. Pipeline or supporting projects can be included on this ballot, but the DRI/NYF funding request should be $0. Consultant teams will receive an InDesign version of this document.

{Insert DRI/NYF Community} DRI/NYF Ballot

LPC Member Name: _____

DRI/NYF funding amounts are recommendations of the Local Planning Committee. Projects will be selected for funding by New York State and will be reviewed for project readiness and eligibility, among other critieria. Projects listed at $0 are not recommended for DRI/NYF funding but are additional priorities of the LPC and will be included in the Strategic Investment Plan.

Place an "✓" in one of the following boxes.

☐ I am in favor of submitting the DRI/NYF Strategic Investment Plan with the slate of projects listed below as proposed by the full Local Planning Committee, except as noted by a recusal due to actual or perceived conflict of interest.

☐ I oppose submitting the DRI/NYF Strategic Investment Plan with the below-listed slate of projects.

Place ✓ in Box to Recuse	Project Name/Description	DRI/NYF Funding Request
		$
		$
		$
		$
		$
		$

Place ✓ in Box to Recuse	Project Name/Description	DRI/NYF Funding Request
		$
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		$
		$
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		$
		$

LPC Member Signature: _____

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Model Downtown Profiles and Assessments

The following downtown profiles and assessments provide strong examples that generally meet DOS's expectations for this section of the SIP as they use graphics and images successful to show information and they offer strong synthesis of key findings that have important implications for downtown revitalization. These downtown profiles and assessments are strong examples of design and synthesis of information.

Staten Island (DRI Round 3)

Medina (NY Forward Round 1)

*The required components for the downtown profile and assessment for DRI 7 / NYF 2 differ from these examples, so please refer to the requirement in Section 3.3.

Section I
DOWNTOWN PROFILE & ASSESSMENT

Overview

Downtown Staten Island sits on the North Shore of Staten Island directly facing New York Harbor. Home to the St. George Ferry Terminal, it is the gateway to the borough, where more than 20 million ferry passengers annually travel to and from Lower Manhattan. St. George also serves as the first stop on the Staten Island Railway and as a major bus terminal, connecting residents, workers, and visitors to locations across the borough.

The Downtown is made up of three distinct waterfront neighborhoods connected by the Bay Street corridor. **St. George** is the transportation hub and civic center, home to some of Staten Island's largest cultural and employment anchors. To the immediate south, **Tompkinsville** is a neighborhood and recreational center, home to Tompkinsville Park, Lyons Pool, and local retail. Further down the waterfront, **Stapleton** is split between the old and new, with a historic retail corridor along a narrow stretch of Bay Street, an emerging arts district, and, on the other side of the Staten Island Railway, an emerging mixed-use neighborhood anchored by a signature open space along the 35-acre Stapleton Waterfront.

Taken together, these Downtown neighborhoods form one of the most densely populated and culturally diverse areas of Staten Island. With 11,200 residents as of 2018 and numerous cultural and recreational attractions, including museums, galleries, restaurants, theaters, parks, the waterfront esplanade, and Richmond County Bank Ballpark, home to the Staten Island Yankees, Downtown is a destination for both Staten Islanders and visitors. Downtown Staten Island also provides 4,200 jobs, primarily in government, healthcare, social assistance, and education. Local institutions including the College of Staten Island and Staten Island MakerSpace are cultivating a growing ecosystem of entrepreneurs, supporting future economic growth.

This strong base of residents, jobs, and other assets has made Downtown Staten Island a natural focal point for local investment. In recent years, the Downtown has seen more than $1 billion in public and private investment with major projects completed or underway, including the 900-unit Urby mixed-use development in Stapleton and two projects flanking the St. George Ferry Terminal: the 100-store Empire Outlets shopping center and the mixed-use Lighthouse Point project providing new office, retail, and residential uses.

Despite these opportunities, Downtown Staten Island struggles with many real and perceived challenges. Relatively low housing and job density compared with other borough downtowns, combined with blight along portions of Bay Street, limits street traffic and hampers the success of retailers and other destinations. Poor pedestrian connections and the absence of clear wayfinding around the Ferry Terminal and other transit nodes prevents locals and visitors from venturing into the Downtown and exploring neighborhoods. The rail line, while an important connector, acts as a barrier between Bay Street and the new development and open space along the waterfront. Numerous cultural and recreational anchors popular with Staten Islanders and visitors require capital investment to sustain and expand their programming.

Together, investments in the public realm and in community anchors that serve the local population and attract visitors can build on the momentum of recent investments to make sure the benefits of new growth are felt throughout the Downtown and Staten Island by residents, businesses, and visitors.

A strong base of residents, jobs, and cultural assets has made Downtown Staten Island a natural focal point for local investment.

FIGURE 1. A GATEWAY TO STATEN ISLAND

FIGURE 2. WATERFRONT NEIGHBORHOODS ON THE NEW YORK HARBOR

Study Area

The Downtown Staten Island Study Area encompasses a 1.3-mile corridor running along Bay Street from the St. George Ferry Terminal to Tappen Park in Stapleton. It is bound by Hamilton Avenue and the Richmond County Bank Ballpark to the north, St. Marks Place and Van Druzer Street to the west, Canal Street to the south, and New York Harbor to the east. The Study Area is composed of the neighborhoods of St. George, Tompkinsville, and Stapleton.

History & Trajectory

Downtown Staten Island's history is heavily influenced by its role as a shipping, manufacturing, and transportation hub. Originally home to the Leni Lenape tribe until Dutch settlers arrived in the mid-17th century (providing the name Staaten Eylandt), followed shortly thereafter by the English (who named the island Richmond County), Tompkinsville and Stapleton developed into the commercial center of Staten Island in the 18th and 19th centuries. This activity was in part spurred by German immigrant families who took advantage of the area's many freshwater springs to open breweries starting with the Bechtel. Soon bottling companies opened to service the breweries and landowners built single-family homes in the surrounding area to accommodate workers. The Stapleton waterfront was also flourishing with activity, home to the earliest private and municipal ferry routes and multiple shipbuilding facilities and shipping routes. Meanwhile, St. George was also developing into a specialized industrial and manufacturing campus for the Staten Island Lighthouse Depot of the U.S. Lighthouse Service. While technological advancements in the 20th century reduced and eventually replaced the industrial jobs at Lighthouse Depot, St. George had emerged as the island's civic hub, as the location of county courthouses, the public library, Borough Hall, and the St. George Theatre.

In the mid-20th century, major world events and public capital projects altered the composition of Downtown Staten Island. During the world wars, the working piers along the waterfront were used as the New York State Point of Embarkation and after the war fell into disrepair as the shipping industry largely moved to New Jersey. Years later, the Stapleton Waterfront was established as a homeport for the U.S. Navy in 1990, but just five years later with the end of the Cold War, the 35-acre site was decommissioned. In the 1960s, the opening of the Verrazano-Narrows Bridge triggered a new wave of suburban-style development in the neighborhoods south of the Downtown, known as Mid-Island

FIGURE 3. DOWNTOWN REVITALIZATION INITIATIVE STUDY AREA
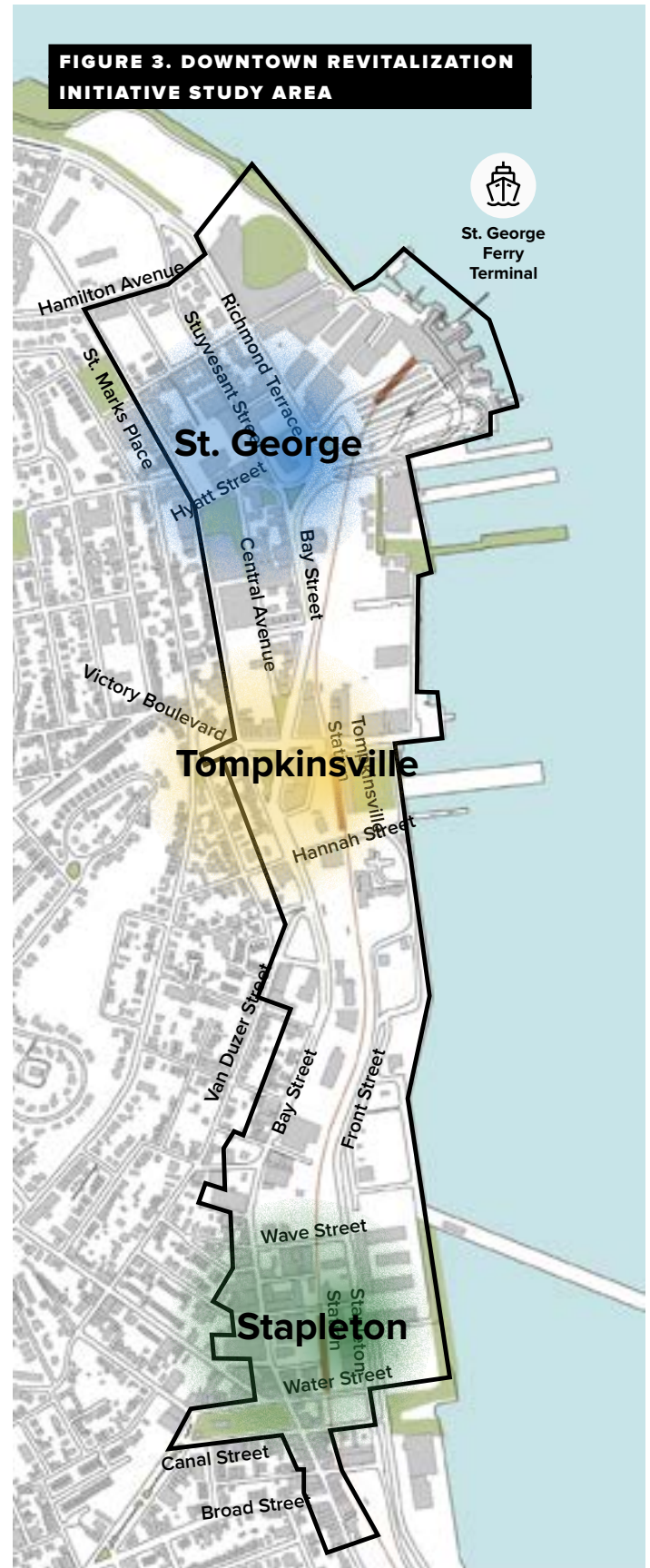
and the South Shore, leading many residents to move upland.

At the turn of the 21st century, Downtown Staten Island began to see renewed investment. Large-scale projects included construction of the Richmond County Bank Ballpark, home of the minor league baseball team the Staten Island Yankees, renovation of St. George Ferry Terminal, and master planning of the 35-acre Stapleton Waterfront, which included a signature waterfront esplanade to reconnect the neighborhood with its waterfront after decades of separation. In 2011, Ironstate Development was selected by the NYC Economic Development Corporation (NYCEDC) to redevelop the site (what is now known as the Urby). New projects also included the 100-unit Accolade condominiums; 67 senior affordable units at 533 Bay Street; Empire Outlets, the first outlet mall in NYC, which opened with 100 storefronts in 2019; and the ongoing Lighthouse Point project, a 115-unit mixed-use project which is projected to open in 2020.

New placemaking and workforce projects are also supporting local residents, businesses, and entrepreneurs throughout the corridor. In 2017, the Staten Island Chamber of Commerce launched the Commercial Corridor Challenge, which provided grants and technical assistance to 15 businesses interested in making storefront improvements. Also in 2017, the College of Staten Island opened their Technology Incubator and St. George satellite campus, providing better access, training, and resources for North Shore residents.

Strategic planning and investments through the DRI process can build on this recent momentum in Downtown Staten Island to catalyze continued revitalization and support historic resources that are enjoyed by residents, workers, and visitors alike.

Impacts of the COVID-19 Pandemic

The onset of the COVID-19 pandemic in the New York metro area became apparent in March 2020, during the DRI planning process, and both the health and economic impacts of the virus were still being felt across the region and on Staten Island as of the publication of this report. New York City was one of the first and hardest hit locations in the United States, and Staten Island was an early epicenter in the city. As of the second week of April, when coronavirus cases in New York City were climbing, Staten Island and the Bronx had the highest number of cases per 100,000 people out of the five boroughs, a pattern which continued until the second week of June. While the spread of the virus slowed by early June and cases continued to plateau through the summer, more than 1,050 Staten Islanders had lost their lives by the end of August and an additional 14,000

residents had experienced the virus.

The virus highlighted pre-existing health and economic inequalities, particularly among people of color and low-wage workers. Across the city and region, Black and Latino residents experienced higher rates of virus-related deaths; 54% of deaths occurred in Staten Island's northern zip codes, which include Downtown Staten Island and are home to the majority of people of color on Staten Island, versus 40% of the population. At the same time, business closures resulting from stay-at-home orders and social distancing measures led to record levels of unemployment in the local services and hospitality industries, whose workers are disproportionately people of color and people without a four-year degree.

The impacts from these crises will reverberate for many years. As of June, 18% of Staten Islanders were unemployed, compared with an unemployment rate of 4% before the pandemic, and 51% of Downtown Staten Island jobs are in industries at risk of job losses in the months ahead, including local government, health care, education, retail, hospitality, and other service industries. Small businesses were also severely impacted, as revenues declined amid social distancing orders and health regulations limiting indoor activity. While recovery will be a long-term process and the pandemic remains a challenge at the time of publication, this plan seeks to lay the foundation for Downtown Staten Island's recovery, prioritizing projects that support small business recovery, job growth, and increased visitation to the downtown.

Recent Plans

Plans published over the last decade reflect local engagement and planning efforts to identify strategies to support the revitalization of Downtown Staten Island. Four studies which provide strategies for redevelopment of Downtown include North Shore 2030, The Downtown Staten Island Commercial District Needs Assessment, Future Culture, and the Bay Street Corridor Neighborhood Plan.

North Shore 2030: Improving and Reconnecting the North Shore's Unique and Historic Assets (2011)

North Shore 2030 was prepared by the New York City Department of City Planning (NYCDCP) and NYCEDC as part of a comprehensive planning effort to guide public and private investment in Staten Island over the next 20 years. The plan recommends four strategies: 1) promote quality jobs and workplaces, 2) reconnect people with the working waterfront, 3) support and create neighborhood centers, and 4) improve connections and mobility, focused on six neighborhood opportunity areas throughout the North Shore, including St. George. The plan highlights the potential for St. George to become a 24/7 community through strategies including attraction of retail and cultural uses to the St. George Ferry Terminal, activation of underused public land with temporary cultural and community programs, investment in safe pedestrian, bike, and streetscape improvements, strengthening of pedestrian waterfront access, and enhancing the capacity of local organizations to support economic development.

Downtown Staten Island Commercial District Needs Assessment (2016)

The Bay Street Corridor was the focus of the NYC Department of Small Business Services' Neighborhood 360 program, which works with local organizations to improve the health and character of commercial districts through planning and investment. In partnership with the Staten Island Chamber of Commerce, the Commercial District Needs Assessment (CDNA) examined the existing conditions of businesses along the corridor and identified challenges and opportunities they face, highlighting high storefront vacancies as one of the major challenges. Surveys of business owners revealed priorities for future investment, including clean and safe streets and marketing support. Surveys of shoppers identified a need for healthy food options, restaurants, clothing stores, family-friendly activities, and arts and entertainment options.

Future Culture (2017)

In 2014, Staten Island Arts was selected through a competitive process to partner with the Design Trust for Public Space to create a model for equitable development which uses public art as a means of strengthening the connections between the neighborhoods along Staten Island's North Shore. As new development comes online across the North Shore, this plan sets out the cultural community's vision for how ongoing and future projects can build on the area's rich culture. The Cultural Plan completed in March of 2017 proposed seven recommendations and 17 actions to enhance the local culture and connect and strengthen unique places in St. George and Stapleton. To date, five artists have been awarded grants to support pilot projects that help to achieve the goals and objectives of the Future Culture plan.

Bay Street Corridor Neighborhood Plan (2019)

The Bay Street rezoning, enacted in 2019, aimed to improve connections between Tompkinsville and the adjacent town centers of St. George and Stapleton by converting the former manufacturing district, where as-of-right residential development was prohibited, into a mid-density mixed-use neighborhood. The four guiding principles for the Bay Street Corridor Neighborhood Plan were: 1) create a vibrant, resilient Downtown environment, 2) support creation of new housing including affordable housing, 3) support new and existing businesses and new commercial development, and 4) align investment in infrastructure, public open spaces, and services. As part of the rezoning, City agencies have committed to more than $250 million in public space, infrastructure, and capital improvements. The rezoning is projected to ultimately result in 1,800 new residential units, 275,000 square feet of commercial development, 45,000 square feet of community space, and more than $280 million in funding for recreation, open space, and transit improvements.

Proposed City investments as part of the rezoning extend beyond the rezoning area. Selected projects that have committed capital funding and fall within the Study Area boundaries are listed below:

FIGURE 4. BAY STREET NEIGHBORHOOD PLAN – SIGNIFICANT CAPITAL COMMITMENTS

Commitment	NYC Agency	Est. Completion	Funding Commitment
Reconstruct Cromwell Recreation Center	Parks	2025	$92,000,000
Complete the Stapleton Waterfront Esplanade	Parks, EDC	2025	$75,000,000
Complete the Tompkinsville Waterfront Esplanade	EDC	2025	$74,000,000
Waterfront Infrastructure in Stapleton	EDC	2023	$45,000,000
Streetscape Improvements Along Bay Street	DOT	2020/2021	$34,500,000
Update Under-sized Sewers	DEP	2023	$15,000,000
Renovate Stapleton Playground	Parks	2020	$11,100,000
Improve Village Hall and Repair the Fountain at Tappen Park	Parks	2020	$6,600,000
Public Realm Improvements Around Tompkins-ville Station	DOT	2021/2022	$3,700,000
Public Realm Improvements Around Stapleton Station	DOT	2024/2025	$500,000

FIGURE 5. BAY STREET CORRIDOR NEIGHBORHOOD PLAN
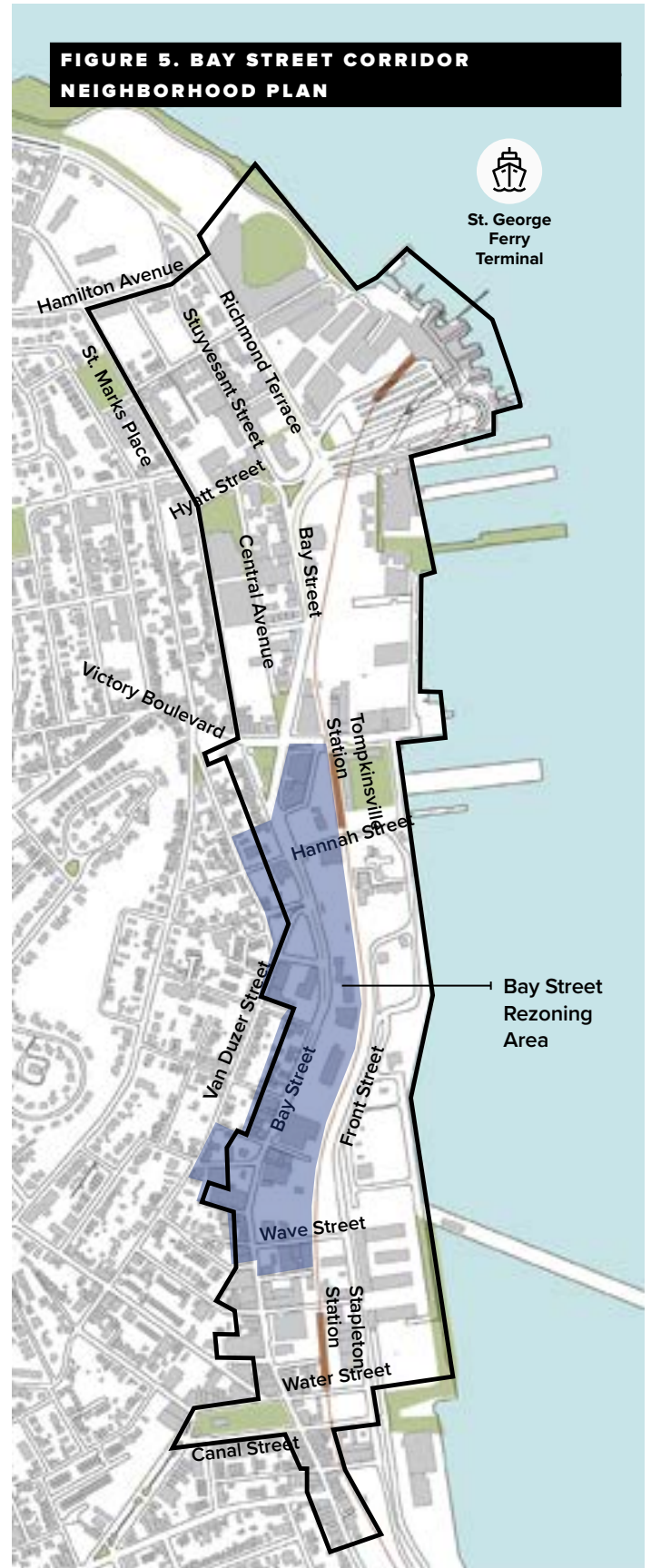
Performance at the Historic
St. George Theatre, built in
1929 and restored in 2004.

Recent Investment

The DRI strategies to revitalize Downtown Staten Island also build on more than $1 billion in recent and planned private and public investment. Private sector projects have improved major cultural destinations and delivered nearly 1,200 residential units and more than 600,000 square feet of retail and commercial space in Downtown Staten Island, while public sector projects include significant investments in open space and infrastructure.

FIGURE 6. PRIVATE INVESTMENT

Private Project	Category	Investment	Year Completed	Description
St. George Theatre	Cultural	$13,255,000	2009 - 2024	Since reopening in 2004, ongoing restoration of the historic theatre has been funded by NYC Department of Cultural Affairs, Borough President James Oddo, the New York City Council, Richmond County Savings Bank, private donors, and local NYS Assembly Members. This funding has supported a wide variety of building and equipment upgrades, including new audio and lighting equipment, safety improvements and accessibility enhancements, new seating, lighting and carpeting, lobby and box office renovations, and roof and façade replacements. Several components of the theater's rehabilitation are presently underway or in planning.
Minthorne Street Improvements & Inspiration Plaza	Infrastructure	$5,800,000	2014 - 2019	The Angiuli Group transformed a 33,000-square-foot former automobile service center on Minthorne Street into a dining destination with a collection of local restaurants. Since 2014, these improvements have attracted new businesses including Flagship Brewing Company, DaddyO's BBQ and Sports Bar, O'Henry's Publick House, Flour & Oak Pizzeria, and Enrichmint NYC, a shared workspace. Across the street from the restaurants, the Angiuli Group developed Inspiration Plaza, a 2,500-square-foot plaza open to the public during business hours, which includes seating, plantings, public art, and free wi-fi. The outdoor space opened in 2019.
National Lighthouse Museum	Cultural	$350,000	2015	In 2005, NYCEDC funded the rehabilitation of the historic foundry building, one of the original 18 buildings that made up the U.S. Lighthouse Services General Depot. In 2015, the recently chartered National Lighthouse Museum secured the lease to the 2,400-square-foot space to create a self-guided museum that highlights the history of the former facility and its role in serving and supplying lighthouses across the country.
Urby	Mixed-Use	Phase I: $150,000,000 Phase II: TBD	Phase I: 2016	Phase I of the Urby development delivered 571 residential units and 35,000 square feet of ground-floor commercial space, including retail, restaurants, and galleries. Phase II includes plans for an additional 328 residential units adjacent to the existing buildings along with open space.
533 Bay Street	Residential	$21,000,000	2017	This 67-unit senior affordable housing complex funded with Low Income Housing Tax Credits was renovated in 2017 to create an independent senior living community with diverse amenities and educational and recreational resident services.
Empire Outlets	Mixed-Use	$360,000,000	2019	Empire Outlets opened in the summer of 2019, becoming the first outlet center in New York City and delivering more than 360,000 square feet of downtown retail. This destination shopping center adjacent to the St. George Ferry Terminal consists primarily of apparel retailers and has subsequently led to a 93% increase in international tourism spending on the island. A food and beverage facility within the center will deliver in the summer of 2020.
Lighthouse Point	Mixed-Use	Phase I: $250,000,000 Phase II: $123,000,000 (est.)	Phase I: 2020/2021 Phase II: TBD	Phase I is a mixed-use development with 116 residential units, 20% of which are affordable at 60% AMI, and 65,000 SF of office, retail, and restaurant space. The project is scheduled for completion in late 2020. Phase II will include the rehabilitation of four historic buildings that were once part of the U.S. Lighthouse Services General Depot. This will deliver another 230,000 square feet of commercial space to Downtown including a mix of dining options, event space, and a whiskey distillery. It will also include 175 rental units, 30% of which will be affordable.

FIGURE 7. MAP OF RECENT PRIVATE AND PUBLIC INVESTMENTS

St. George
Ferry
Terminal

Hamilton Avenue

St. Marks Place

Richmond Terrace

Stuyvesant Street

Hyatt Street

Central Avenue

Bay Street

Victory Boulevard

Tompkinsville Station

Hannah Street

Van Duzer Street

Bay Street

Front Street

Wave Street

Stapleton Station

Water Street

Canal Street
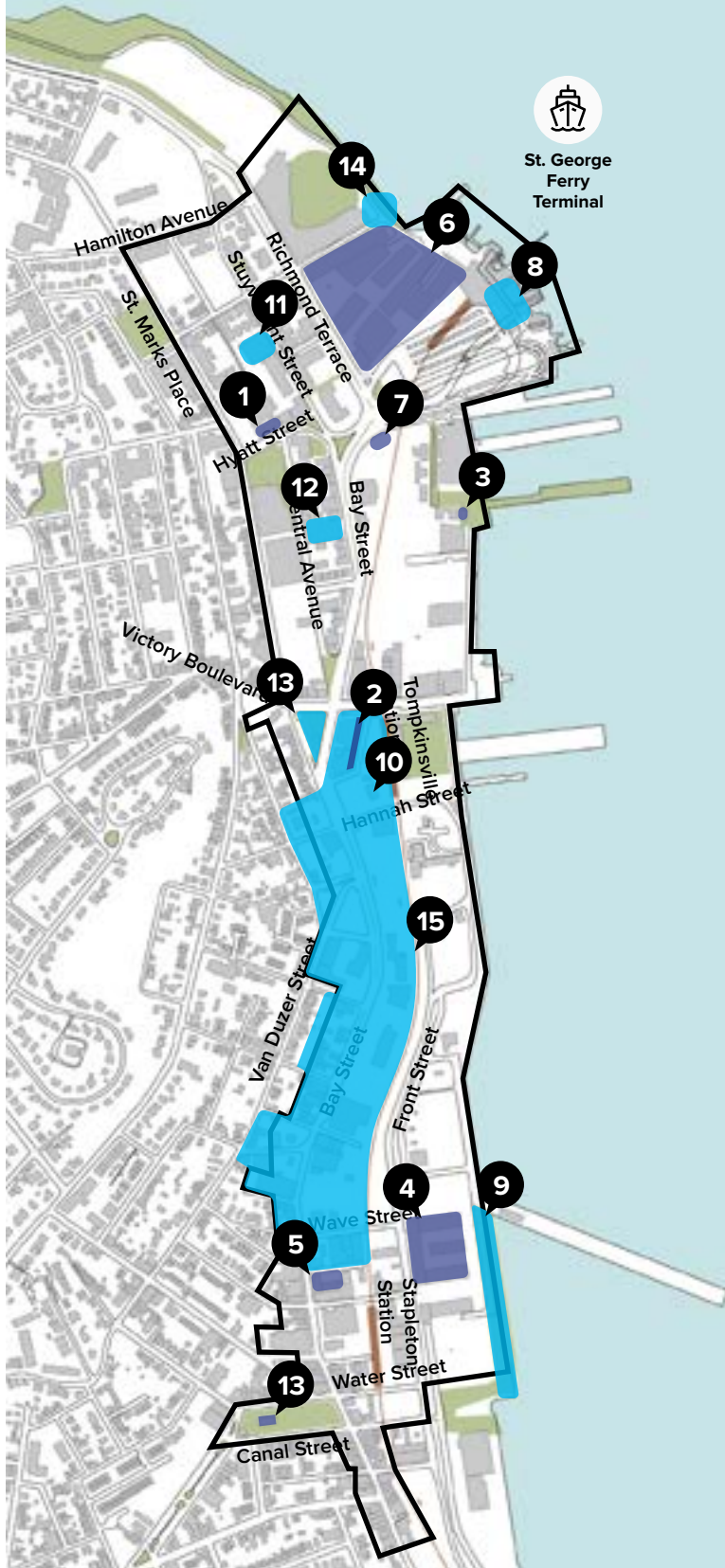
Private Investment

1. St. George Theatre
2. Minthorne Street Improvement & Inspiration Plaza
3. National Lighthouse Museum
4. Urby
5. 533 Bay Street
6. Empire Outlets
7. Lighthouse Point

....

Public Investment

8. St. George Ferry Terminal Wayfinding & Signage Improvements
9. Stapleton Waterfront Esplanade Phase I
10. Bay Street Façade Improvements*
11. College of Staten Island - Satellite Campus
12. College of Staten Island Technology Incubator
13. Park Improvements
14. Fast Ferry Service
15. Bay Street Rezoning

* Locations not shown on map

FIGURE 8. PUBLIC INVESTMENT

Public Project	Category	Investment	Year Completed	Description
St. George Ferry Terminal Wayfinding & Signage Improvements	Infrastructure	N/A	2015 – 2019	In 2015, Beyer Blinder Belle completed the Staten Island Signage Study on behalf of NYCEDC, which resulted in the implementation of redesigned wayfinding signage throughout the St. George Ferry Terminal to better standardize information and streamline passenger flow. The study also developed designs for other information signage and goals for an improved visitor information kiosk, which have not yet been implemented.
Stapleton Waterfront Esplanade Phase I	Infrastructure	$35,000,000	2016	Phase I of the Stapleton Waterfront Esplanade – the southernmost section of what will eventually be a continuous waterfront greenway – opened with a 6-acre publicly accessible open space adjacent to the Urby, with open space and trails. As part of the Bay Street Rezoning, an additional 6 acres of open space will complete Phase II of the esplanade.
Bay Street Economic Revitalization	Infrastructure	$1,000,000	2017 – 2019	In 2017, NYC SBS awarded the Staten Island Chamber of Commerce Foundation more than $1 million over 3 years for revitalization and marketing efforts in Downtown Staten Island through the Neighborhood 360 program. These grants supported improved sanitation and lighting, banners, installation of tree bed guards, development of a neighborhood brand identity, a façade improvement program, and other beautification efforts and planning work.
College of Staten Island – Satellite Campus	Institutional	$3,250,000	2017	In 2017, CSI opened a satellite campus at 120 Stuyvesant Place with 16,000 square feet and an enrollment of approximately 1,000 full- and part-time students. The college's goal was to return to its roots in the North Shore near the island's transportation hub to provide higher education opportunity to Staten Island's historically underserved communities. The satellite campus includes 10 fully equipped classrooms, a computer lab, and an onsite student services. center.
College of Staten Island Technology Incubator	Institutional	$700,000	2017	Also in 2017, CSI opened the CSI Technology Incubator at 60 Bay Street. The incubator was created to establish a hub for the next generation of Staten Island entrepreneurs and startups and to support career pathways into high-growth industries for local residents. In addition to hosting eight to nine companies in each cohort, the CSI Tech Incubator also hosts community programs for local students such as a Girls Who Code Club.
Park Improvements	Capital	$6 - $13M	Ongoing	Over the last few years NYC Parks has invested in improvements to two parks within the Study Area. In 2019, NYC Parks removed the comfort station from Tompkinsville Park. In Stapleton, projects to repair the fountain in Tappen Park and repair the roof on Village Hall are underway.
NYC Ferry Service	Infrastructure	N/A	2020	A new route in the citywide NYC Ferry system will take passengers from the waterfront esplanade behind the Richmond County Bank Ballpark to Vesey Street at Battery Park City in approximately 18 minutes and then to Pier 79 on West 39th Street in another 17 minutes, offering a second public marine connection to Manhattan.
Bay Street Neighborhood Plan Commitments	Infrastructure	$280,000,000	2020-2025	See figure four for project details

The first phase of the Stapleton
Waterfront Esplanade opened with a
6-acre publicly accessible open space
facilitating stronger connections and
access to the waterfront

Regional Economic Development Council Priorities & Investments

By selecting Downtown Staten Island as a DRI awardee, the New York City Regional Economic Development Council (NYC REDC) recognized the potential of the Downtown to serve as a community where future New Yorkers will want to live, work, and raise a family, and where continued public investment can create significant economic and social returns for both Staten Islanders and residents of New York City.

In its 2011 Strategic Plan, the NYC REDC articulated strategic goals for regional investment. Local priorities for the revitalization of Downtown Staten Island align with the following REDC goals:

- **Improve quality of life –** Creating vibrant and affordable communities that have the amenities and employment opportunities to support the next generation of New Yorkers. Downtown Staten Island is a cultural and job hub that serves local and Island residents.

- **Create a pro-growth – pro-jobs environment** – Continuing the growth and diversification of the City's economy by enhancing the competitiveness of industries and businesses, while also facilitating private sector and City investments that support increased business growth. Downtown Staten Island is both a retail and small business hub and the center of Staten Island's emerging innovation and creative communities, providing the foundation for future job growth.

- **Invest in the future –** Building more robust partnerships between employers, the public-school system, and the public university system to ensure that public education is relevant to the demands of the modern workplace. Downtown Staten Island is home to the College of Staten Island, which is actively working to build pathways into emerging industries including tech.

- **Foster innovation and inter-regional cooperation –** Directing State funding to projects and programs that lead to gainful employment and upward mobility in growing industries through inter-regional working sessions, analysis and thought leadership. Downtown Staten Island is home to numerous organizations that help local residents navigate job training and career mobility to improve their livelihoods.

With support from the NYC REDC, New York State agencies have awarded more than $85 million in capital funds to support two transformational projects in Downtown Staten Island since 2013:

- **Empire Outlets** has received approximately $67 million in support from New York State, including $5.3 million in Consolidated Funding Application (CFA) awards in Rounds III and V, $36.5 million in grant assistance from Empire State Development (ESD), and $25 million in assistance from the Dormitory Authority of the State of New York. This support helped create 1,270 construction jobs and 1,300 full-time jobs. The first phase of the Empire Outlets opened in mid-2019.

- **Lighthouse Point** has received approximately $19 million in support from ESD, including a $1.5 million loan in CFA Round III, a $15 million loan and $2 million grant in CFA Round VI, and a $250,000 grant in CFA Round VII. The project will create 670 construction jobs and 350 full-time jobs. The expected opening of the commercial component of Phase I of the mixed-use development is planned for 2020 and the residential component for 2021.

An active retail block on Bay Street just north of Tappen Park

Physical Planning Context

Physical Environment

The long and narrow Study Area is wedged between the hills and the water. On the west side of Bay Street, the land topography rises quickly, transitioning into what is known as the "upland" neighborhoods in Staten Island. On the east side of Bay Street, the land is relatively flat and lies almost entirely within the FEMA 100-year floodplain. This area is at particularly high risk for flooding, which will only be exacerbated by sea level rise. Staten Island generally, and the North Shore in particular, were severely impacted by Hurricane Sandy, which claimed the lives of 24 Island residents and caused significant physical damage along the waterfront. Planning for future open spaces and developments in this area will require careful consideration of building code requirements and sustainability and resiliency strategies. Both along the unobstructed waterfront areas and in the elevated upland areas, scenic outlooks offer sweeping views of the harbor and the New York City skyline.

FIGURE 9. ENVIRONMENTAL CONSTRAINTS
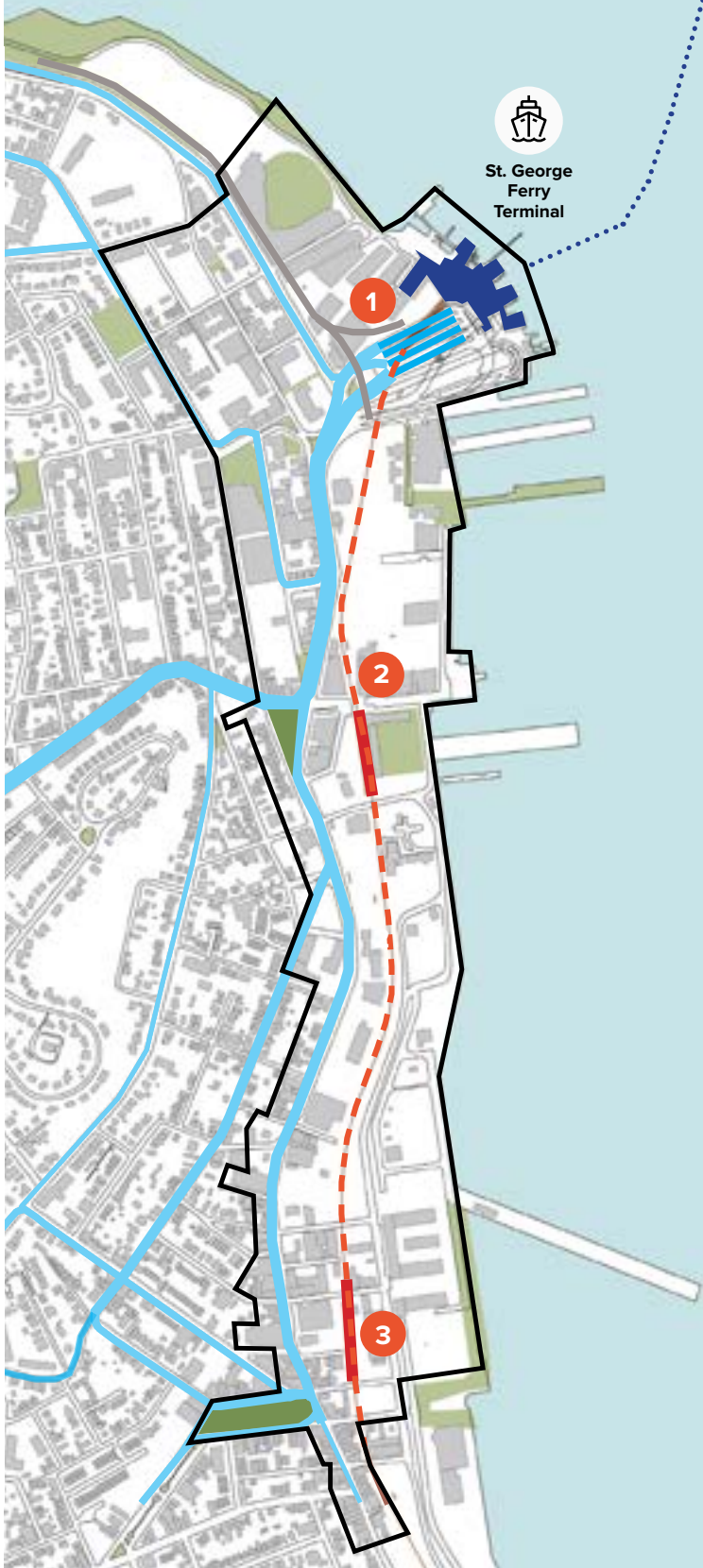
St. George Ferry Terminal

100-Year Floodplain

FIGURE 10. TRANSIT MAP

St. George
Ferry
Terminal

Transporation

Tying together the Downtown's richness of culture and destinations is its robust public transit network. This includes the Staten Island Ferry, which carries 20 million passengers annually; the Staten Island Railway, which runs from the Ferry Terminal to South Shore along the eastern edge of the island, with stops at St. George, Tompkinsville, and Stapleton; and an island-wide bus system that brings thousands of people from the upland areas to the St. George Ferry Terminal daily.

LEGEND

1 St. George Railway Station
2 Tompkinsville Railway Station
3 Stapleton Railway Station
- - - - Staten Island Railway
——— Buses
——— St. George Ferry Terminal

Stapleton Railyway Station

HR&A

FIGURE 11. BUILDING FOOTPRINTS

St. George
Ferry
Terminal

Built Environment

The built environment varies throughout the corridor. In the north near the **St. George** neighborhood, the building footprints tend to be larger due to their function as primarily government and institutional uses. In the south near **Stapleton**, the building footprints are generally smaller and along Bay Street form a continuous street wall that creates an urban main street character. Along the waterfront, newer developments have delivered larger campus-style structures that include larger blocks surrounding carefully planned open space areas.

FIGURE 12. LAND USE

St. George
Ferry
Terminal
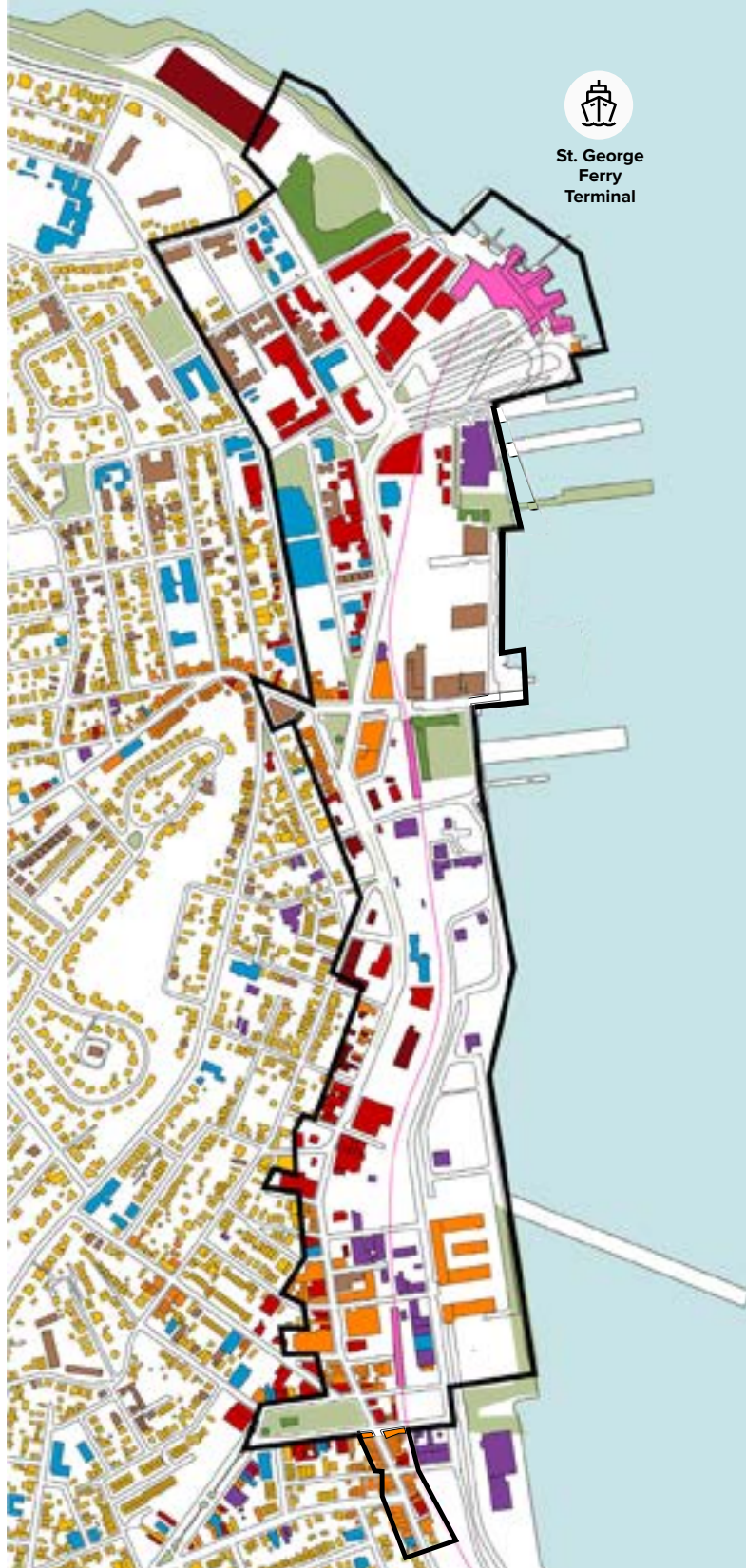
Land Use

Today, the Study Area includes a wide variety of land uses, a mix of commercial, industrial, civic, and residential uses. The greatest diversity of uses can be found around the three transit stations, which have created dynamic activity nodes that include retail, commercial, and some residential uses in close proximity. Residential uses in the Downtown are primarily concentrated along the western edge of the Study Area with a few exceptions in Stapleton that represent new construction along the waterfront.

……………………………..

LEGEND

Residential: Single Family Houses

Residential: Multifamily

Residential: Mixed Commercial

Commercial: Retail, F&B, Office

Commercial: Auto Related

Public Facilities & Institutions

Industrial & Manufacturing

Transit: Ferry & Train

Open Space: Public & Private

FIGURE 13. ZONING MAP
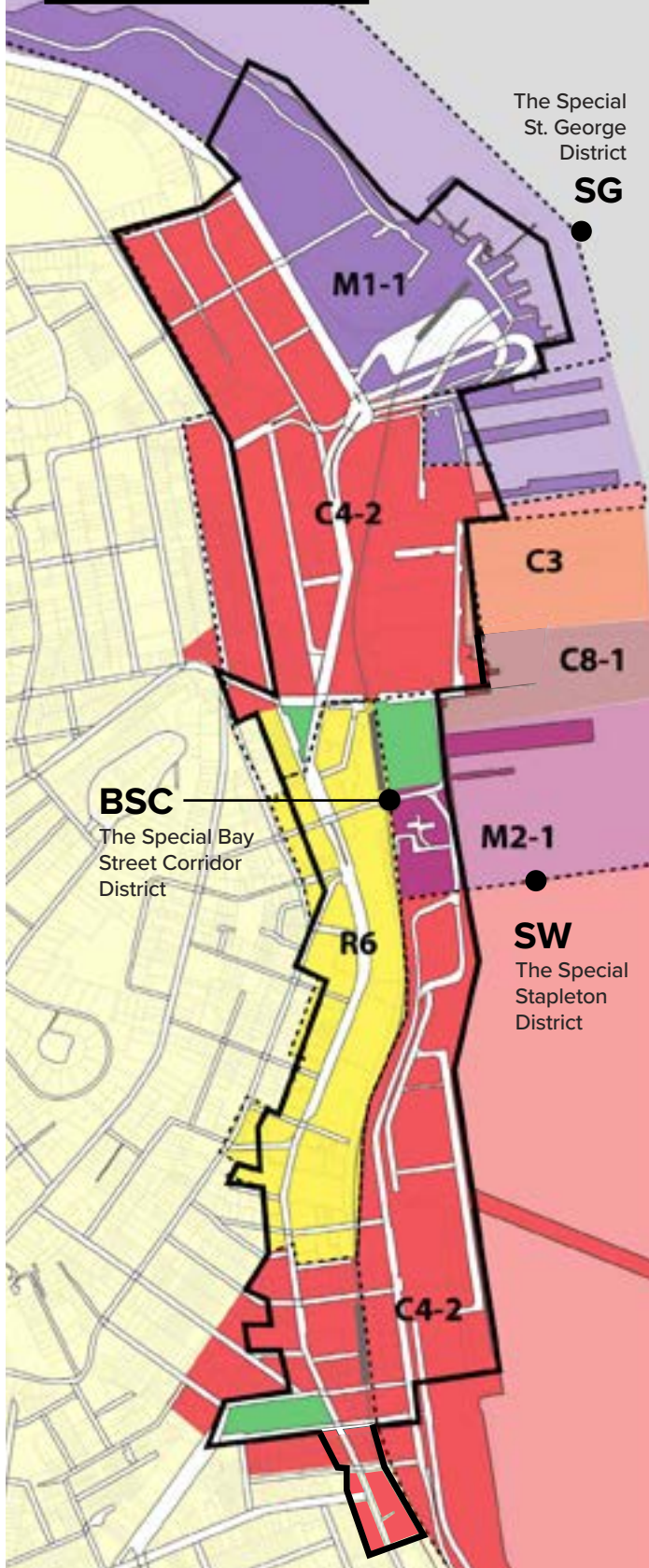
Zoning

Zoning within Downtown Staten Island calls for a mostly consistent density and mix of uses across the various nodes of activity. C4-2 zoning in St. George and the majority of Stapleton permits mid-density, mixed-use residential and commercial development, while R6 zoning along the recently rezoned Bay Street corridor linking Tompkinsville and Stapleton permits only residential and ground-floor retail uses, albeit at the same density. Limited M1 and M2 districts preserve industrial and commercial uses on select waterfront parcels.

Downtown Staten Island also intersects with three Special District Zones that are each governed by different regulatory provisions to encourage growth and preserve the distinct qualities of each neighborhood.

- **The Special St. George District (SG)** was created to support a pedestrian-friendly business and residential district in a unique hillside waterfront community that is one of Staten Island's oldest neighborhoods and its civic center. Special rules enhance designated commercial streets by requiring continuous ground-floor commercial uses, with large windows and wider sidewalks. The configuration of towers is regulated in order to preserve views from upland areas to the waterfront. Under this district, vacant office buildings can be more easily converted to residential use. Special parking and landscaping provisions are also intended to promote a positive pedestrian experience.

- **The Special Bay Street Corridor District (BSC)** was created through the Bay Street rezoning in 2019 to foster better connectivity between Staten Island's civic core in St. George and the town center of Stapleton by promoting a more continuous, pedestrian-friendly commercial streetscape and the opportunity for additional housing on the North Shore. Height and density provisions allow for tailored building envelopes that respond to the neighborhood context by limiting density adjacent to lower-density residential neighborhoods and allowing greater height and density on larger sites closer to transit.

FIGURE 14. SPECIAL DISTRICT ZONES

SG

BSC

SW
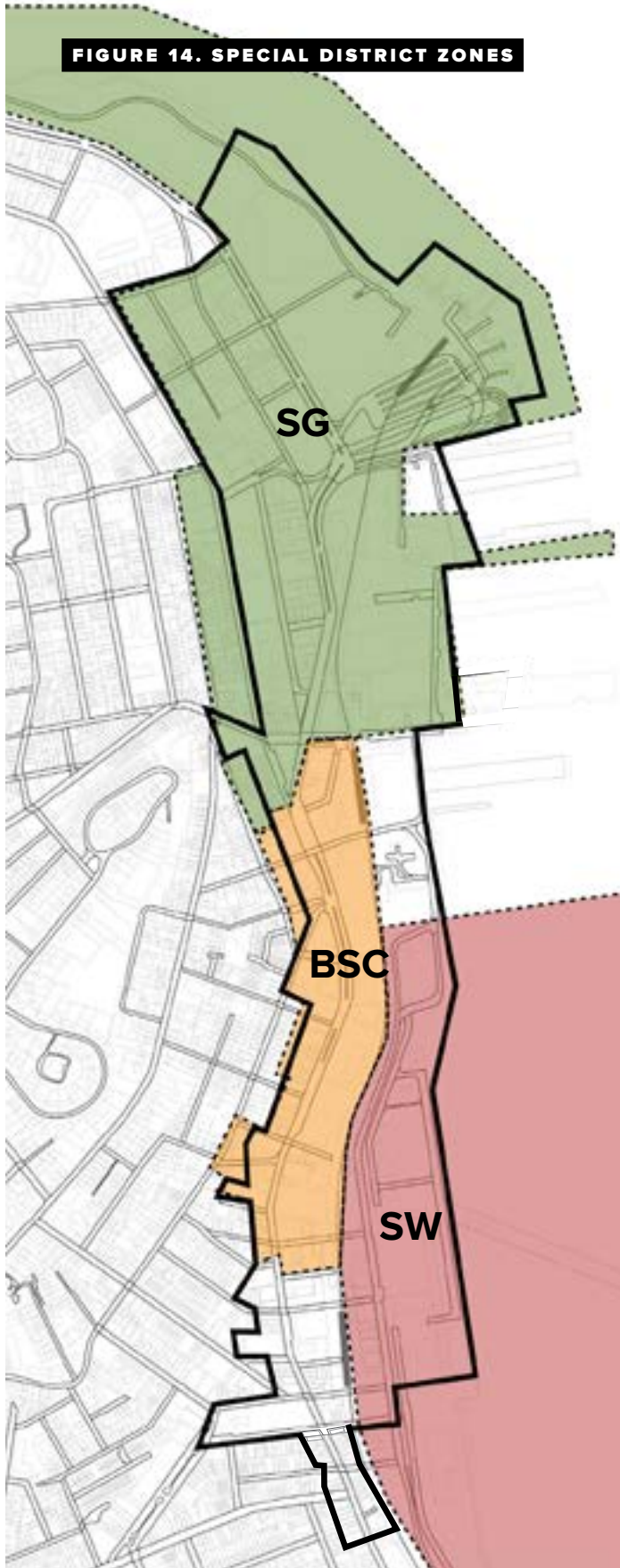
- **The Special Stapleton District (SW)** was created as part of a comprehensive plan to redevelop the former U.S. Navy Homeport into a mixed-use extension of the Stapleton town center, along with a 12-acre waterfront esplanade. Design controls, including street wall provisions and a low building height to frame the public park, respect the character and scale of the upland portions of Stapleton. To encourage development on key streets linking the waterfront with Bay Street, space used for non-residential uses on the ground floor of buildings containing residential uses will not count as floor area. Although not subject to waterfront design rules, the district requires pedestrian connections to the waterfront esplanade and unobstructed visual corridors along the waterfront in line with the cross streets within the Stapleton commercial center.

These districts have laid the foundation for managing future growth in a way that responds to the unique needs of each neighborhood along the Bay Street Corridor.

FIGURE 15. STREET NETWORKS

St. George Ferry Terminal

Richmond Terrace

Bay Street

Bay Street

St. George Street Pattern

Tompkinsville Street Pattern

Stapleton Street Pattern
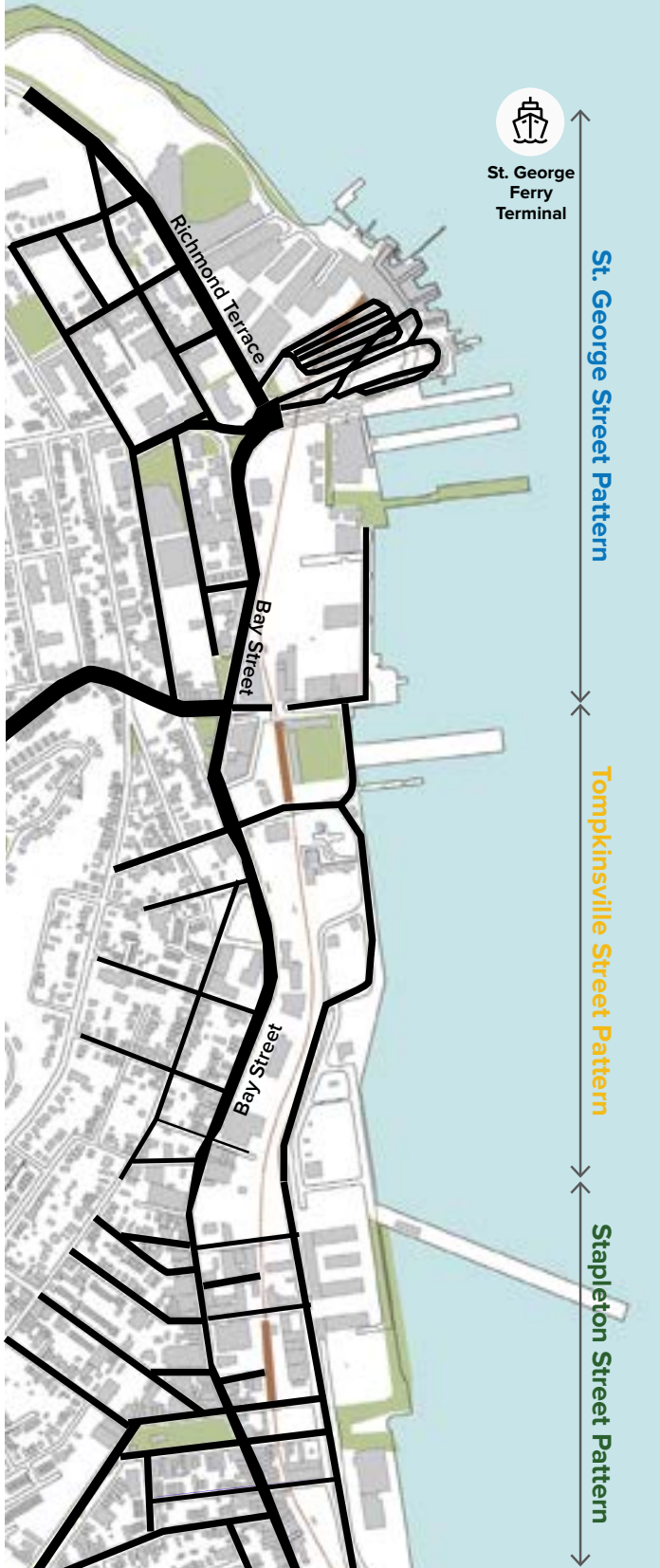
Street Network & Pedestrian Environment

The circulation pattern in the Study Area favors automobile movement and is often disorienting and directionless for pedestrians. Within the narrow Study Area, the north-south streets are the primary vehicular circulation paths carrying most through-traffic while the east-west streets tend to be short, sloped, and disconnected. Many east-west streets are one-way and they dead-end at Bay Street. Furthermore, there are only a few east-west streets that lead to the water, prohibiting direct connections from the upland neighborhoods to the waterfront. Improving east-west street connections will promote development and activation in the Study Area by creating a better pedestrian environment and more pathways to the waterfront and open space amenities.

Despite being connected by Bay Street, each of the neighborhoods exhibits a unique street pattern. In front of Borough Hall in **St. George**, Bay Street is a wide boulevard before it joins Richmond Terrace at the gateway to Staten Island which is flanked by a dominating bus plaza. This area is persistently inundated with bus and car traffic coming and going from the St. George Ferry Terminal. While both Bay Street and Richmond Terrace are spatially grand and have the foundation to be an impressive entrance to the neighborhood, the poor pedestrian environment and connectivity hinder its ability to foster a welcoming arrival into Downtown.

Between Victory Boulevard and Wave Street in **Tompkinsville**, Bay Street is undergoing a transition. Auto-related land uses and parking lots front much of the street, creating a suburban character, and traffic lanes vary in width and number. In this stretch, there are few places that allow a pedestrian to cross the street, sidewalks are poorly maintained and street trees are inconsistently planted. The upland residential streets to the west are generally in good condition but provide no connecting grid across Bay Street toward the waterfront.

South of Wave Street in **Stapleton**, Bay Street is a vibrant main street with retail frontages on both sides creating a sense of compact liveliness. Narrower street widths and smaller blocks provide easy pedestrian crossings at regular intervals. The fairly complete street grid and block pattern create a strong pedestrian environment centered around

the historic Tappen Park. The recent construction of the Stapleton Waterfront Esplanade and Urby have created a new hub of activity along Front Street but navigating to this area from Bay Street is challenging and unfriendly for pedestrians.

Since Bay Street is a primary north-south artery on the island and Bay Street and Front Street are currently listed as official

local truck routes, there is a significant amount of regular truck traffic in the Study Area. Trucks ranging from medium-duty box trucks to semi-trailers frequently roll up and down the Bay Street corridor, creating noise and air pollution and amplifying hazardous pedestrian conditions.
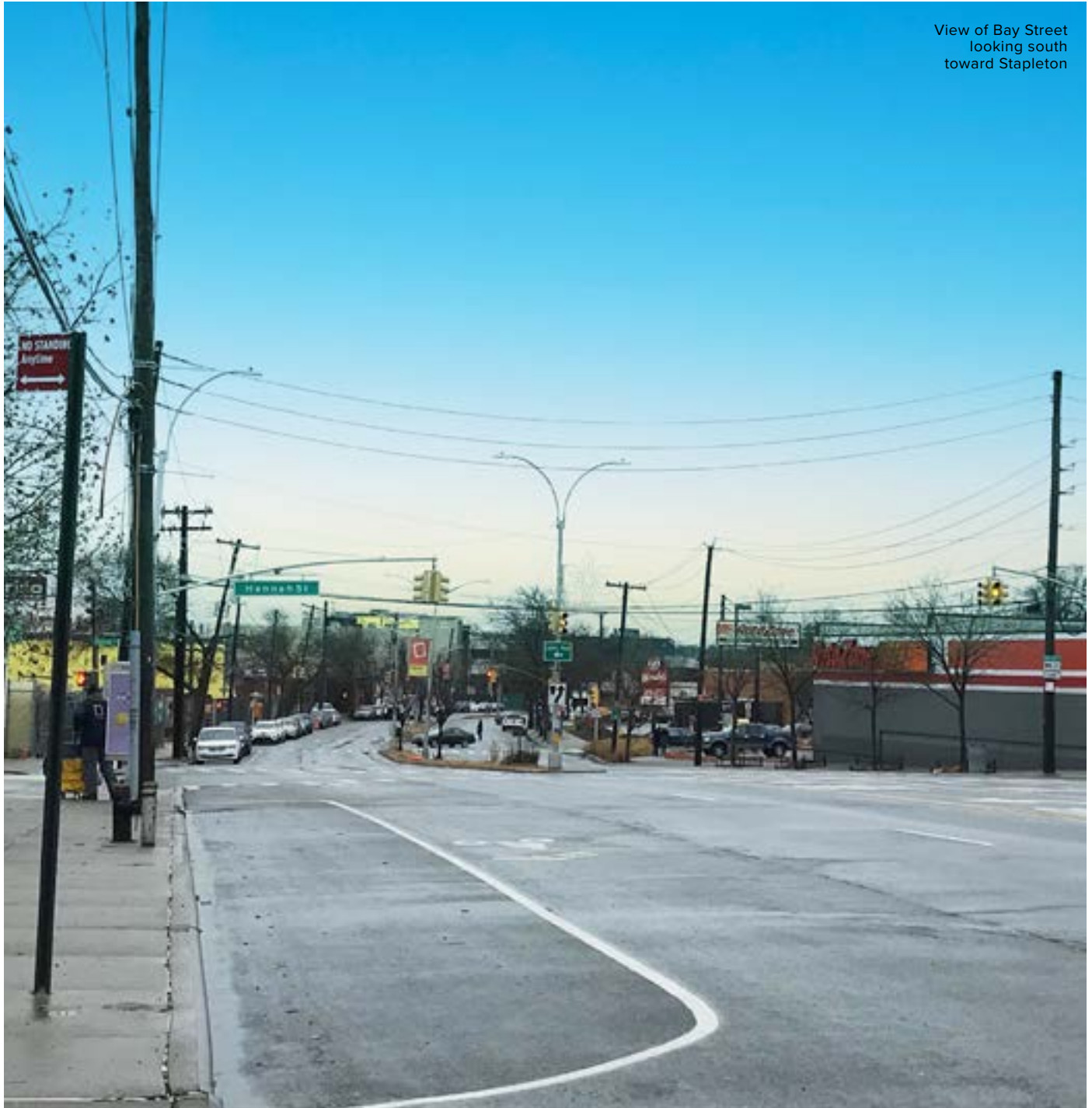
View of Bay Street looking south toward Stapleton

FIGURE 16. OPEN SPACE NETWORK
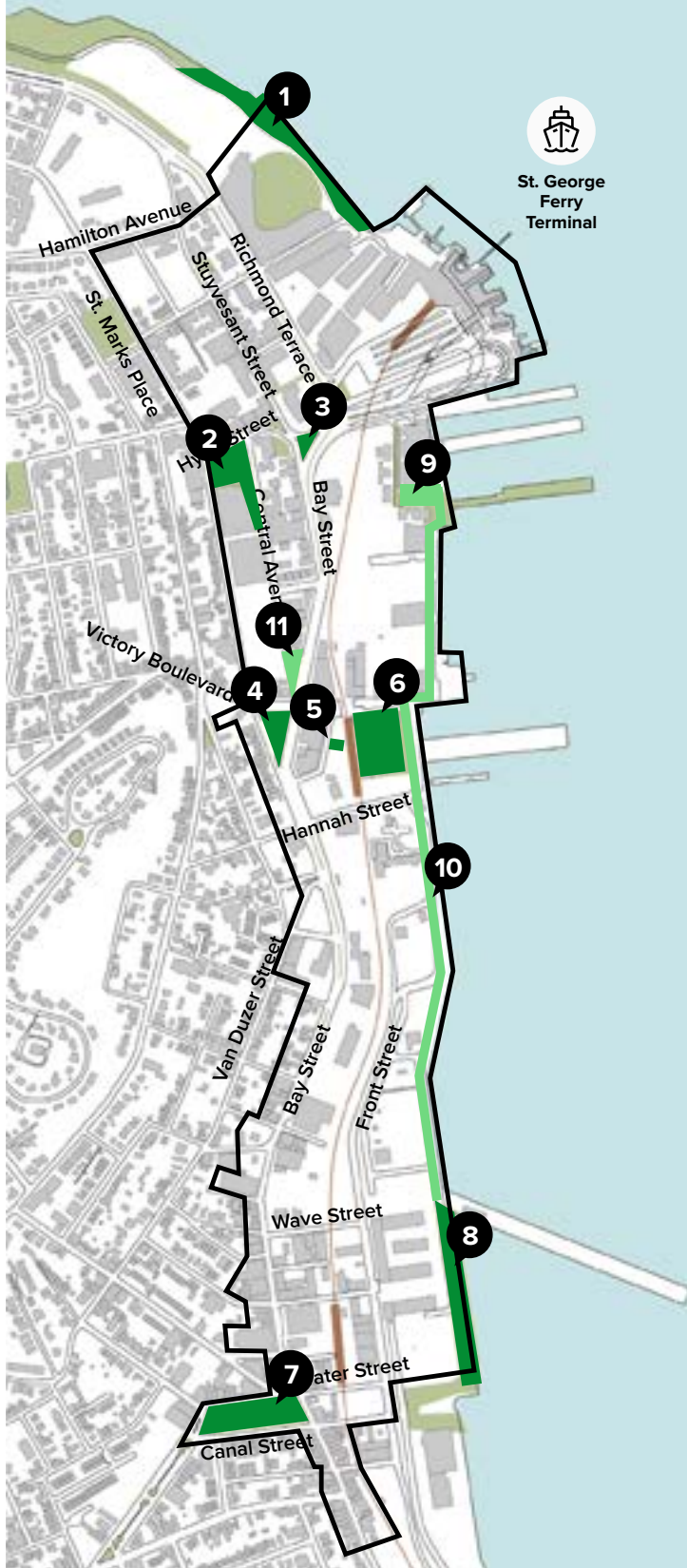
St. George
Ferry
Terminal

**Existing Parks /
Open Space**
1. North Shore Esplanade
2. Richmond County Supreme
   Court Plaza
3. Barrett Triangle
4. Tompkinsville Park
5. Inspiration Plaza
6. Lyons Pool
7. Tappen Park
8. Stapleton Esplanade &
   Waterfront park
....

Planned Investment
9. Lighthouse Point Plaza and
   Esplanade
10. Waterfront Esplanade
11. Bay and Central Triangle Park
   Conversion by DOT

Open Space

The public open spaces in the Study Area include a mix of historic and new parks. In the civic center core in St. George, the half-acre Supreme Court Plaza, the small, irregularly shaped Baker Square, and Barrett Triangle form a cluster of green spaces directly behind Borough Hall.

However, the most significant open space in **St. George**, the waterfront esplanade, is difficult to access for the average pedestrian that isn't intimately familiar with the area. The two most accessible routes to the waterfront from the St. George Ferry Terminal are to the north through Empire Outlets onto the potion of the esplanade controlled by that development or to the south through a more circuitous route that traverses through a number of undefined spaces eventually reaching the Lighthouse Point Promenade and Plaza.

In **Tompkinsville**, the singular open space asset is Tompkinsville Park, which is approximately one acre in size and located at the intersection of Bay Street and Victory Boulevard. The park features large, mature trees, and paved and grassy lawn areas. It provides valuable park frontage for the surrounding commercial establishments.

Historic Tappen Park is the crown jewel of the open space amenities in **Stapleton**. The 2.4-acre park is one of the oldest parks on Staten Island and formerly served as the village center before the borough's annexation by the City of New York. Today, it forms the heart of Stapleton with Canal Street, an important upland connector at one end, and Bay Street, the neighborhood main street, at the other.

Overall, Downtown is underserved by open spaces, both in quality and quantity, compared to more established waterfront neighborhoods in New York City. In 2019, a study published by New Yorkers for Parks found that within the Bay Street Corridor there is just 1 acre of open space for every 1,000 people, compared to the citywide goal of 2.5 acres per 1,000 people. This study also found that Bay Street has just 0.3 acres of active open space such as play grounds, fields, courts and rec centers, for every 1,000 people compared to the citywide goal of 1 per 1,000 people. A more integrated and interconnected system that facilitates seamless connections between the existing components of Downtown's open space network and the waterfront will help create a foundation for a vibrant public realm.

Edgewater Village Hall in historic Tappen Park

Staten Island Chamber of Commerce

Key Observations

—

Based on Downtown Staten Island's demographic, economic, physical, and real estate conditions, three key observations summarize the Study Area's opportunities and challenges:

1

Downtown Staten Island is a culturally rich, historic neighborhood that serves as a gateway into Staten Island, but its comparatively low density makes it challenging to support a vibrant mix of downtown amenities. The Downtown is well served by transit and has numerous important anchors that lay the foundation for increased growth and visitation. Yet, despite being one of the most densely populated areas of the borough, Downtown Staten Island has significantly less housing or employment per acre than comparable borough downtowns, which increases the importance of visitation – from on- and off-Island – to activate corridors and a healthy mix of commercial and destination uses.

2

Poor physical connections and conditions across the Downtown limit pedestrian activity and prevent residents and visitors from exploring the Downtown. In each neighborhood, connections between transit nodes and local businesses and attractions feature challenging pedestrian connections, poor signage and wayfinding, and unwelcoming conditions such as underlit or vacant sidewalks and sites. These barriers prevent organic navigation within the Downtown; discourage visitors from venturing further into and around the Downtown; and hamper potential synergies among downtown destinations, such as retail, cultural centers, and other assets.

3

Downtown is a critical hub for community services and entrepreneurship, but it has a limited employment base and additional investment is needed to provide an economic engine for Staten Island. Most well-paying jobs in Downtown Staten Island are in the government sector, while other jobs (including in healthcare, social assistance, education, and retail) pay lower than living wages. Redevelopment of vacant and underutilized parcels along the corridor can provide new spaces for business and employment growth, while small business resources, entrepreneurship support, and workforce development programs can make sure the local labor force is prepared to participate and benefit in the future economy.

OBSERVATION 1

Downtown Staten Island is a culturally rich, historic neighborhood that serves as a gateway into Staten Island, but its comparatively low density makes it challenging to support a vibrant mix of downtown amenities.

Downtown Staten Island is home to a diverse and dynamic community and numerous cultural assets that have fostered a rich neighborhood fabric. Compared with Staten Island overall, the Downtown's population is younger and more ethnically diverse, with a higher share of recent immigrants. Half of all Downtown residents are younger than 35, including a large share of Millennials and families with young children, a trend that has supported the growth of an emerging arts district as well as local entrepreneurship. Downtown Staten Island residents represent a blend of ethnicities that more closely resembles New York City overall than the rest of the borough; similarly, the foreign-born population in Downtown includes residents hailing from the Americas, Africa, Asia, and Europe, reflected in cultural events and destinations across the Downtown.

This diverse spectrum of residents from different generations, cultures, and backgrounds has established numerous cultural and community attractions. These attractions – which include restaurants, exhibits, museums, and festivals – celebrate the unique heritage and history of the Downtown community and serve as a draw to visitors.

These homegrown assets are complemented by additional cultural organizations across the Downtown. **St. George**, which welcomes more than 2 million tourists off the Staten Island Ferry each year, includes a mix of both historic and modern attractions that are clustered within close proximity. Just a few minutes by foot from the St. George Ferry Terminal is the National Lighthouse Museum, which opened in 2015 and has hosted hundreds of school groups and international visitors to view exhibits on historic lighthouses both on Staten Island and globally. Just a short distance upland is the historic St. George Theatre, which has hosted more than 800 events since its reopening in 2004. The 2,800-seat theatre and its high-profile performers has helped draw residents from other parts of Staten Island back to the Downtown – 40% of all tickets sales from 2015 to 2017 were to South Shore residents.

Several of the more modern attractions created in St. George include Richmond County Bank Ballpark, home to the Staten Island Yankees minor league baseball team and a 7,171-seat stadium that offers sweeping views of the New York harbor. The ballpark also hosts other sporting events and public festivals. Most recently, Empire Outlets, the only outlet center in New York City, opened adjacent to the Ferry Terminal. In the first year since it opened, international tourism spending on the island has increased by nearly 93%.

Tompkinsville and **Stapleton** also include a range of recreational and cultural destinations. In Tompkinsville, numerous residents are eagerly awaiting the reopening of Lyons Pool and the Cromwell Recreation Center. Plans for renovation are still being developed but the goal is to create a multi-purpose, multi-sport community center that will support indoor and outdoor recreation uses. Additionally, 5050 SkatePark in Stapleton and its 8,000 square foot facility provide a community space for local youth and represent the only indoor skate park in the entire city. Nearby, Staten Island Arts maintains an art gallery on the ground floor of the new Urby development and manages a diverse range of arts programs and events that take place throughout Downtown. The Sri Lankan Arts and Culture Museum also anchors "Little Sri Lanka" – a small cluster that includes a range of restaurants offering authentic Sri Lankan cuisine which draws visitors from throughout the five boroughs.

One of the most notable attractions in Downtown that spans all neighborhoods is the waterfront. While this waterfront has only recently started to transition from industrial use to publicly accessible open space, planned capital projects will create a continuous waterfront esplanade from St. George to Stapleton, fostering greater connectivity between the area's three neighborhoods.

FIGURE 17. AGE DISTRIBUTION

Study Area 25% 9% 16% 26% 24%

Staten Island 22% 9% 13% 27% 29%

New York City 21% 9% 18% 27% 26%

● Age <18 ● 18-24 ● 25-34 ● 35-54 ● 55+
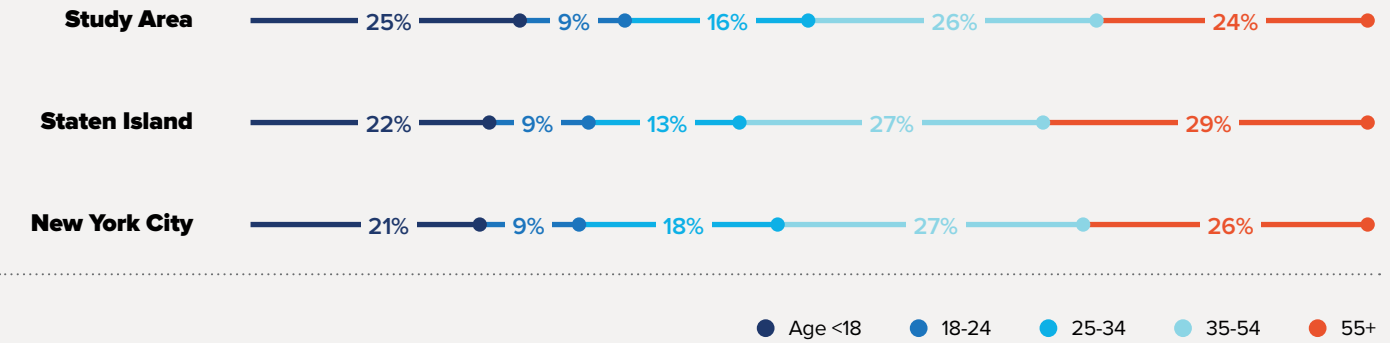
FIGURE 18. RACE/ETHNICITY DISTRIBUTION

Study Area

23% 31% 29% 7% 9%

Staten Island

2% 9% 9% 18% 62%

New York City

2% 14% 22% 29% 32%

● White ● Hispanic/Latino ● Black ● Asian ● Other
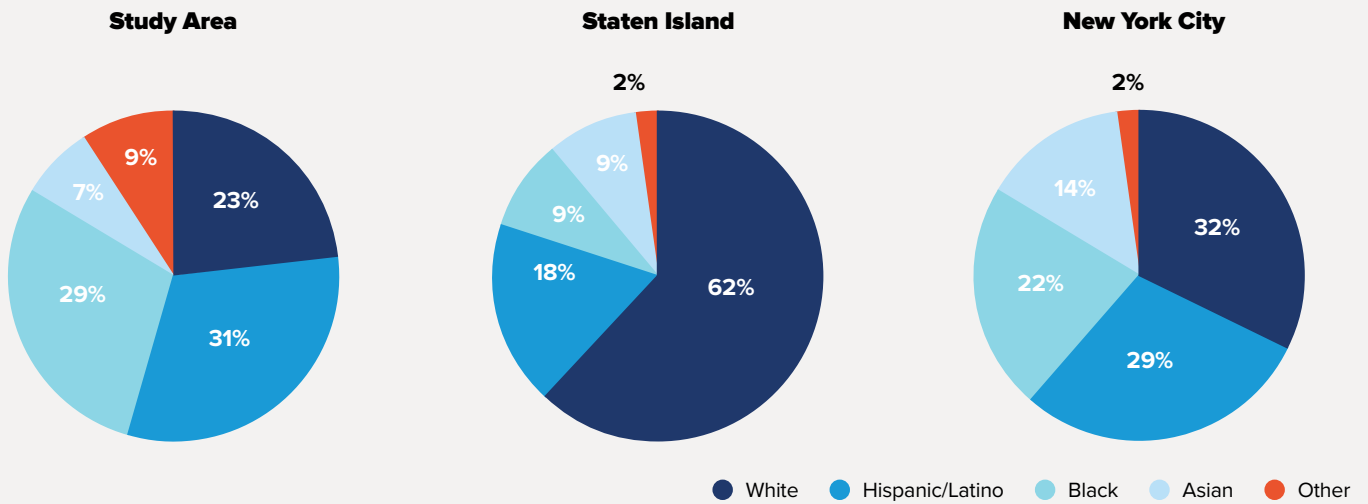
FIGURE 19. RESIDENTS' PLACE OF BIRTH

Study Area 79% 7% 6% 3% 5%

Staten Island 77% 6% 7% 8% 2%

New York City 63% 19% 11% 5% 2%

● U.S. ● America(non-U.S.) ● Asia ● Europe ● Africa
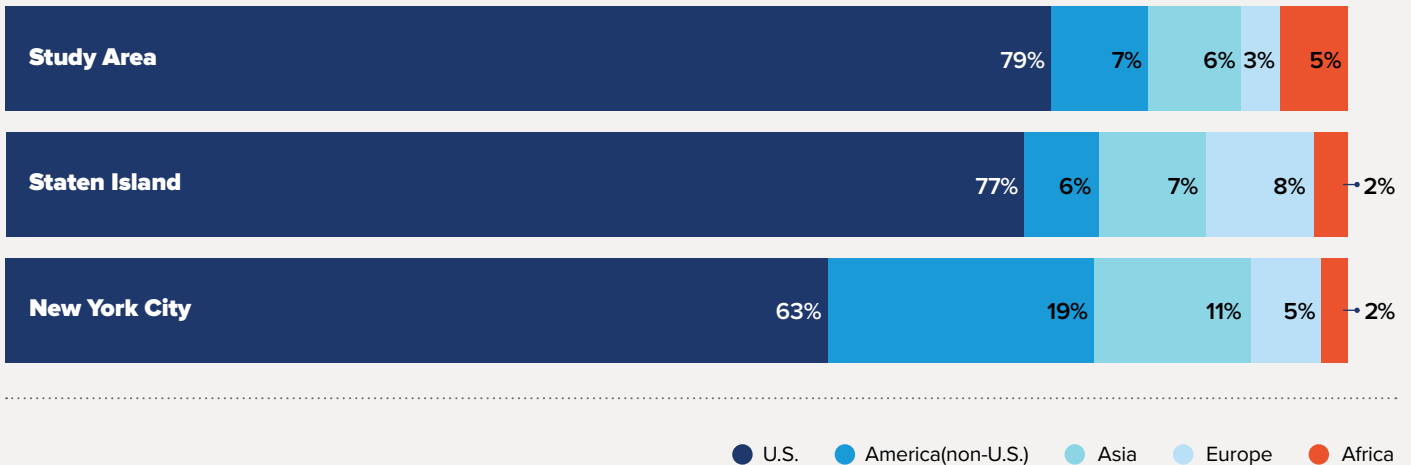
FIGURE 20. MAP OF DOWNTOWN ATTRACTIONS

St. George
Ferry
Terminal
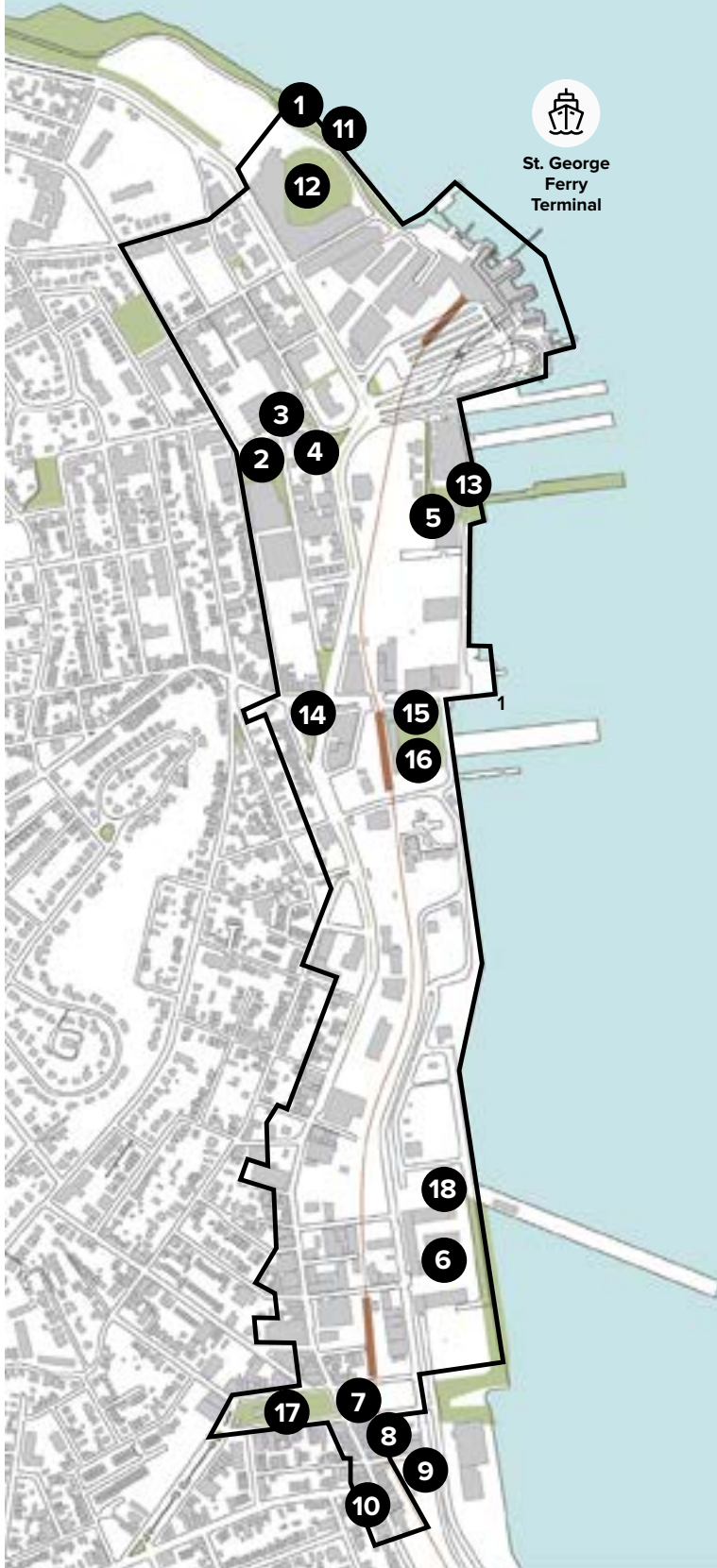
Cultural Attractions
1. Staten Island September 11th Memorial
2. St. George Greenmarket
3. St. George Theatre
4. St. George Library Center
5. National Lighthouse Museum
6. ArtSpace @StatenIsland Arts
7. Sri Lankan Art and Culture Museum
8. Staten Island Maker Space
9. Staten Island Maker Park
10. NYC Arts Cypher
....

Recreational Attractions
11. North Shore Esplanade
12. Richmond County Bank Ballpark
13. Promenade at Lighthouse Point
14. Tompkinsville Park
15. Lyons Pool Recreation Center
16. Inspiration Plaza
17. Tappen Park
18. Stapleton Waterfront Park/ Esplanade
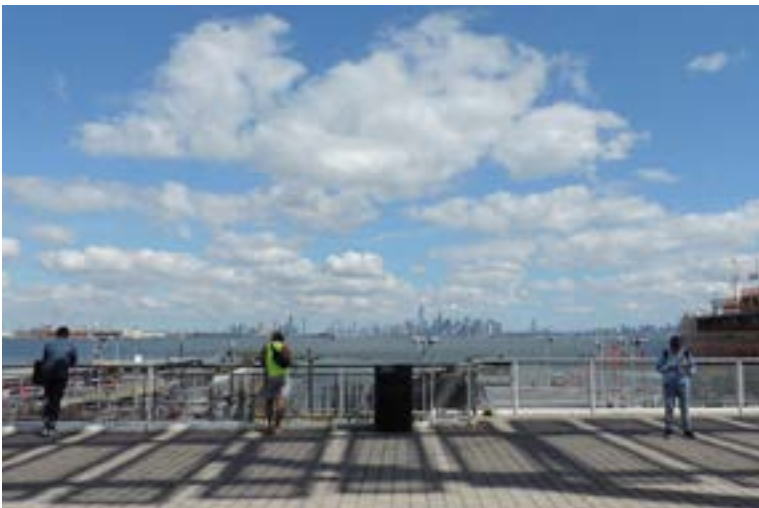
Staten Island Chamber of Commerce; Michael Flaco

Downtown Staten Island's vibrancy is fostered by a collection of local community organizations and cultural events and attractions. **CLOCKWISE FROM TOP LEFT:** Downtown Staten Island Weekend Walk Arts and Crafts; 5050 Skate Park; Downtown Staten Island Weekend Walk; Movies Under the Stars 40th anniversary screening of The Muppet Movie in Tappen Park; Staten Island Arts exhibit; Downtown Staten Island Weekend Walk

Despite these assets, compared with most downtowns in the New York City boroughs outside of Manhattan, Downtown Staten Island has significantly lower density of both residents and workers, which limits the amount of daily foot traffic on local streets, especially after hours, and the amount and mix of ground-level activity, including retail, restaurants, and entertainment, that can be supported by the "permanent population."

Today, Downtown is home to 11,200 residents and welcomes 4,600 workers each weekday. While this makes the Downtown one of the densest neighborhoods in the borough, the number of residents and workers per acre is low for a downtown. By comparison, Jamaica, Queens and the Bronx Civic Center – two past DRI communities – are 2X to 3X denser in terms of resident population and daily worker population than Downtown Staten Island. In addition, nearly all Downtown employees live outside the Study Area and more than 50% live off island; therefore, daytime workers are typically absent during evenings and weekends.

While the culture and built form of Downtown Staten Island is distinct from these other communities, low permanent populations make it more difficult to support the level of pedestrian and ground-floor activity that tend to define downtown communities. A 2016 survey of local merchants conducted by the Staten Island Chamber of Commerce found that, throughout the Bay Street Corridor, more than 20% of storefronts were vacant. Despite the large number of people who pass through the Downtown by bus, ferry, or car, and new residents, many small businesses continue to face challenges not only in attracting enough customers to cover their day-to-day expenses but also in being able to save and fund capital expenditures like building and façade upgrades. These conditions have resulted in both vacancy and blight.

Painted gates in Downtown Staten Island

Staten Island Chamber of Commerce

FIGURE 21. POPULATION GROWTH

2000-2010
- Study Area: 4%
- Staten Island: 6%
- New York City: 2%

2010-2018
- Study Area: 1%
- Staten Island: 1%
- New York City: 3%

● Study Area   ● Staten Island   ● New York City
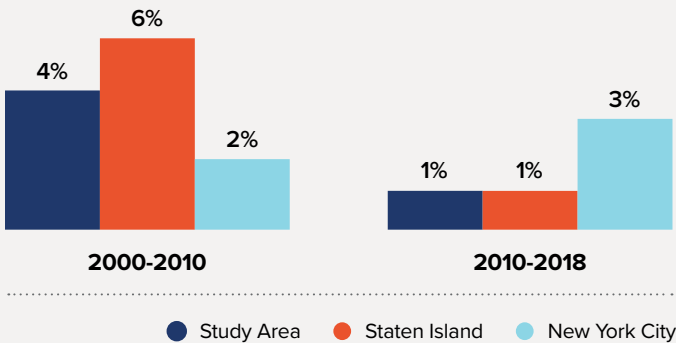
FIGURE 22. POPULATION DENSITY BY SQUARE MILE

- Study Area — 16,400 Residents
- Staten Island — 8,200
- New York City — 28,100
- Jamaica — 36,500
- Bronx Civic Center — 51,800
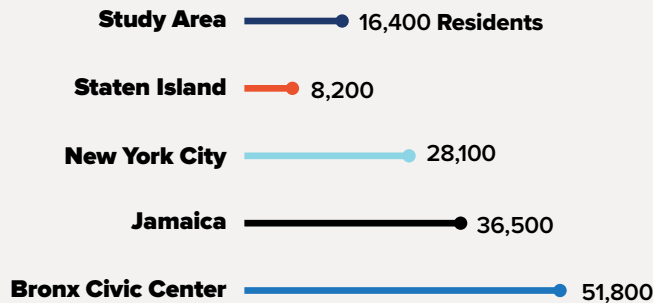
FIGURE 23. JOB DENSITY BY SQUARE MILE

- Study Area: 6,700 Jobs
- Staten Island: 1,900
- New York City: 14,500
- Jamaica: 10,900
- Bronx Civic Center: 19,400

FIGURE 24. WHERE WORKERS LIVE

- Staten Island: 44%
- Brooklyn: 22%
- Queens: 6%
- Manhattan: 5%
- Bronx: 4%
- Other: 19%

● Staten Island
● Brooklyn
● Queens
● Manhattan
● Bronx
● Other
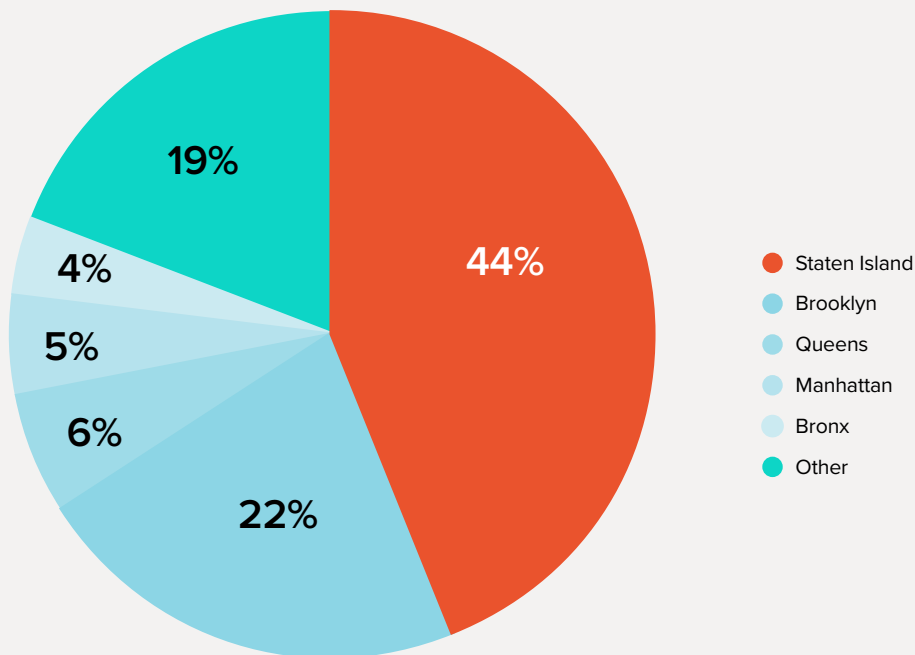
OBSERVATION

2

Poor physical connections and conditions across the Downtown limit pedestrian activity and prevent residents and visitors from exploring the Downtown.

Pedestrian connectivity in the Study Area is frequently interrupted by transportation infrastructure such as decking, bridges, and tunnels built to address the different elevations of the rail, ferry, and parking structures as well as the varying topography throughout the Downtown. These interruptions, combined with lack of wayfinding, wide traffic lanes, and visual chaos created by numerous security fences and railings, have created barriers for pedestrian connectivity and an incoherent public realm.

In **St. George**, the most critical missing link in pedestrian connectivity is between the St. George Ferry Terminal and the west side of Richmond Terrace and Bay Street. This area is dominated by automobiles and buses and the streetscape is intimidating for pedestrians due to the busy bus terminal and a lack of crosswalks and directional signage.

The elevated rail corridor is a definitive pedestrian barrier in **Tompkinsville**. The rail creates a seemingly impermeable barrier that separates the waterfront from the activity on Bay Street, the upland neighborhoods, and all other activity occurring on the western side of the rail line. The public safety features surrounding the rail station, such as the fencing, along with the up and down ramps needed to access the boarding areas, create visual clutter and uncertainty for those trying to traverse by foot. In the auto-oriented zone between Tompkinsville and Stapleton, pedestrians who have limited reasons to explore the area are unlikely to persevere in order to discover Stapleton.

Stapleton is the most pedestrian friendly and walkable neighborhood in the Downtown. Cross streets such as Prospect

Street, Wave Street, and Water Street connect the upland areas toward the waterfront underneath the elevated rail line. However, here too the rail infrastructure creates a perception of an unsafe environment. The area under the rail is poorly lit and encased in unsightly chain-link fences. Improvement to these "underpass" streets will enhance the connectivity between the activity near Tappen Park and the waterfront.

These pedestrian conditions are compounded by the geography and uses (or lack of uses) of key sites along Bay Street. The Downtown has a significant number of underutilized sites. Primarily concentrated along the southern half of the Bay Street corridor, there are a number of sites that include vacant lots, surface parking lots, and industrial and transit uses that represent a lower density than would be permitted by allowable development today. In their current conditions, these sites contribute to the vacancy and perceived blight along the corridor. Given the location and adjacencies of most of these underused sites, redevelopment opportunities will likely occur only in the long term, requiring interim mitigation steps to improve pedestrian conditions.

Another factor affecting pedestrian experience and future development potential across the Study Area is lot size. Lot sizes vary distinctly on either side of Bay Street. To the east of Bay Street, lots sizes are significantly larger than the small, compact, uniform parcels that can be found to the west of Bay Street. This reflects the area's legacy as a center for large, water-dependent industries that included shipping trade businesses and the Navy, which formerly controlled most land area along the water. These large, formerly industrial parcels are characterized by vast swaths of land that are now unbuilt or recently converted into large housing block developments. The sheer size of these development parcels and their prominent location along the waterfront offer immense opportunity for transformational, high-density development in the Downtown in the future.

FIGURE 25. UNDERUTILIZED LAND MAP

St. George
Ferry
Terminal

LEGEND

- Industrial
- Transit / Utility
- Vacant
- Parking & Other
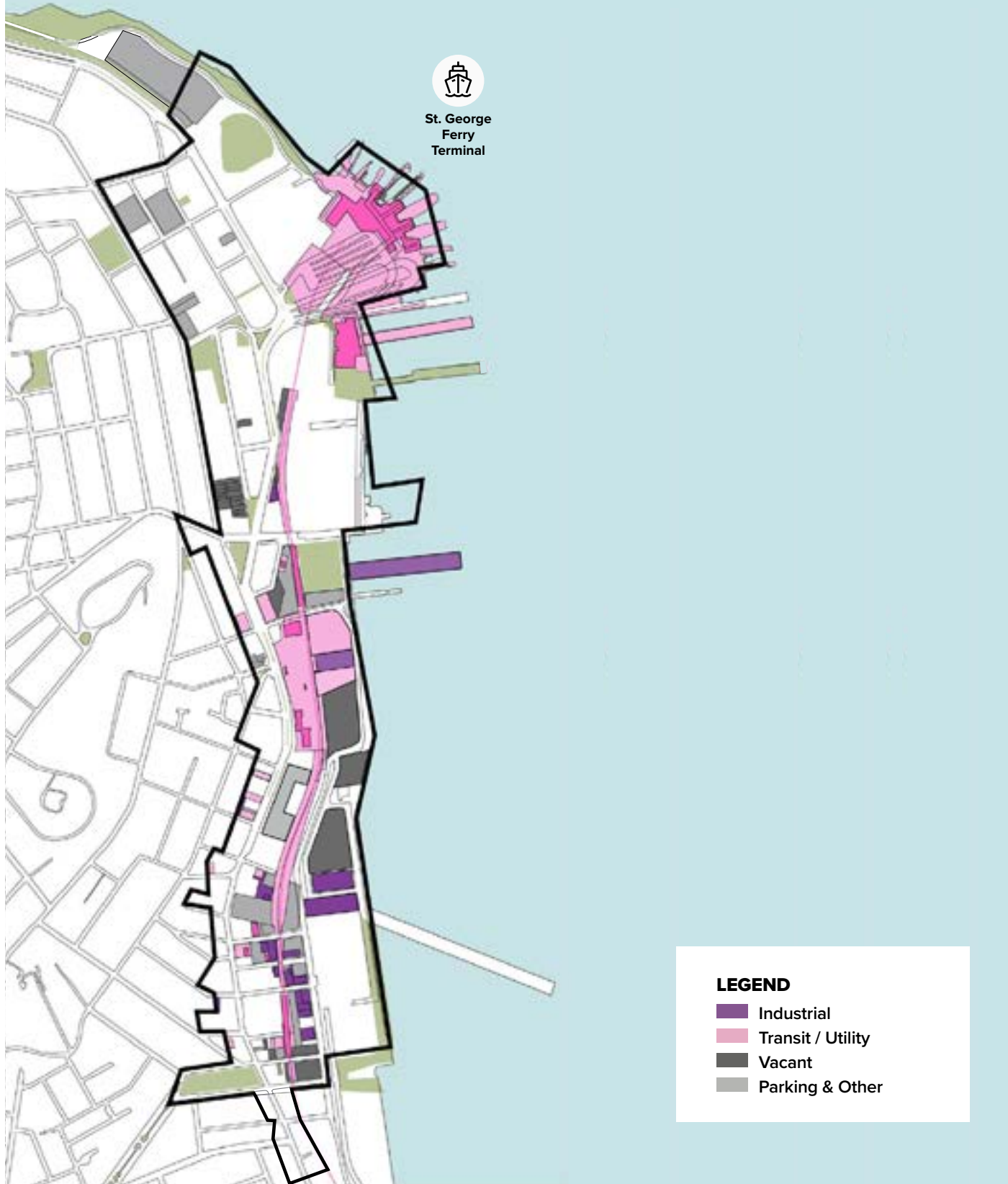
TOP LEFT DOWN: Car entrance to the St. George Ferry Terminal; Disorienting pedestrian crossing in front of the St. George Ferry Terminal; Dead End at the end of Victory Boulevard/entrance to the Tompkinsville train station/ pedestrian path over the tracks.**TOP RIGHT DOWN:** Vacant lot on Water Street; Vacant storefront on Bay Street; Vacant lot on Prospect Street

FIGURE 26. PARCEL SIZE MAP

St. George
Ferry
Terminal

LEGEND
Small Lots
Big Lots
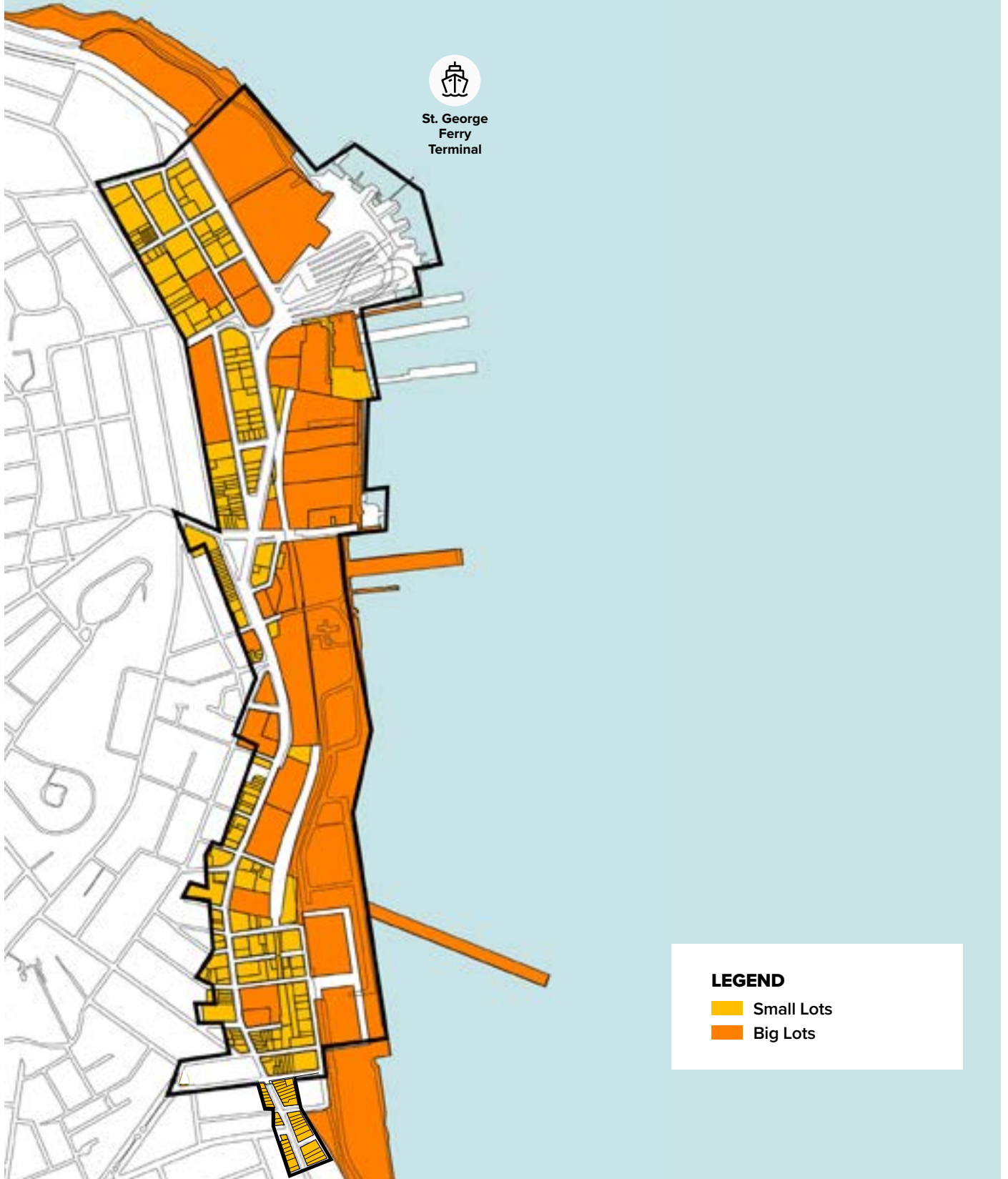
OBSERVATION 3

Downtown is a critical hub for community services and entrepreneurship, but it has a limited employment base and additional investment is needed to provide an economic engine for Staten Island.

Residents from across Staten Island, including the Downtown, make use of the broad range of community services that are focused on economic security and economic empowerment and are provided by prominent nonprofit organizations and public agencies, all generally within the Bay Street corridor.

For example, the Seamen's Society for Children and Families, founded in 1846, provides family support services, foster care resources, and therapeutic treatment for families and children experiencing trauma. The organization currently serves more than 2,000 children, youth, and adults, mostly Staten Island residents. The Historic Tappen Park Community Partnership, a community-based organization founded in 2012, organizes events and programs to support existing small businesses and residents and manages several initiatives including YouthBUILD Staten Island, a career training program focused on pre-apprenticeships for young adults that provides academic support, vocational training, leadership development, and counseling.

In addition to nonprofit anchors, Downtown Staten Island has also seen a recent influx of spaces available to support local entrepreneurs, including small business owners and aspiring tech and creative founders. Recently opened shared workspaces and technical support centers include the CSI Tech Incubator, Enrichmint, Techbox, and MakerSpace, all of which are located in the Downtown.

Social services and entrepreneurship are critical in Downtown Staten Island, where many households struggle to earn a living wage. In fact, more than half of households in the Study Area

earn less than $50,000 annually – New York City's threshold for a good-paying job. This has resulted in an average household income that is 40% lower than the borough and poverty rates that are significantly higher. Among Black and Hispanic/Latino residents in the Study Area, poverty rates are disproportionately higher, at 32% and 35% respectively.

While Downtown Staten Island houses a significant number of quality jobs, additional investment is needed before the Downtown can truly serve as an engine for job growth and opportunity.

Job opportunities in the Study Area are limited and concentrated in a handful of industries driven by the public and nonprofit sectors. Of the 4,600 total jobs Downtown as of 2019, more than 64% are concentrated in public administration, education, and healthcare and social assistance. The largest private sector industries are retail, professional services, accommodation and food services, and real estate. While not in the top seven largest industries, it is also notable that the arts and entertainment industry is more concentrated in Downtown than in any other part of the borough.

The largest industries in Downtown Staten Island also tend to have relatively lower wages. Aside from government and professional services, wages for the largest seven industries in the Downtown are all below $50,000. Apart from two local banks, the majority of private employers are small businesses that often pay wages below this "good paying" threshold.

Growth in Downtown Staten Island employment has also been concentrated in the public sector industries. Between 2010 and 2017, more than 80% of total employment growth was driven by these industries, with limited growth in the sectors that have been leading the boom in New York City's overall economy, including tech, media, advertising, and professional services. In fact, several industries that provide higher wages and potential pathways into growing career tracks regionally – such as information, finance, and insurance – have been declining in the Study Area.

Investing in new spaces and programs that attract and incubate modern industries in the Downtown could help connect Downtown residents to quality job opportunities while building up a local economic base that supports the borough's overall growth plans. Doing so can leverage a substantial base of existing service providers and innovators Downtown.

FIGURE 27. TOTAL JOBS BY INDUSTRY

Industry	Value
Health Care and Social Assistance	1,200; **26%**
Public Administration	1,100; **24%**
Educational Services	640; **14%**
Retail Trade	330; **7%**
Professional, Scientific and Technical Sercies	280; **6%**
Accommodation and Food Services	280; **6%**
Real Estate and Leasing	150; **3%**
Other	630; **14%**
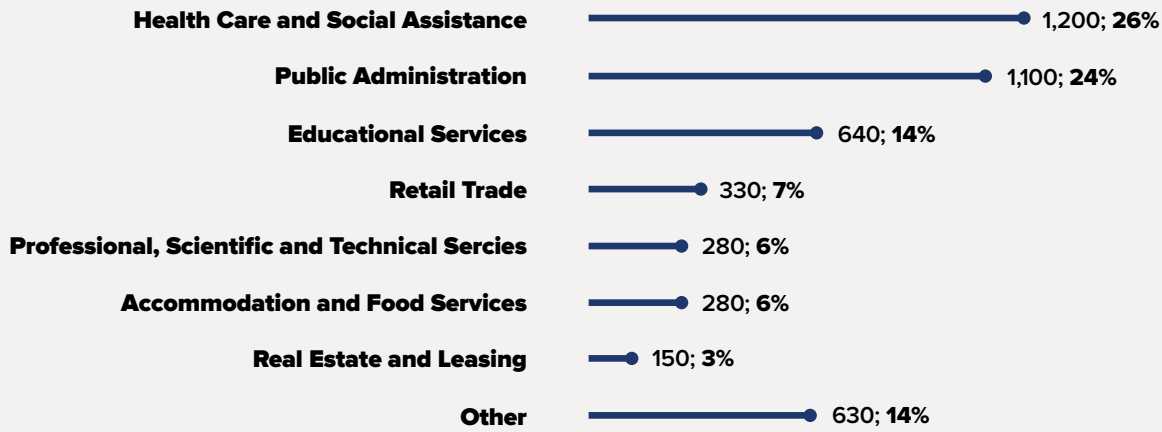
FIGURE 28. AVERAGE WAGE FOR THE LARGEST EMPLOYMENT INDUSTRIES

Public Administration **$115**

Professional, Scientific and Technical Sercies **$71**

$50K 'Good Jobs' Threshold

Retail Trade **$38**

Educational Services **$41**

Real Estate and Leasing **$44**

Accommodation and Food Services **$25**

Health Care and Social Assistance **$48**

AVERAGE EARNINGS — THOUSANDS: $120, $80, $40

NUMBER OF JOBS: 0, 200, 400, 600, 800, 1,000, 1,200, 1,400
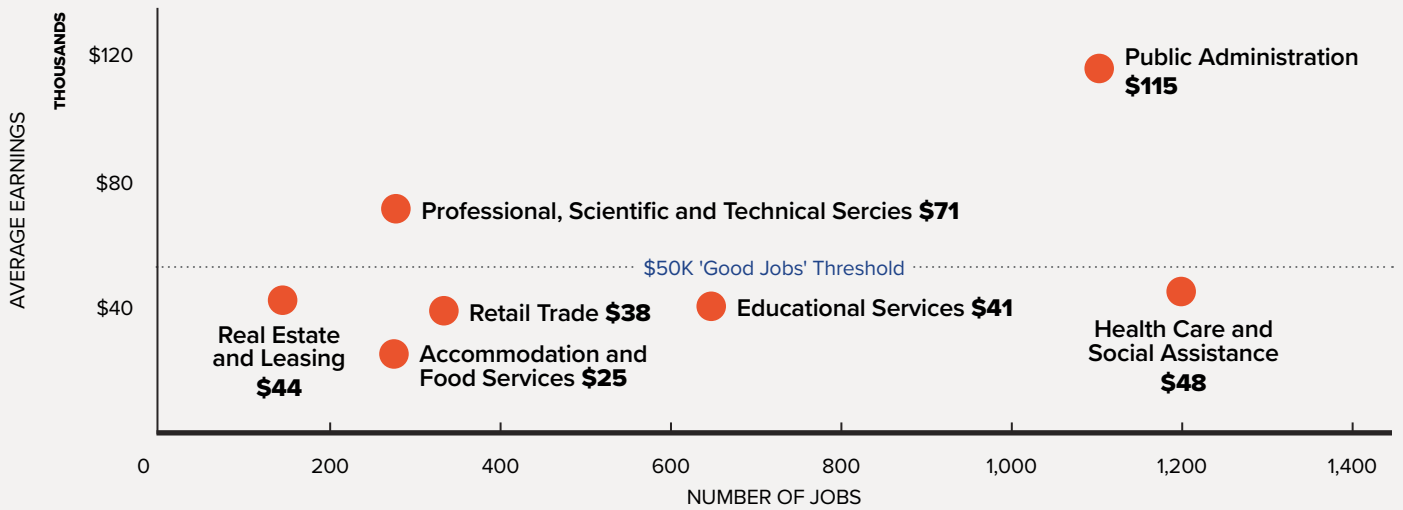
FIGURE 29. MEDIAN HOUSEHOLD INCOME

Study Area
51% — 26% — 13% — 10%

Staten Island
34% — 26% — 19% — 21%

New York City
43% — 26% — 14% — 17%

● <$50,000 ● $50,0000-$99,9999 ● $100,000-$150,000 ● +150,000

| MEDIAN INCOME | $45,200 Study Area | $79,300 Staten Island | $60,800 New York City |

FIGURE 30. POVERTY RATE

Study Area	Staten Island	New York City
32%	13%	19%
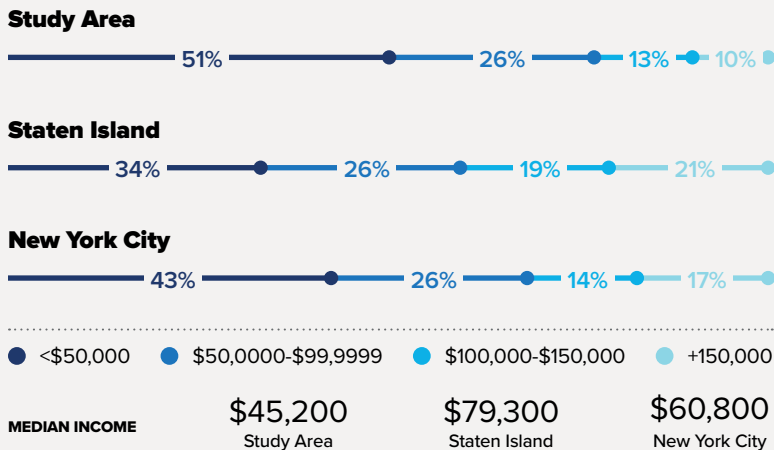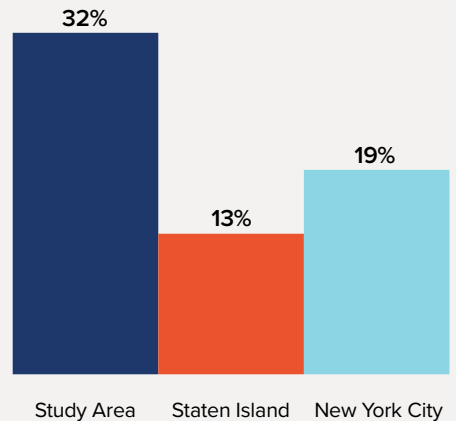
Real Estate Market

Residental

INVENTORY & PIPELINE

Downtown Staten Island encompasses approximately 5,360 housing units in a mix of typologies ranging from single-family homes to mid-rise condo and rental towers. More than three-quarters of residents in the Study Area are renters, compared to just 30% in the rest of the borough, reflecting a significantly higher share of multifamily (i.e. 5+-unit) housing rather than 1- to 4-family dwellings versus the borough overall. While the majority of multifamily buildings consist of rental units, this stock also includes several high-end, mid-rise condominium towers overlooking the harbor.

Development of new multifamily housing within the corridor has been limited until recently. Prior to the delivery of 571 rental units at the Urby in 2016, the area saw two significant condo deliveries: the 59-unit Pointe Condominiums in 2005 and the 100-unit Accolade Condominiums in 2013. Following the Urby, 67 senior affordable housing units were delivered in 2017 at 533 Bay Street. As demonstrated by low vacancy rates as of 2019, the market has been able to absorb this new development, suggesting additional unmet demand for rental market in the Study Area.

The two most recent projects – the Urby and 533 Bay Street – together delivered 638 new units to the Stapleton neighborhood, representing a 14% growth in the total housing stock Downtown. The Urby was a significant event for Downtown as the first multifamily development of its scale on the North Shore. Prior to the Urby, public housing communities represented the highest-density housing.

Housing growth in the Study Area is expected to continue, as the first phase of the Lighthouse Point development, adjacent to the St. George Ferry Terminal, comes online in late 2020 or early 2021, delivering 115 units, of which one-quarter will be affordable and the remainder will be market-rate. In future years, a second phase of Lighthouse Point is slated to include 175 units, and a second phase of the Urby is slated to include 329 units. These phases remain in the planning and financing stage.

TRENDS & TAKEAWAYS

Average rents for market-rate units at the Urby are more than $2,500 per month, more than double the average $1,000 rent per month of pre-existing multifamily units in the Study Area. These units cater to younger residents who work in the Downtown or commute by ferry, as well as older residents seeking a more walkable, urban lifestyle.

Notably, the area's two recent market-rate rental projects – the Urby and Lighthouse Point – were both facilitated by, and built on land controlled by, NYCEDC. While several multifamily projects on private sites have been discussed, none have broken ground; the development of such projects will be an important milestone to demonstrate the long-term feasibility of new housing in the Study Area without public support.

In the meantime, as new units come online at Lighthouse Point and the Urby, new amenities will be required to serve an influx of new residents along the waterfront. Key to creating a cohesive corridor will be ensuring the new developments are connected to existing neighborhood amenities, including on Bay Street.

In 2016, the first phase of the Urby opened with 571 market rate and affordable rental units bringing a new housing typology to the Downtown

Note: Findings and data related to the local real market reflect conditions as of February 2020, prior to the COVID-19 outbreak in New York City. The real estate market remained in flux as of the report's production due to the ongoing effects of the pandemic. While the pandemic will likely have lasting effects on the downtown market, it is too soon to project those impacts for this report."

FIGURE 31. HOUSING TENURE

Owner: Study Area 26%, Staten Island 70%, New York city 33%

Renter: Study Area 74%, Staten Island 30%, New York city 67%

● Study Area   ● Staten Island   ● New York city
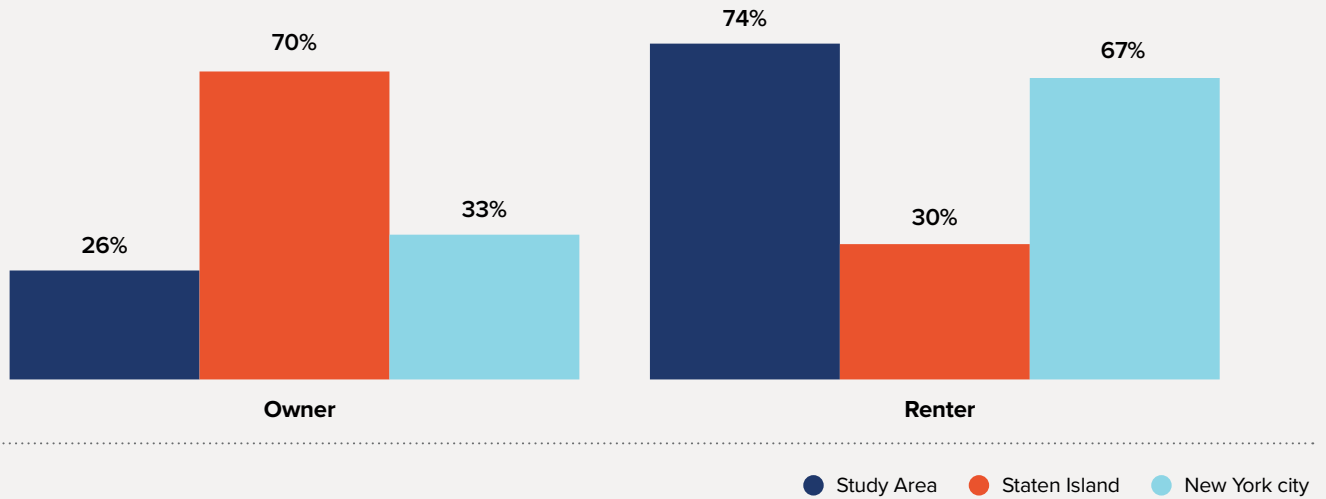
FIGURE 32. HOUSING BY TYPE

Study Area: 11% | 5% | 20% | 15% | 49%

Staten Island: 35% | 25% | 26% | 5% | 8%

New York City: 9% | 7% | 23% | 29% | 32%

● Single Family Detached   ● Single Family Attached   ● 2-4 Units   ● 5-19 Units   ● 50+ Units
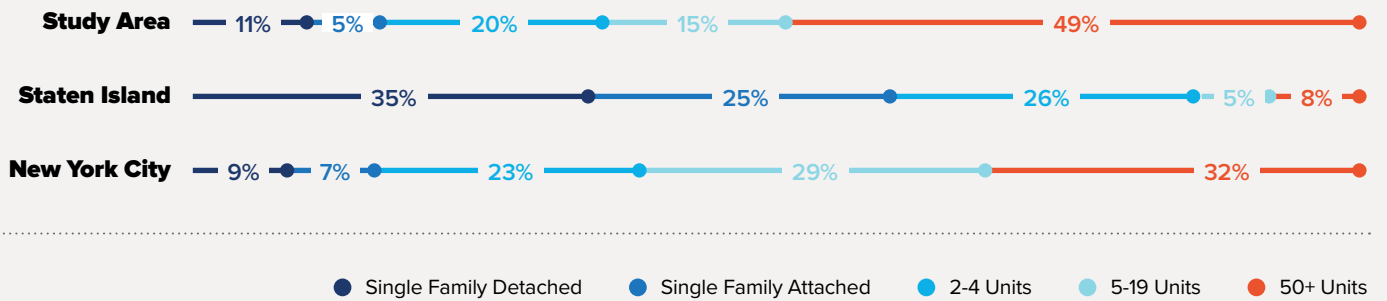
FIGURE 33. MULTIFAMILY RENTAL MARKET PERFORMANCE

2010 2%, 2011 2%, 2012 2%, 2013 2%, 2014 2%, 2015 1%, 2016 24%, 2017 14%, 2018 2%, 2019 2%

HOUSING UNITS

● Deliveries Units (Rental)   ● Absorption Units   ● Vacancy Rate
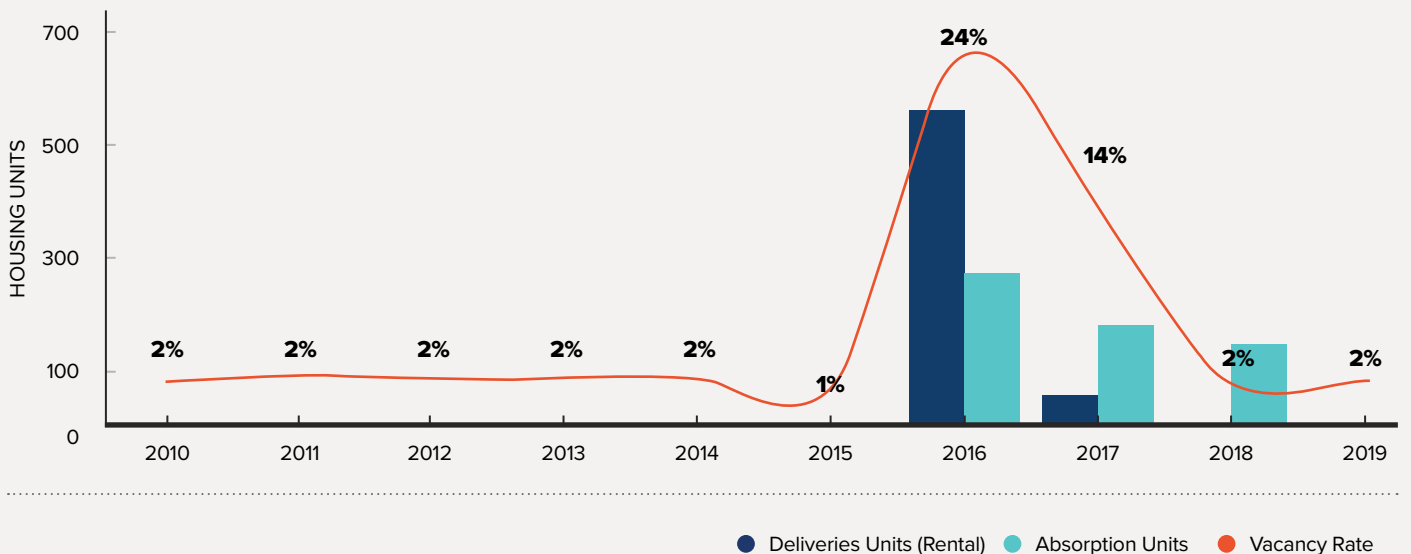
Office
INVENTORY & PIPELINE

The Study Area has 590,000 square feet of office space. As a result of public sector dominance in local employment, office space is primarily composed of older class B and C government-owned or -leased buildings built before 1980. There have not been any new office deliveries over the last decade, with activity in the market generated by moves among tenants within the existing office stock.

Amid limited new inventory, several shared workspaces and technical support centers for entrepreneurs have opened in rehabbed spaces across the Downtown, including the CSI Tech Incubator at 60 Bay Street, Techbox at 75 Clinton Street, MakerSpace at 450 Front Street, and Enrichmint at 4 Minthorne Street. These spaces offer a new typology of workspace to local businesses and entrepreneurs across a variety of industries.

Beginning in late 2020 or early 2021, 65,000 square feet of new commercial office and retail space is expected to deliver as part of the Lighthouse Point project in St. George. More than 30,000 square feet will be used for office tenants including Regus coworking and a new location for the College of Staten Island Technology Incubator, as well as ground-level retail and restaurants.

TRENDS & TAKEAWAYS

Following the recession and the recovery from Hurricane Sandy, the Downtown office market saw gradual improvement, reflected by positive annual absorption, declining vacancy (from a high of 17% in 2011 to a low of 5% in 2017), and 20% growth in rents between 2012 and 2019. Yet vacancy ticked back up after 2017 to 16% as of 2019, and Downtown office rents remain low in comparison to similar class B and C space in other outer-borough markets. For example, rents in two downtown areas studied in prior New York City DRI plans – the Bronx Civic Center and Jamaica Queens – ranged from $35 to $45 per square foot compared to $26 in Downtown Staten Island.

Lower rents in Downtown Staten Island generally make it more challenging for property owners to rehab existing commercial space or to develop new commercial space, relative to other markets. Yet as new local businesses emerge on the North Shore – supported in part by shared workspaces and incubators – there may be opportunities to convert vacant office and storefront space along Bay Street, as well as industrial space in Stapleton, to create new workspace that appeals to modern business owners and workers and accommodates local employment growth.

Office space and social services providers are located prominently at the top of Bay Street in close proximity to the St. George Ferry Terminal and multimodal transit hub

Google Street View

FIGURE 34. OFFICE MARKET PERFORMANCE

- Net Absorption SF
- Vacanct Rate
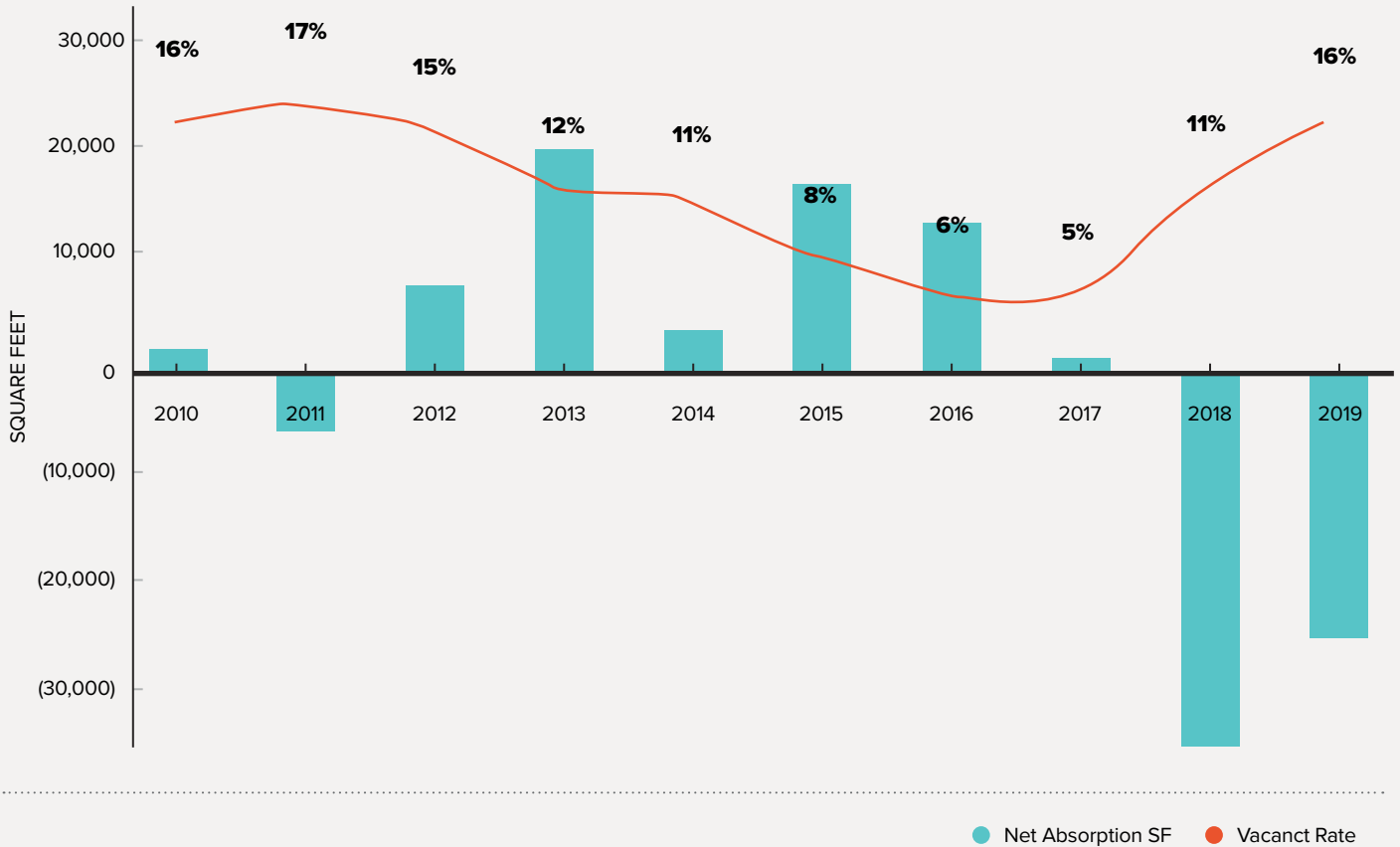
FIGURE 35. OFFICE MARKET ANNUAL RENTS PER SQUARE FOOT

$26.24
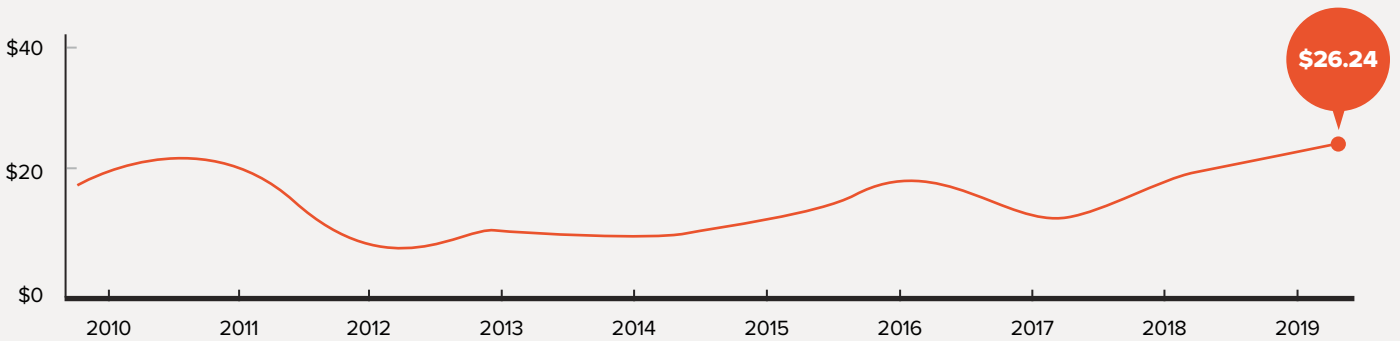
Retail

INVENTORY & PIPELINE

The Study Area includes approximately 1.2 million square feet of retail space in typologies ranging from neighborhood storefronts to strip centers to major shopping centers.

Each of the three Downtown neighborhoods has its own distinct retail cluster. In **St. George**, there are two focal points: the traditional neighborhood retail of Staten Island Borough Hall on Hyatt Street and Stuyvesant Place, characterized by small restaurants and convenience retail, and the new Empire Outlets, a destination outlet shopping center that opened in 2019 with 360,000 square feet of apparel stores and limited-service food and beverage establishments. Empire Outlets now represents 30% of the retail space in Downtown.

Tompkinsville is characterized by a neighborhood-style retail cluster surrounding Tompkinsville Park, as well as the auto-oriented Downtown Plaza strip center on Bay Street. Recent improvements on Minthorne Street, adjacent to Tompkinsville Station, have created a modern dining destination anchored by Flagship Brewing Company and Flour and Oak pizzeria. **Stapleton** boasts the densest and most traditional neighborhood retail corridor, with shops and restaurants lining both sides of Bay Street, and mid-density mixed-use buildings creating a pedestrian-scale main street that feels active and walkable.

In a survey of local merchants conducted by the Staten Island Chamber of Commerce in 2016, 232 total retail storefronts were identified in Downtown. These storefronts spanned a range of goods and services; the most heavily represented were restaurants and bars, beauty salons, professional services, public administration and social services, and auto repair stores and car dealerships.

Over the last decade, two shopping centers have been delivered in the Study Area: Empire Outlets and the

42,000-square-foot Downtown Plaza in 2014, home to a nail salon, fitness center, and motorcycle shop. In addition, the Urby's first phase delivered 26,000 square feet of ground-floor retail, providing new residents with three new restaurants, an ice cream shop, an ArtSpace gallery, and a beauty shop. The first phase of Lighthouse Point will include over 20,000 additional square feet of retail space, including fresh food stores and restaurants.

TRENDS & TAKEAWAYS

Market data suggests that leasing activity, absorption of newly built space, and overall vacancy have been healthy across the study area, with 4% overall vacancy rate as of 2019. However, the recent merchant survey conducted by the Chamber found a high rate of storefront vacancy along Bay Street, suggesting that several retail properties suffer from long-term vacancy and therefore may not be fully captured in market data. According to the survey, 21% of the 232 storefronts survey were vacant.

Among spaces that are available for lease, the typical rent range for neighborhood-style retail space is $20 to $30, according to a surveyed of recently available listings. The merchant survey found that rents along Bay Street in the study area are not seen as a major obstacle for local businesses.

The existence of retail destinations across the Study Area, coupled with the need to fill vacant storefronts and invest in more consistent retail corridors, highlights the need to better connect drivers of retail demand – including new residential development and visitation from the St. George Ferry Terminal to nearby cultural destinations – with local retail centers to strengthen activity across the whole corridor. Wayfinding improvements implemented through the DRI have the potential to create missing connections between more traditional community retail centers and developing activity centers to increase retail demand, strengthen local businesses, and support recent and future development.

HR&A

FIGURE 36. BAY STREET CORRIDOR STOREFRONT AND RETAIL MIX, 2015/2016

Category	Value
Restaurants & Bars	48 Storefronts
Hair, Nail & Beauty Salon	35
Professional Services & Real Estate Office	17
Public Administration & Social Services	16
Automotive Retail & Dealers	13
Delis/Bodegas	11
Furniture & Electronics Stores	10
Supermarkets, Food & Liquor Store	8
Houses of Worship	8
Medical Services	7
HVAC, Plumbing & Manufacturing	6
Clothing & Jewelry Stores	6
General Merchandise Stores	6
Health & Personal Care Stores	5
Other Miscellaneous Sotre Retailers	5
Commercial Banks	4
Dry Cleaning & Laundry Services	4
Gas Stations	3
Gym & Recreation	2
Cash Advance & Money Transfer Services	1
Hotels	1

FIGURE 37. RETAIL MARKET PERFORMANCE

Legend: ● Deliveries SF ● Net Absorption SF ● Vacancy

1
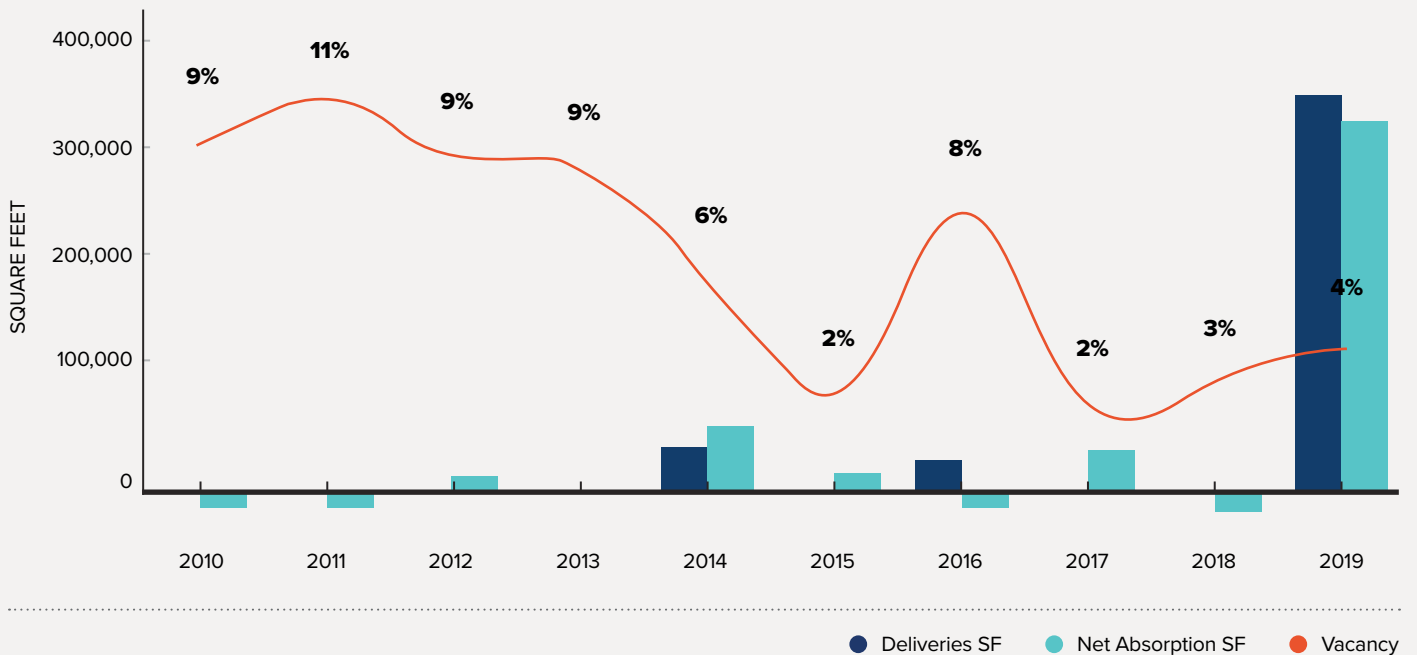
Downtown Profile

A demographic, economic, and physical analysis of downtown Medina that identifies key focus areas for revitalization.

The Study Area

The NY Forward Study Area focuses on historic downtown Medina, the social, cultural, and economic center of the community.

Regional Context

The Village of Medina is one of several communities along the western stretch of the Erie Canal. It is located in the Towns of Shelby and Ridgeway and is the most populous municipality in Orleans County. The Village's strategic location between the Cities of Rochester and Buffalo allows it to capture residents, visitors, and market share from both metro areas.

Village History

The settlement of the Village of Medina began in 1817 with the announcement of the construction of the Erie Canal. The canal was constructed with a bend as it passed through the village. This created a basin that would become a way station for barges and an over-nighting point for passengers, making Medina a natural rest stop.

Study Area *Quick Facts*

1,084 residents
as of 2023

403 jobs

40 median age

$51K median income
per household

Source: U.S. Census

In fact, many of the village's early buildings were hotels.

By the time construction of the canal was completed in 1825, the area around the Canal Basin was well developed. A number of industries took advantage of the canal for exporting their goods including mills, foundries, furniture and barrel manufacturers, and the storied Medina sandstone industry. Medina also benefited from good waterpower on Oak Orchard Creek and fertile land, which helped the village grow quickly. By 1832, the village was incorporated.

In the mid-1850s, the Rochester, Lockport and Niagara Falls Railroad (later renamed the New York Central Railroad) was built through the village. The railroad spurred industrial development along Main Street by providing easier access to raw materials and markets for finished goods. The former main railroad station, which was constructed using locally-quarried Medina sandstone, still stands today at 615 Main Street. Around this time, the Rochester, Lockport and Buffalo Railroad offered electric trolley service that passed through Medina on E. Center, Main, and Commercial Streets.

In the 1860s and 1870s, a series of fires destroyed many downtown buildings. They were reconstructed between 1870 and 1900 in the visually cohesive style and uniform scale that is still apparent today along Main Street.

At the start of the 20th century, Medina was a thriving community, with a diverse array of industries and retailers. Fruit growing was particularly prosperous during this time.

Over the next few decades, however, industry in Medina declined. The canal, having been impacted by the development of the railroad, was then carrying only a fraction of its former traffic. The railroads were impacted, too. In 1931, trolley service was discontinued in Medina. A few decades later, freight and passenger traffic across the state began using the New York State Thruway, 10 miles south of Medina. Eventually New York Central discontinued passenger service along the Medina route before going bankrupt itself.

A Look Back

Main Street
A nineteenth century view of Main Street in downtown Medina.

Erie Canal
A view of the Erie Canal in Medina in the early twentieth-century. The Medina Falls can be seen in the background.

Hart House Hotel
The Hart House Hotel on Center Street, which later became the Newell Shirt Factory Building.

Study Area Map

Glenwood Lake

Glenwood Ave

Main St

Eagle St

Catherine St

Prospect Ave

Ann St

Pearl St

West Ave

Main St

Main St

Erie Canal

State St

W. Center St

E. Center St

Park Ave

NY Forward
Study Area

Oak Orchard Creek

N
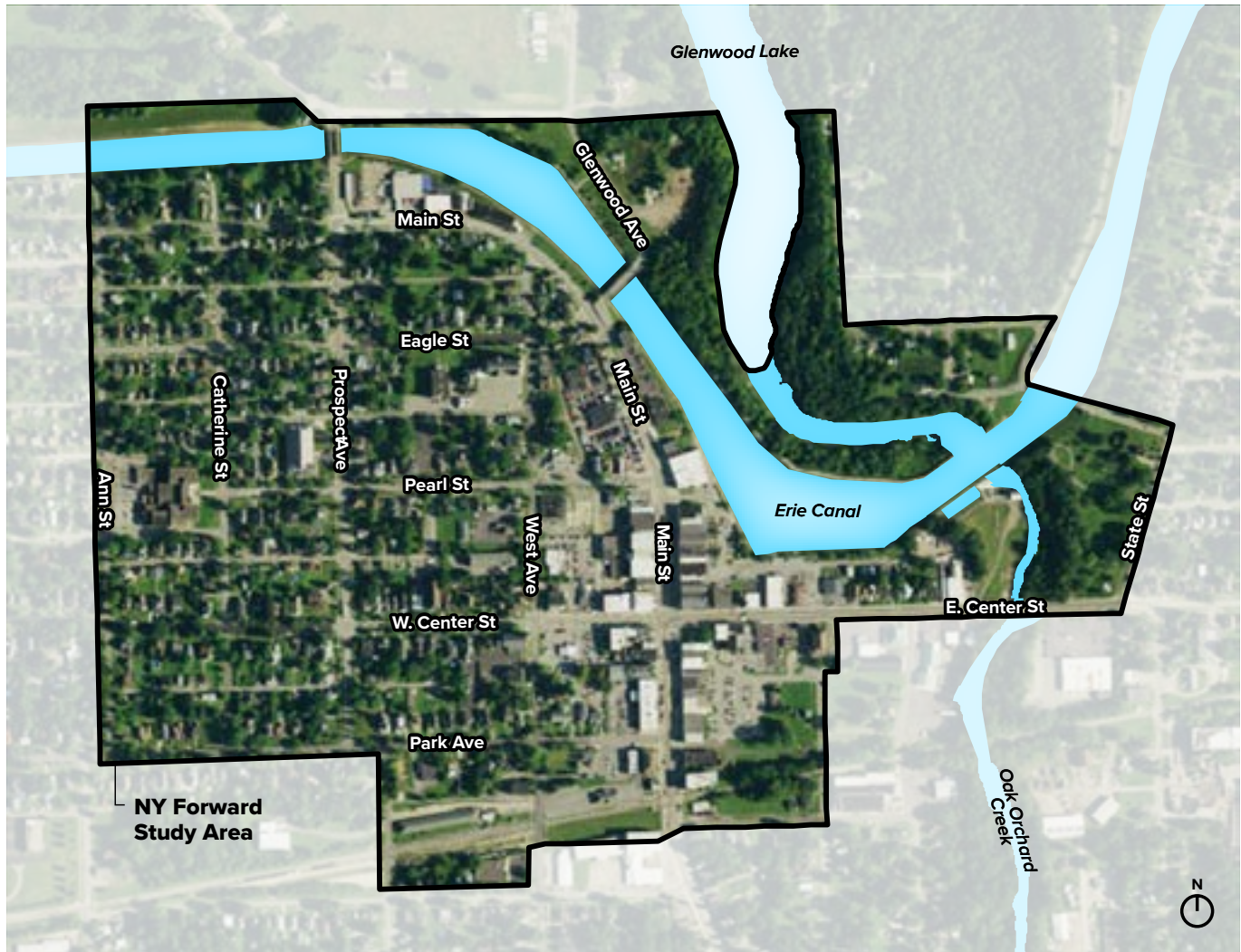
Study Area

The Study Area for Medina's NY Forward Program encompasses the economic and cultural hub of downtown Medina. It is bound by the Erie Canal to the north, the railroad tracks to the south, Ann Street to the west and State Street to the east. Centered on Main Street, the Study Area includes many of Medina's most important economic and tourism drivers including the Erie Canal Basin, the Medina Railroad Museum, the Canal Village Farmers' Market, and numerous small businesses including local favorites like Zambistro Restaurant and the Hart House Hotel. The Study Area also includes a significant portion of the village's waterfront area, including 1.5 miles of frontage along the Erie Canal and almost a mile-long stretch of the Erie Canal Heritage Trail.

Study Area

Erie Canal

Town of Ridgeway

Town of Shelby

Village of Medina
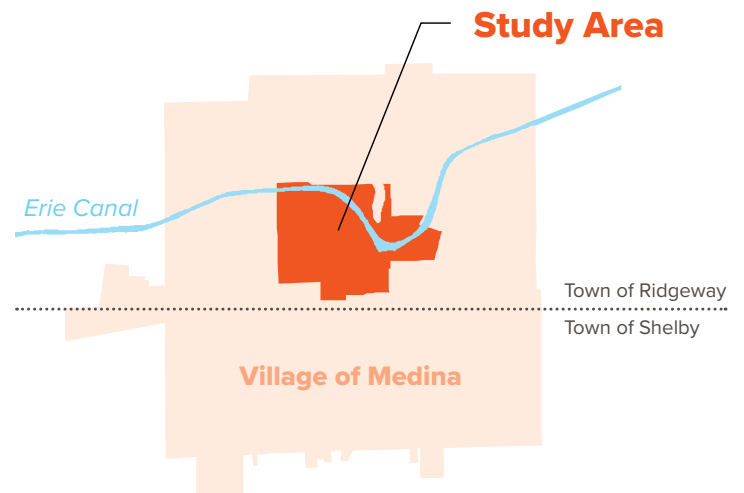
Demographics

Population Trends

As of 2023, approximately 1,000 people were living in the Study Area. This means that nearly one-in-five Village residents live in the Study Area, reinforcing its identity as the core. Since 2000, the Study Area's population has slowly declined (2% since 2000) – a trend consistent with the Village (8% decline) and the County (10% decline). Without any outside forces to impact trends, the population is projected to continue declining at a rate of 0.2% per year through 2028.

Households

Despite projected population loss, the number of households in the Study Area is projected to grow by 0.1% through 2028. Fewer people but more households indicates growth in smaller households and potentially more demand for smaller housing units. This trend is opposite to that expected in the Village and the County, where the number of households is projected to decrease. This signals a unique opportunity in the Study Area to expand housing options and capture household growth in downtown Medina. The upper floors of downtown buildings represent significant opportunities for rehabilitation into small units, such as one- and two-bedroom apartments, that can meet the needs of the Study Area's growing base of small households.

Age

The population in the Study Area is younger on average than the Village and the County. The Study Area has a larger percentage of residents under 35 (45% of residents) and a lower median age (40) than the Village and the County. The Study Area also has fewer residents over 55 (31% of residents) than the Village and the County. These trends reflect downtown's appeal to younger populations and underscore the importance of providing housing options that meet the needs of younger populations, such as smaller units close to downtown amenities.

Education

The Study Area population is well-educated and has a higher percentage of the population with a bachelor's degree or more (26%) than the Village (21%) and the County (19%). A well-educated population creates a skilled workforce, which is one component of helping the Village attract and retain businesses and good-paying jobs.

Population Trends

Change in population (2000-2028)

1,105
2000
1,084
2020
1,065
2028
1,047
2010
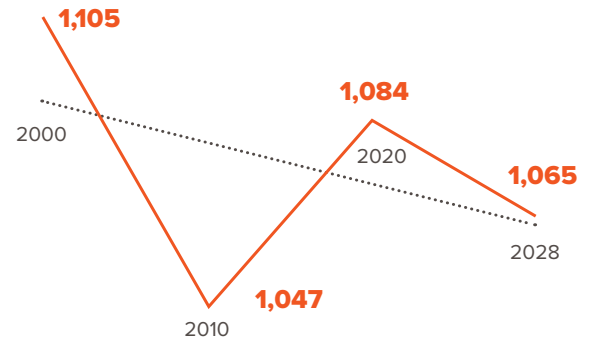
Source: U.S. Census, ESRI projections

Households

Change in number of households (2020-2028)

0.4%
0%
Study Area

Village
-0.5%
-0.9%

County
-0.2%
-0.3%

2020-2023   2023-2028
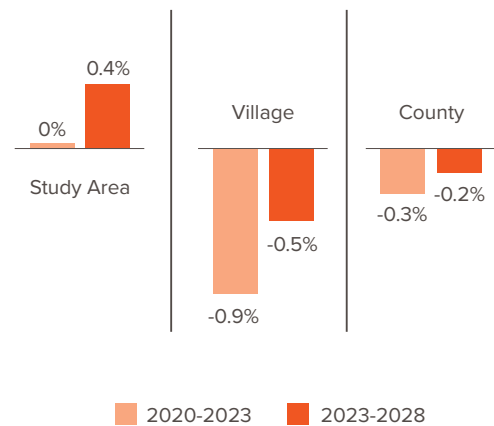
Source: U.S. Census, ESRI projections

Age

Age distribution (2023)

	Under 35	36-54	55+
Study Area	45%	24%	31%
Village	43%	43%	34%
County	40%	25%	35%
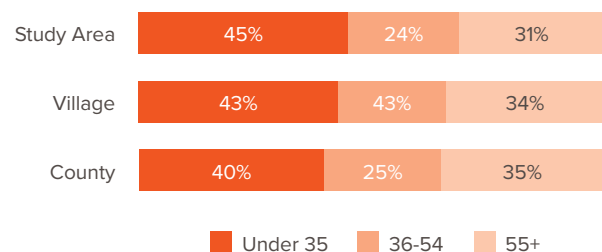
Source: U.S. Census

Jobs

There are 430 primary jobs located in the Study Area. This represents 17% of all primary jobs in the Village. A primary job is a worker's highest paying job. In the Study Area, the largest industry sectors are Retail Trade (28%), Public Administration (21%), and Accommodation and Food Services (20%). The prevalence of retail and accommodation jobs in the Study Area underscores the importance of local businesses and tourism to the downtown economy. Aside from Public Administration, the largest industry sectors in the Study Area have relatively low wages, averaging less than the $55,000 threshold for a "good-paying job."

Income

Limited availability of good-paying jobs in the Study Area contributes to relatively low incomes and relatively low discretionary spending levels among Study Area residents. The median household income in the Study Area ($50,990) is $4,310 less than that in the county ($55,300). While the largest share of residents in the Study Area (28%) have annual household incomes between $50,000 and $74,999, more than 19% of households have annual household incomes less than $15,000 per year. This is well below the federal poverty level of $33,975 per year for a single individual (as of 2023).

Vulnerable Households

Low incomes means households spend a greater percentage of their household income on housing costs. 27% of Study Area renters are considered "cost-burdened," meaning that they spend more than 30% of their household income on rent. This figure is less than in the Village and the County, where more than 40% of renters are cost-burdened. The prevalence of cost-burdened renters in and around the Study Area suggests the need for diversified downtown housing options and varied price points that can meet the needs of all income ranges.

Household Spending

When households spend a greater percentage of their household income on housing costs, they have less discretionary income to spend on other goods and services. The average Study Area household spends hundreds of dollars less per year on things like dining out, entertainment, and shopping than

Jobs by Earnings

Average earnings for the top industry sectors in the Study Area (2021)

● **$120K**
Public Administration
(21%)

-------- $55K "Good Jobs" Threshold* --------

● **$49K**
Retail Trade
(28%)

● **$45K**
Accommodation and Food Services
(20%)
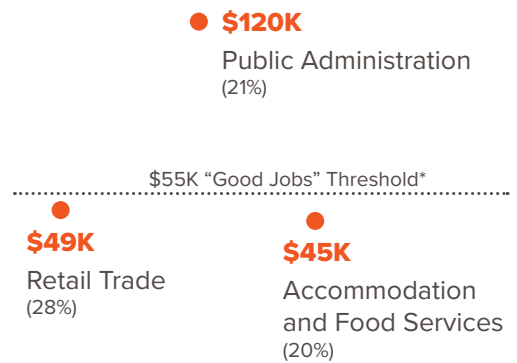
*$55K threshold represents the 35th percentile of earnings for full-time salaried workers according to the U.S. Department of Labor

Source: U.S. Census, U.S. DOL

Income

Household income distribution (2023)
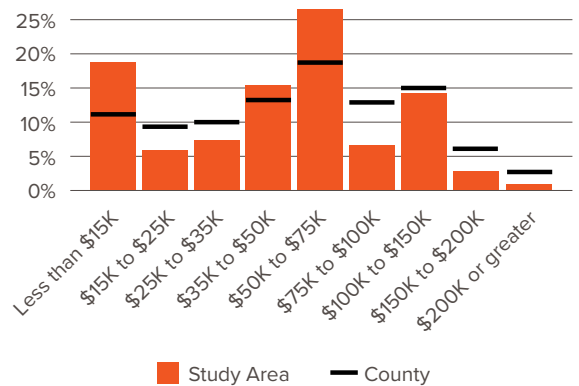
■ Study Area — County

Source: U.S. Census

Household Spending

Annual household spending potential (2023)

Dining out: $2,100 / $2,500
Apparel and services: $1,300 / $1,500
Entertainment: $400 / $450
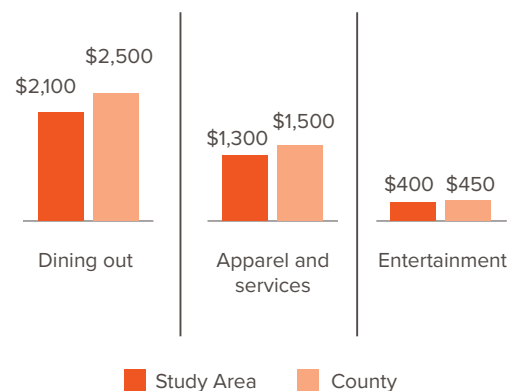
■ Study Area ■ County

Source: U.S. Census

the average County household. On top of that, household spending potential in the Study Area is between 40% to 50% less than the national average. This means that Study Area households have less to spend on goods and services at downtown businesses.

Nearby Communities

Though the NY Forward Study Area is not located in a Disadvantaged Community (DAC) as defined by the New York State Climate Justice Working Group (CJWG), the portion of the Village of Medina located in the Town of Shelby (south of the Study Area) is a designated DAC. Demographic characteristics make the population in this area more vulnerable to economic hardship than 81% of other communities statewide. This underscores the finding that incomes and discretionary spending levels are low in and around the Study Area.

Culture and Community

Today, as it was historically, Medina is strongly rooted as a canal community and the canal continues to be a major driver of business, tourism, and recreation in the Village. Events and programming are also central to the Village's identity, with a growing number of music, arts, and cultural events that bring in thousands of visitors every year.

Future Outlook

Like many canal communities, Medina has experienced the all-too-familiar cycle of boom and bust. Despite years of disinvestment and population loss, Medina is coming back strong. Downtown is experiencing growth in small households and is becoming attractive to a younger, well-educated population. The Village is a recognized destination on the Erie Canal and is branding itself as a hub for arts and culture. This progress, plus millions of dollars in recent investment and millions more expected through the NY Forward Program, position Medina on the cusp of a real resurgence.

!

Downtown Medina is defined by its people and culture. Here are some key attributes.

01 Downtown has a historic legacy that should continue to be celebrated.

02 Downtown has a strong identity as a canal community.

03 Downtown is experiencing growth in small households.

04 Downtown residents are trending younger.

05 Incomes and discretionary spending are low.

Planning Context

Community planning efforts and recent local investment create a strong foundation for additional investment through the NY Forward Program.

Recent Plans

Plans published in recent years reflect significant local initiative and thoughtful effort to revitalize downtown Medina.

Local Waterfront Revitalization Program

In 2023, the Village of Medina's Local Waterfront Revitalization Program (LWRP) was approved by the New York State Department of State (DOS). The LWRP establishes policies to protect Medina's waterfront and makes recommendations to improve waterfront access and promote water-based recreation and tourism. Medina's waterfront and downtown are intimately linked, making revitalization along the waterfront critically important to downtown revitalization. Several of the projects recommended in the Strategic Investment Plan are a direct outgrowth of the recommendations included in the LWRP.

Medina *Quick Facts*

$375 million

Total public and private funds invested in Medina in the past decade.

$13 million

Planned investment from New York State in improving Medina's Erie Canal Heritage Trail and establishing the Medina Art Triennial.

Comprehensive Plan

The Village of Medina's Comprehensive Plan is included in the Western Orleans Comprehensive Plan, which was most recently updated in 2018. A number of the projects recommended in the Strategic Investment Plan directly advance the goals and actions outlined in the Comprehensive Plan, including promoting downtown renovation and redevelopment, maintaining the economic vitality of the downtown business district, increasing public access to recreational resources including the canal, preserving and enhancing historic and cultural resources, and improving vehicular and pedestrian circulation.

Recent and Ongoing Investment

Investment in Medina through the NY Forward Program will build on more than $375,000,000 in public and private investment in the past decade.

Medina Art Triennial

Medina, because of its strong downtown core and rich cultural and historic legacy, has been selected to host an Art Triennial by the New York Power Authority (NYPA) and the New York State Canal Corporation (NYSCC) as part of their *Reimagine the Canals Initiative*. The Triennial will feature public events, art installments, and exhibits at multiple downtown sites. An artist-in-residence program will also be created to encourage artists to live and work in Medina. The Triennial will kick off in 2025, with full funding from NYPA through the first and second installments (2028). It is expected to bring 30,000 to 50,000 visitors per installment and to create significant economic returns for downtown business and tourism. Investments in downtown through the NY Forward Program, particularly in enhancing public spaces and refreshing the housing stock, will support the Triennial and further leverage the State's investment.

NY Main Street Program

In 2016, the Village was awarded $335,000 in funding through the NY Main Street Program. The funding was disbursed to buildings owners for facade and streetscape improvements along Main Street.

Recent Investments

$335,000

NY Main Street Program

Building and streetscape improvements on Main Street (2016).

$3,000,000

Medina Art Triennial

State funding to support the first and second installments of the Medina Art Triennial (2025-2028).

$20,000,000

Bent's Opera House

Historic restoration and structural rehabilitation (2017). Now home to an upscale restaurant, boutique hotel, and event space.

$1,500,000

Newell Shirt Factory Building

Historic restoration into mixed-use space with cocktail bar and extended-stay lofts and offices on upper floors (2021).

Other Public Investment

NYPA and NYSCC plan to invest upwards of $10 million to improve Medina's section of the Erie Canal Heritage Trail (known locally as "the towpath"). The Village also actively invests in improving and maintaining public spaces and infrastructure. In recent years, the Village has invested more than $5 million in improving its wastewater treatment facility and upgrading water lines.

Other Private Investment

Building and business owners have invested millions of dollars in downtown Medina in recent years. Notable downtown investments include the $20 million restoration of Bent's Opera House, the $1.5 million restoration of the Newell Shirt Factory Building into an upscale mixed-use space, and the $785,000 renovation of Zambistro Restaurant, which is a destination dining experience. A local developer is also currently in the process of investing $9 million in Mustang City – the adaptive reuse of the former Medina High School into 40 loft-style apartments. Major employers just outside downtown have also been making considerable investments, including a $260 million investment from Baxter to expand its Park Avenue facility and a $30 million investment from Pride Pak to build its U.S. headquarters on Maple Ridge Road.

Supportive Local Policies

Medina has policies in place to ensure that new investment and development through the NY Forward Program are consistent with downtown character and quality of life.

Zoning Code Update

In 2017, the Village updated its zoning code to strengthen protections of downtown character. The Central Business District Overlay was added to the code with provisions to promote walkability and to encourage the adaptive reuse of existing structures for new retail and business uses.

Building and Landscape Design Standards

The Village uses a set of building and landscape design standards to maintain a high-quality public realm and to ensure that new development is consistent with Medina's historic character.

Recent Investments

$785,000
Zambistro Restaurant
Creation of rooftop dining area as well as new event space with bar.

$5,000,000
Village Infrastructure
Wastewater treatment plant and water line upgrades (2018-2023).

$9,000,000
Mustang City
Adaptive reuse of the 90,000 square-foot former Medina High School into 40 loft-style apartments.

$260,000,000
Baxter
Acquisition and expansion of the advanced manufacturing facility on Park Avenue.

$30,000,000
Pride Pak
Construction of 68,000 square-foot U.S. headquarters for fruit and vegetable processing on Bates Road (2016).

Alignment with Regional Strategies

Medina was selected by the Finger Lakes Regional Economic Development Council (FLREDC) as a Round 1 NY Forward awardee for its potential to create impactful change not only for Medina but also for the larger region.

Investment in Medina advances the following strategies included in the FLREDC's Strategic Plan (2011).

Invest in Community Development

Building strong communities is important to attracting residents and businesses to the Finger Lakes region. Investments in downtown Medina through the NY Forward Program will reinforce Medina's identity as a place where people want to live and work, preserve Main Street's historic character through adaptive reuse and historic preservation, and refresh the housing stock with new and diversified offerings.

Promote Tourism and the Arts

Cultural and recreational tourism are driving factors in the Finger Lakes regional economy. Through the NY Forward Program, Medina will invest in developing, promoting, and preserving its assets to establish the Village as a regional destination along the canal for arts, cultural, and recreation.

Strengthen Quality of Life

Quality of life in the Finger Lakes sets the region apart as an ideal place to live, work, and visit. Investment through the NY Forward Program will strengthen Medina's quality of life through public realm enhancements, expanded access to housing, and improved cultural and recreational amenities.

Optimize Business Creation, Expansion, and Retention

Business is the backbone of the region's economy. Medina's NY Forward Program will invest in supporting existing small and local businesses and in creating refreshed commercial spaces to attract new businesses and visitors downtown. A strong business community with a diversity of offerings is fundamental to a vibrant

Big things are happening in downtown Medina. It's time to take advantage of them.

01 Millions of dollars have been invested to revitalize downtown Medina in recent years.

02 A vision plan (the LWRP) is in place that sets the stage for continued downtown and waterfront revitalization.

03 New York State is actively investing in Medina to establish it as a hub for the arts along the Erie Canal.

04 Building owners and developers have strong interest in investing downtown.

Physical Setting

The NY Forward Study Area includes Medina's downtown and waterfront along with a wealth of historic, cultural, and natural resources.

Built Environment

The NY Forward Study Area is a vibrant mixed-use area with a healthy mix of land uses.

Main Street Corridor

The Study Area is defined by the Main Street commercial corridor, which extends from Pearl Street south to the railroad tracks. This corridor gives Medina its unique charm, with historic row buildings that form a continuous streetwall and create that recognizable "downtown Medina" feel.

Residential Areas

Outside of the Main Street corridor, development is less dense. Buildings are generally on larger lots, set back from the street, and lower in height. The western portion of the Study Area is primarily residential, with mostly single-family homes. Closer to Main Street, there are two- and multiple-family homes.

Study Area *Quick Facts*

202 acres

477 parcels

46% residential
land use by acreage

27% commercial
land use by acreage

Land Use Map

NYS-owned land

Glenwood Lake

N. Gravel Road

Main St

Glenwood Ave

Eagle St

Catherine St

Prospect Ave

Ann St

Pearl St

West Ave

Main St

Erie Canal

State Street Park

State St

W. Center St

E. Center St

Rotary Park

Park Ave

Oak Orchard Creek

Main Street Commercial Corridor

Hatched areas represent publicly-owned parcels.
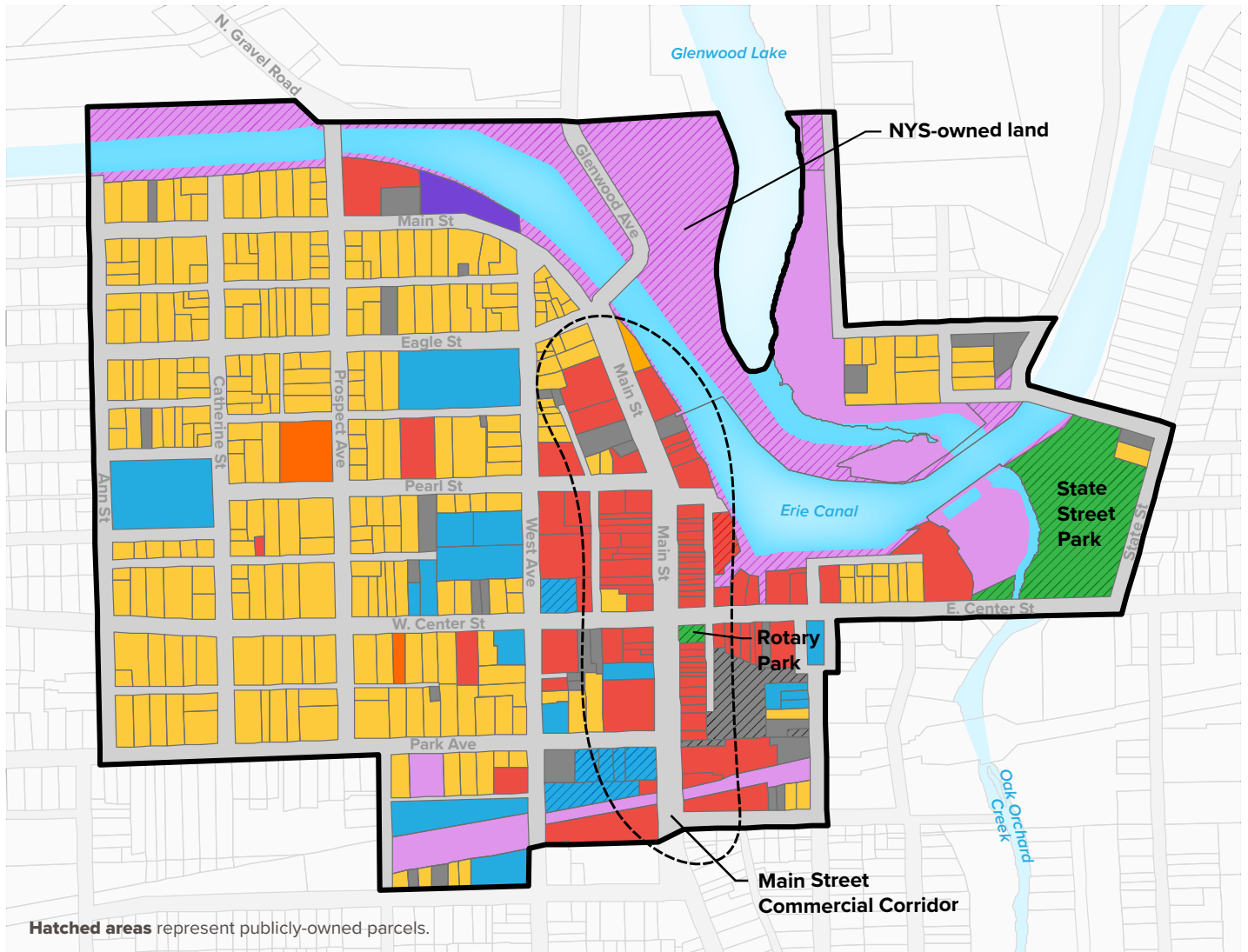
Community Services

The Village of Medina offices, including City Hall, the Police Department, and the Village Clerk, are located in a cluster at the south end of Main Street. The Town of Ridgeway offices are located off West Avenue. Other institutions in the Study Area include the Orleans County YMCA, the Senior Citizens Center, the Medina Historical Society, and a number of churches.

Erie Canal

The Erie Canal runs through the northern portion of the Study Area. The Erie Canal Heritage Trail parallels the north side of the canal. On the south side, the canal is generally fronted by rear building facades or parking areas, which makes downtown feel disconnected from the waterfront despite their physical proximity.

Legend

Land Use **Study Area**

Commercial **27%**

Residential **46%**

Community Services **9%**

Vacant **7%**

Industrial **0.5%**

Recreation **1%**

Parks **1.5%**

Utilities **7%**

Zoning Districts Map

Waterfront
Development
Overlay

Historic
District
Overlay
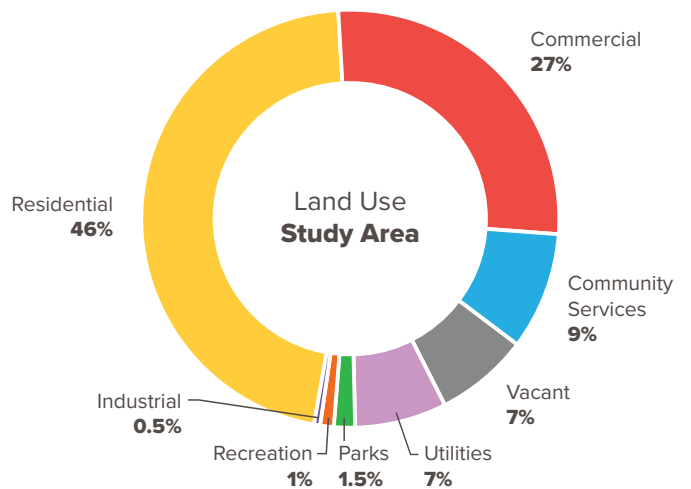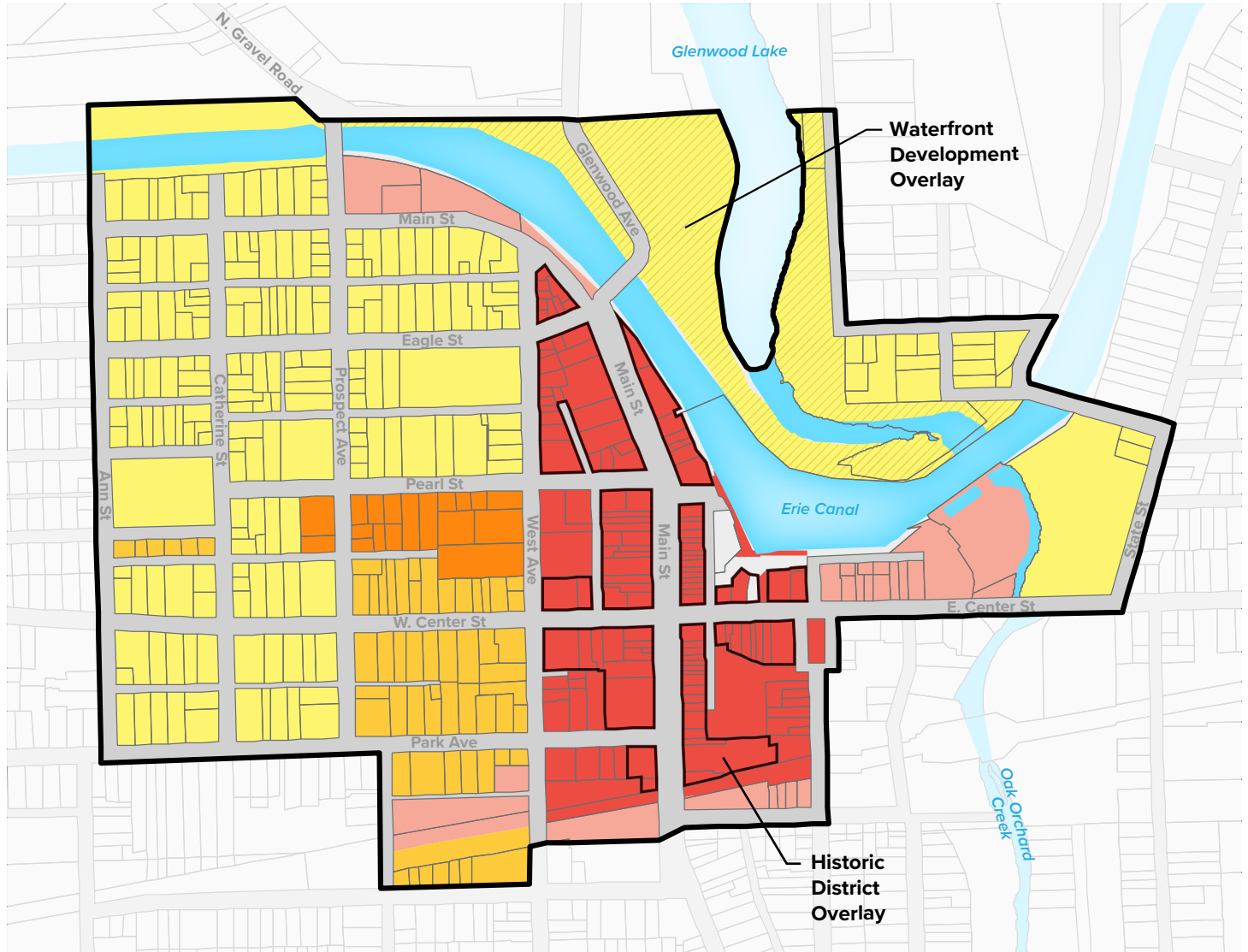
Zoning Districts

The Village of Medina Zoning Code regulates land use and building design standards within the NY Forward Study Area.

Residential Districts

Zoning in the Study Area is primarily residential (79% of acreage). Residential density increases closer to Main Street, with multiple- and two-family dwellings permitted. Lower density, single-family districts are located at the periphery of the Study Area.

Business Districts

Business districts make up 29% of acreage in the Study Area. The Main Street corridor and one

Legend

Multiple-Family
3.5%

Two-Family
9%

Central Business
19%

General
Business
9.5%

Zoning
Study Area

Single-Family
59%
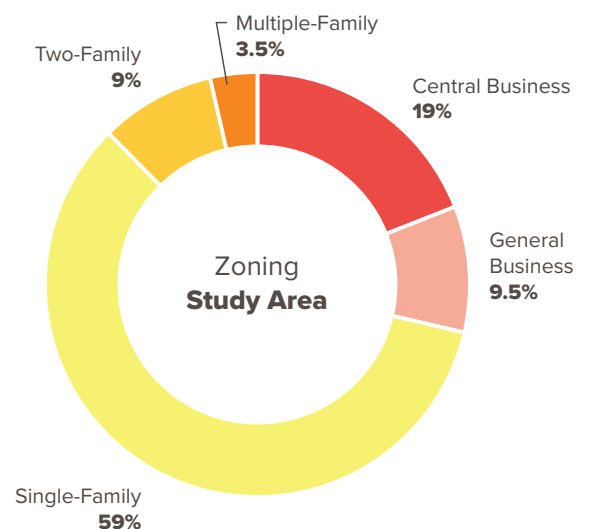
zoned Central Business District (CBD). This district includes building and site design standards that promote the walkability, continuous streetwall, and downtown feel that define Main Street. Lower density General Business Districts (GB) are located on Main Street north of Glenwood Avenue and on East Center Street. Businesses in the GB District are more likely to be standalone buildings set back from the street.

Overlay Districts

Overlay districts permit additional uses on top of the uses already permitted in the underlying zoning district or apply additional regulations on top of those in the underlying district. Overlay districts often serve a special purpose, whether that be preserving historic character, protecting sensitive environmental features, or promoting specific types of development.

Waterfront Development Overlay

The Waterfront Development Overlay (WDO) encourages water-based recreation and tourism development in proximity to the Erie Canal and Glenwood Lake. The WDO permits uses including public recreation, swimming, and access to the water. With a special use permit, other tourism-related services like hotels, campgrounds, boat marina and rental businesses, information centers or museums, and restaurants can be developed.

Historic Preservation District Overlay

This Historic Preservation District Overlay (HP) is designed to protect, preserve, and enhance the significant landmarks, buildings, and properties that contribute to the historic and cultural heritage of the Village.

Within the Study Area, the Main Street District is regulated by the HP District Overlay. This district includes all structures abutting the east and west sides of Main Street from the railroad tracks to Eagle Street and all structures abutting Center Street from West Avenue to Church Street. Any exterior alterations to buildings or landmarks within this district require a certificate of appropriateness from the Village Planning Board. The HP District Overlay also includes additional regulations for murals and building lighting.

Zoning Districts in Study Area

Central Business (CBD)

The Central Business District (CBD) allows for primarily retail and personal service businesses within short walking distance of each other. This district helps create the downtown feel of Main Street. Buildings setbacks are not required and buildings can be up to five stories high (50 ft).

General Business (GB)

The General Business District allows for retail and personal service businesses that are smaller scale and more spaced apart than CBD businesses. The GB District has less of a downtown feel than the CBD. GB businesses are generally less accessible by foot, are required to be set back from the street, and are capped at three stories (35 ft).

Multiple-Family (R-3)

The Multiple-Family Residential District (R-3) permits the highest density of residential development, and can include single-family, two-family, and multiple-family dwellings. Buildings can be up to three stories high (35 ft) and require a setback from the street.

Two-Family (R-2)

The Two-Family Residential District (R-2) permits single- and two-family dwellings. Buildings can be up to three stories high (35 ft) and require a setback from the street.

Single-Family (R-1)

The Single-Family Residential District (R-1) permits only single-family dwellings. Buildings can be up to three stories high (35 ft) and require a setback from the street.

Historic and Cultural Assets Map

Glenwood Lake

N. Gravel Road

Main St

Erie Canal

Glenwood Ave

Erie Canal Trail

NYS Barge Canal
Historic District

Eagle St

First Lady
Folsom's
Home

Main St

Horan Rd
Bridge

Catherine St

Prospect Ave

Payjack
Chevrolet
Building

Medina
Falls

Pearl St

Oak Orchard
Creek Aqueduct

West Ave

Canal Basin

Medina
Waste
Weir

State
Street
Park

Ann St

Bent's
Opera
House

Medina Terminal

State St

W. Center St

U.S. Post
Office

St. John's
Episcopal Church

E. Center St

Rotary
Park

Park Ave

Medina Railroad
Museum

Main Street
Historic District

Oak Orchard Creek

Library

Historic and Cultural Assets

The Study Area has a rich history and cultural
heritage that is important to its identity.

Main Street Historic District

The Main Street Historic District is a 12-acre
historic district along Main Street that stretches
from the Erie Canal south to the railroad tracks.
The district is designated on the National Register
of Historic Places and has 50 contributing
buildings. The buildings are designed in a variety
of architectural styles from the nineteenth century,
primarily Italianate. Many of the buildings were
renovated after a period of decline in the mid-
twentieth century. Notable contributing buildings
include: City Hall (600 Main Street) built in 1908
at a time when the Village had aspirations of

Legend

● Main Street Historic District
○ National Register historic places
○ Locally significant historic places

◯ NYS Barge Canal Historic District
○ Erie Canal Heritage Trail

● Parks

becoming a city, the Bent Block (444 Main Street) which was built in 1865 and includes Bent's Opera House, the Hart House (111-115 West Center Street) which was built as a hotel in 1876, and Paddock's Hotel (500-506 Main Street) which was the first hotel built in the district in 1855 and is now home to Avanti Pizza. Much of the district is regulated by the Historic Preservation (HP) District Overlay.

NYS Barge Canal Historic District

Within the NY Forward Study Area, there are four structures along the Erie Canal that contribute to the NYS Barge Canal Historic District. These structures include the Horan Road and Glenwood Avenue Bridges (both constructed in 1914), the Medina Terminal (a concrete wall on the south bank of the Canal Basin constructed in 1916), and the Oak Orchard Creek Aqueduct (constructed in 1914). The Oak Orchard Creek Aqueduct is the only true aqueduct on the Barge Canal system. It carries the canal over Oak Orchard Creek.

Bent's Opera House

Bent's Opera House is a historic building that has been revived as a multi-use venue at 444 Main Street. The building houses the Harvest Restaurant (an upscale dining experience), a boutique hotel, and a completely restored Civil War-era opera house space that can be booked for weddings or other events.

Interpretive Trail

A series of interpretive panels are installed downtown that tell the story of Medina's history and historic locations like the Newell Shirt Factory Building (now the Hart House Hotel) and Bent's Opera House. The panels are numbered to encourage visitors to walk through the district and complete the interpretive trail.

Mural Program

In recent years, several murals have been painted on the rear facades of Main Street buildings as part of an initiative led by the local non-profit Form Foundation. In 2022, the Village commissioned an Erie Canal-themed mural to enliven the Erie Canalway Trail as it passes beneath the Glenwood Avenue Bridge.

Downtown at a Glance

Bent's Opera House
Bent's Opera House following its recent restoration project.

Interpretive Trail
A panel along the downtown interpretive trail that tells the history of Main Street.

Canalligator Mural
Mural on the back of a building on Proctor Place, one block from Main Street.

Tourism and Recreation Assets

Tourism represents a major portion of Medina's economy. Several of the major tourism drivers in the Study Area are described below.

Erie Canal

The Erie Canal is one of Medina's main tourism drivers, with an estimated 36,000 visits annually. The canal provides opportunities for passive and active recreation, including boating and paddling, and creates scenic viewsheds throughout Medina.

Canal Basin

The Canal Basin is a wide area of the canal behind Main and Center Streets that historically and still today serves as a rest-stop for boaters. It has a small marina with boat slips and other amenities including a comfort station with showers, a pump out station, and water and electric service. The Canal Basin is also an access point for the NYS Canalway Water Trail, with a handicap-accessible kayak launch. A new informational kiosk will be installed in the Canal Basin in late 2023. Other improvements could also be made to enhance this unique but underutilized feature of Medina's waterfront.

Erie Canal Heritage Trail

The Erie Canal Heritage Trail (locally known as the "towpath") is a 120-mile trail that connects Buffalo to Lyons along the canal. The trail is part of the larger Empire State Trail system which traverses the whole state. In Medina, the towpath is located on the north side of the canal. It is extremely popular with cyclists and is also used for walking and jogging.

State Street Park

State Street Park is a large, 6-acre park within walking distance from the canal. It has a playground, bandstand, public restrooms, and a memorial. The park plays host to the extremely popular Blue Thursdays concert series, which brings in an average of 800 concert-goers per show.

Medina Falls

Medina Falls is a 40-foot waterfall visible from the towpath, near the Horan Road Bridge. After Oak Orchard Creek passes under the canal, it goes over the falls, before heading into Glenwood Lake.

Medina Railroad Museum

The Medina Railroad Museum is the largest railroad and toy train museum in New York State and attracts more than 40,000 visitors annually. It is located in one of the largest remaining standing freight depots, built in 1905 at 530 West Avenue. Its popular excursions include Day Out with Thomas, Polar Express, and Autumn Adventures which include rides to Lockport on vintage train cars from the mid-twentieth century.

Hart House Hotel

The Hart House Hotel is a European-inspired boutique hotel at 113 West Center Street. The historic building, which began as Medina's premier hotel, then housed the Newell Shirt Factory, has gone through a series of renovations and now offers a unique downtown lodging option. It has several themed rooms and on-site amenities including The Shirt Factory cocktail bar, an outdoor courtyard space, and an art gallery.

Farmers' Market

The Canal Village Farmers' Market is one of Western New York's premier farmers' markets featuring fresh-harvested, locally-grown produce and other goods. The market runs on Saturdays at 127 West Center Street in the summer (June through October) and out of the building at 345 Main Street in the winter (November through May).

Downtown Programming

Every year, Medina offers a unique slate of downtown programming, with something for everyone. Notable events include the Blue Thursdays summer concert series at State Street Park, Cruise Nights at the Canal Basin, Santa's North Pole at Rotary Park, and the Canal Village Farmers' Market, among others. The planned Medina Art Triennial is expected to bring in upwards of 30,000 visitors per installment, with the first installment beginning in 2025.

!

Downtown Medina is a unique destination. Here are some things that make downtown special and could be enhanced to make it better.

01   Medina has a strong downtown character due to its historic building stock.

02   Medina has a wealth of historic, cultural, and natural resources to attract visitors, such as the Erie Canal and the Main Street Historic District.

03   The canal is central to Medina's history, economy, and identity.

04   The Canal Basin public space is unique but underutilized.

Key Findings

Based on the preceding inventory and analysis, three key findings were identified to summarize the NY Forward Study Area's major opportunities and challenges.

The three focus areas that emerged as critically important to downtown revitalization are: housing, tourism, and the canal. Each focus area is explained in more detail on the following pages. The key findings from these focus areas were used to inform the development of revitalization strategies and to guide the evaluation of projects. Each project recommended in Section 4 advances the focus areas in some way. Investment through the NY Forward Program represents a significant opportunity to leverage opportunities, address challenges, and bring revitalization to downtown Medina in the areas most impactful to its future.

1

Housing

Downtown Medina needs to expand and upgrade its housing supply to attract new and retain existing residents.

An aging housing stock and the limited diversity of available units contribute to a mismatch between the types of housing units available downtown and those in demand. Rehabilitating the upper floors of downtown buildings for residential use and modernizing existing units can help increase the supply of available and attractive units, activate Main Street, and bring new residents to downtown Medina.

2

Tourism

Downtown Medina has strong potential to establish itself as a premier historic, cultural, and recreation destination.

Medina is growing as a popular destination for all types of tourists due to its strong foundation of existing assets and wide array of unique event offerings. Significant potential exists for Medina to strengthen its reputation for recreational tourism along the canal and to brand itself is a hub for arts and culture, especially by leveraging the planned establishment of the Medina Art Triennial.

3

The Canal

Downtown Medina would benefit from enhancing the relationship between downtown and the waterfront.

Downtown Medina and the Erie Canal have always been linked. Significant opportunity exists to strengthen the connection between downtown and the waterfront, improve waterfront areas like the Canal Basin, and promote recreational tourism along the canal. With targeted improvements, Medina can achieve its vision of becoming a premier destination along the Erie Canal.

Households vs. Unit Size

Comparison of household size (number of people) to unit size (number of bedrooms), Study Area 2021

	1	2	3	4
Household size	23%	30%	17%	17%
Unit size	10%	17%	38%	27%

■ Household size (people)   ■ Unit size (bedrooms)
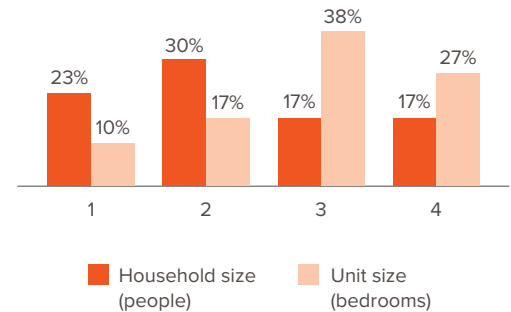
Source: U.S. Census

Age of Housing Stock

Percentage of units 84 years or older in the Study Area, Village, and County, 2021

Study Area 74%   Village 66%   County 44%

■ Share of units 84 years or older

Source: U.S. Census

1

Housing

Downtown Medina needs to expand and upgrade its housing supply to attract new and retain existing residents.

Housing in Medina Today

A number of factors contribute to the mismatch between supply and demand in downtown Medina's housing market. Some of these factors include the limited diversity of available units, the age of the housing stock, and the need to rehabilitate units before bringing them on-line.

Mismatch Between Unit Size and Demand

The share of one- and two-person households in the Village (53%) is almost two times higher than the share of one- and two-bedroom housing units (27%). This suggests that there are not enough one- and two-bedroom units in the Village, given demand.

Housing Vacancy Trends

Vacancy rates from 2000 to 2023 and projected vacancy rates through 2028

Study Area
County
Village
Healthy range
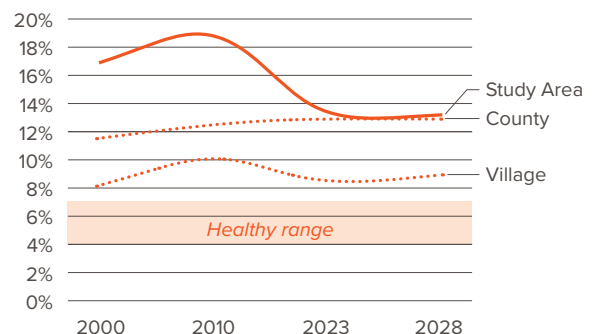
Source: U.S. Census, ESRI projections

Older Housing Stock

The largest share (74%) of housing units in the Study Area are at least 80-plus years old. While the older housing stock undoubtedly contributes to Medina's historic character, these older units may require interior renovations to upgrade them to modern standards, support handicap accessibility to the upper floors, and increase their desirability to a broader population, especially young people.

High Vacancy

Another indication that area housing units are in need of repair or rehabilitation is that 60% of Village units are vacant for reasons other than being unoccupied or being used for seasonal use. When units are vacant for reasons other than those mentioned above, they are oftentimes vacant because they are being renovated or because they require renovation before being put on the market.

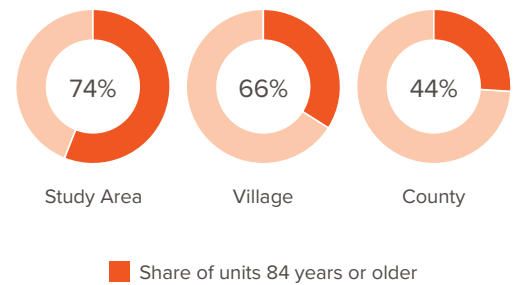This type of vacancy contributes to an overall vacancy rate of 13% in the Study Area. This vacancy rate is high. In general, a vacancy rate between 4% and 7% is an indicator of balanced supply and demand in the housing market.

The Future of Housing in Medina

Housing vacancy, though high, has been steadily decreasing in the Study Area, signaling a resurgence of interest in living in downtown Medina. This interest is likely fueled in part by the Study Area's large share of younger residents – a population that often prefers the lifestyle, walkability, and smaller-scale units of downtown living. Investment in rehabilitating and modernizing Medina's downtown housing stock can help attract this demographic as well as a broader population. Diversifying the types of units available, particularly expanding the number of one- and two-bedroom units and varying price-points can help make downtown Medina an attractive and livable option for all.

!

What these findings mean for downtown revitalization:

01 Increase the supply of one- and two-bedroom units downtown.

02 Rehabilitate upper stories of downtown buildings for residential use.

03 Invest in rehabilitating and modernizing existing units.

04 Diversify types of offerings and price-points to attract a broad population.

2

Tourism

Downtown Medina has strong potential to establish itself as a premier historic, cultural, and recreation destination.

Tourism in Medina Today

In recent years, Medina has begun to grow as a popular tourist spot. Its variety of events, local restaurants and businesses, and small-town charm have wide-ranging appeal.

A Strong and Growing Foundation

The Village is home to numerous attractions including the Erie Canal and the Medina Railroad Museum, among others. The Village also hosts a number of events each year including the Blue Thursdays summer concert series, the Canal Village Farmers' Market, and a variety of others. Medina offers several unique downtown lodging options including the Bunkhaus Apartments hostel, the Hart House

Tourism Spending

Amount of money spent by visitors in the region (including hotel bookings, fuel purchases, and other visitor expenditures) in 2021, averaged per resident
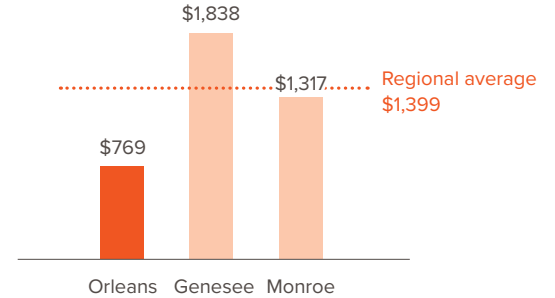
Source: NYS ESD

Recreation Spending

Amount of money spent by visitors on recreational activities in the region in 2021, averaged per resident
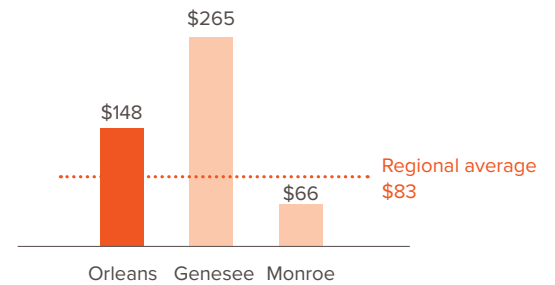
Source: NYS ESD

Bed Taxes Collected

Total bed tax collected in Orleans County, 2020 through 2022
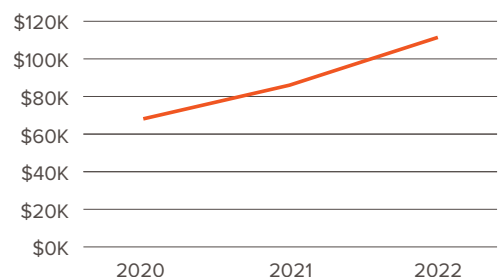
Source: Orleans County Treasurer's Office

Hotel (a European-style boutique hotel), and the upscale Bent's Opera House. Other hospitality services, like local restaurants, shopping options, and entertainment also support downtown tourism.

Untapped Potential

Orleans County saw sustained tourism growth through the pandemic, growing the amount of bed taxes (taxes charged by hotels) collected by 26% from 2020 to 2021 and another 29% from 2021 to 2022. This trend signals increasing visitor interest in Orleans County, much of which can likely be attributed to Medina.

While tourism in Orleans County is growing, the county still lags behind the Finger Lakes Region and neighboring Genesee and Monroe counties when it comes to the amount of money visitors spend on lodging and other visitor expenditures. Per resident, visitors spent an average of $769 in Orleans County in 2021, almost half as much as the regional average of $1,399 per resident. Opportunity exists here to capture a larger share of the regional tourism economy by leveraging Medina's assets and strengthening its reputation as a tourism destination. A particular niche exists for Medina in recreational tourism. In 2021, visitors to Orleans County outspent the regional average ($83 per resident) on recreational activities, spending $148 per resident on average.

New York State also sees potential in Medina to become an arts destination, and is investing millions to establish an Art Triennial in Medina beginning in 2025.

The Future of Tourism in Medina

Medina is well-positioned to establish itself as a premier, must-see destination on the Erie Canal. A strong foundation of existing tourism drivers and a supportive network of hospitality services already exist downtown. Strategic investment in supporting these existing assets, expanding lodging and business options, and diversifying programming will further strengthen Medina as a hub for arts, cultural, and recreational tourism, attract visitors, and strengthen the local economy.

!

What these findings mean for downtown revitalization:

01 Support recreational tourism along the canal.

02 Better connect downtown and the waterfront.

03 Brand downtown as a hub for arts, culture, and history.

04 Expand downtown programming and special events.

05 Leverage planned investments in the Medina Art Triennial.

3

The Canal

Downtown Medina can better leverage the canal and improve connections between downtown and the waterfront.

The Canal in Medina Today

Medina is strongly rooted as a canal community. Today, the canal remains as important to Medina's identity, economy, and culture as it was at the Village's founding, but targeted improvements could make it even better.

A Gem on the Canal in Orleans County

Medina is the most visited canal community in Orleans County, bringing in an estimated 36,000 canal visitors each year, or an average of 99 visitors per day. Medina is extremely popular with boaters and cyclists, the two user groups that spend the most per trip on average when visiting the canal ($865 per

Annual Canal Use in Medina

Estimated annual use of the Erie Canal Heritage Trail in Medina, based on trail counts from July 2022 through December 2022

36,000 annual use

Source: NYSCC

Seasonal Canal Use in Medina

Average daily Erie Canal Heritage Trail use during the summer and fall/winter/spring seasons in Medina, based on trail counts from July 2022 through December 2022

	Daily Average	Weekday Average	Weekend Average
Summer	207	213	194
Fall/winter/spring	46	45	50

■ Summer   ■ Fall/winter/spring
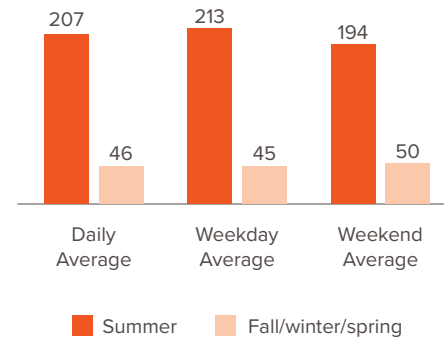
Source: NYSCC

Regional Canal Use

Estimated average annual use of the Erie Canal Heritage Trail in regional canal communities, based on trail counts from July 2022 through December 2022

Gasport	Medina	Albion	Holley	Brockport
26,000	36,000	24,000	30,000	54,000
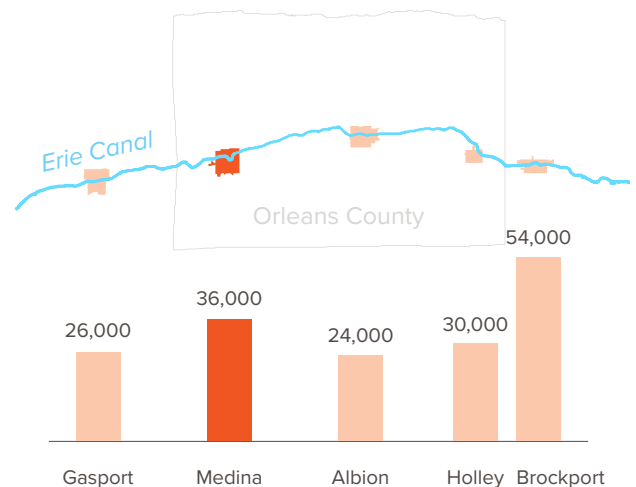
Source: NYSCC

trip for boaters and $563 per trip for cyclists). With targeted investment from the NY Forward Program, Medina can lean into its identity as a canal community and establish itself as a premier destination along the canal not only in Orleans County but also in all of Western New York and the Finger Lakes.

Disconnected Downtown and Waterfront

While the history, development, and growth of downtown Medina are inextricably linked to the Erie Canal, today, downtown and the waterfront feel disconnected. The canal feels hidden behind Main Street buildings and signage to the canal from other parts of downtown, including from public parking lots, is limited. Opportunity exists to expand access to the canal, both physically and visually, and to improve pedestrian and multi-modal connections to the waterfront.

Untapped Potential at the Canal Basin

A major area of opportunity for improvement is the Canal Basin, a unique but underutilized feature of downtown Medina's waterfront. Today, the Canal Basin is mostly a parking area with small pockets of green space and limited access to the water that would benefit from better formalization. Many of the rear facades that front onto the Canal Basin are unsightly and could use improvement. With strategic investment and a strong design vision, the Canal Basin has significant potential to transform into a gateway feature for Medina that creates a bridge between the waterfront and downtown.

The Future of the Canal in Medina

Medina has the potential to become a premier, must-stop destination on the Erie Canal. By building on recent momentum, leveraging existing assets, and targeting investment in areas that need improvement, Medina can improve its waterfront, leverage the canal as a tourist destination, and bring more visitors downtown.

Length of Visit

Length of visit for recent visitors to the Erie Canal (statewide), based on a survey conducted in 2017

Day-trip **43%**

2 to 3 days **32%**

4 to 6 days **14%**

7+ days **11%**
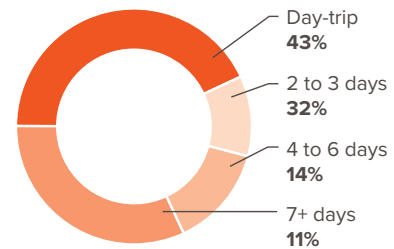
Source: Level 7 Market Research

Average Visitor Spending

Average amount spent per trip on food, lodging, and entertainment for different types of visitors to the Erie Canal (statewide), based on a survey conducted in 2017

$865

$764

$563 $542

Average

$513

$450

$357

$106

Day-trippers
Multi-day visitors
Boaters
Cyclists
Paddlers
Sightseers
Trail users
Festival goers
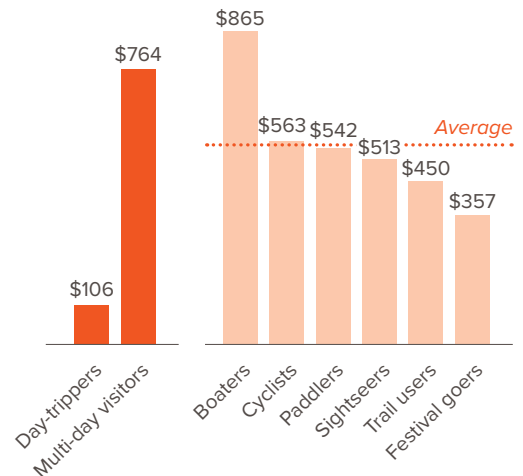
Source: Level 7 Market Research

Place of Lodging

Place of lodging for overnight stays for recent visitors to the Erie Canal (statewide), based on a survey conducted in 2017

55%

18%

14%

13%

Hotel
Boat
Campground
B&B
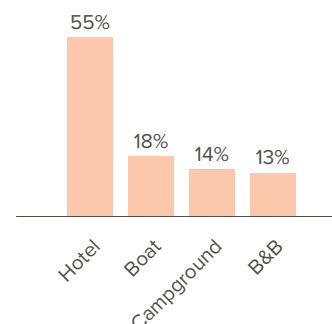
Source: Level 7 Market Research

Building on Recent Efforts and Investment

The Village and the State recognize the importance of the canal to Medina. Considerable planning was involved in the development of the recently adopted Local Waterfront Revitalization Program (LWRP). Investment through the NY Forward Program will begin to carry forward some of the recommendations included in this plan. It will also leverage planned investment from NYPA and the NYSCC in improving the Erie Canal Heritage Trail on the north side of the canal.

Canal Basin as a Waterfront Gateway

One of strongest recommendations in the LWRP is a long-range vision to transform the Canal Basin into a waterfront gateway. Investment through the NY Forward Program provides the opportunity to begin a phased approach to implementing this vision. This waterfront gateway would create a feature in Medina that is unique among canal communities, and would strengthen Medina as a must-stop destination on the canal.

Extending Length of Stay

Multi-day visitors to the Erie Canal spend on average seven times more than day-trippers ($764 for multi-day visitors compared to $106 for day-trippers). This underscores the importance of providing the kind of complementary services, like lodging, dining, shopping, and programming, that keep visitors in Medina longer and make them want to come back.

Importance of Lodging

Lodging is particularly important for attracting multi-day visitors. Statewide, multi-day visitors to the Erie Canal are most likely to stay overnight in hotels (55%). Continuing to invest in downtown hotels, like the Hart House Hotel and Bent's Opera House, can help bring more extended-stay visitors to Medina.

Top Activities for Canal Visitors

Top activities that visitors to the canal look for in nearby communities, based on a survey conducted in 2017

66% Dining at local restaurants

60% Visiting historic/cultural sites

53% Shopping in local communities

43% Hiking the Erie Canal Heritage Trail

35% Tour boat or dinner cruise

35% Biking the Erie Canal Heritage Trail

31% Attending a festival

29% Beer/wine tour

22% Visiting a marina

22% Canoeing or kayaking

14% Birdwatching

13% Fishing

11% Camping
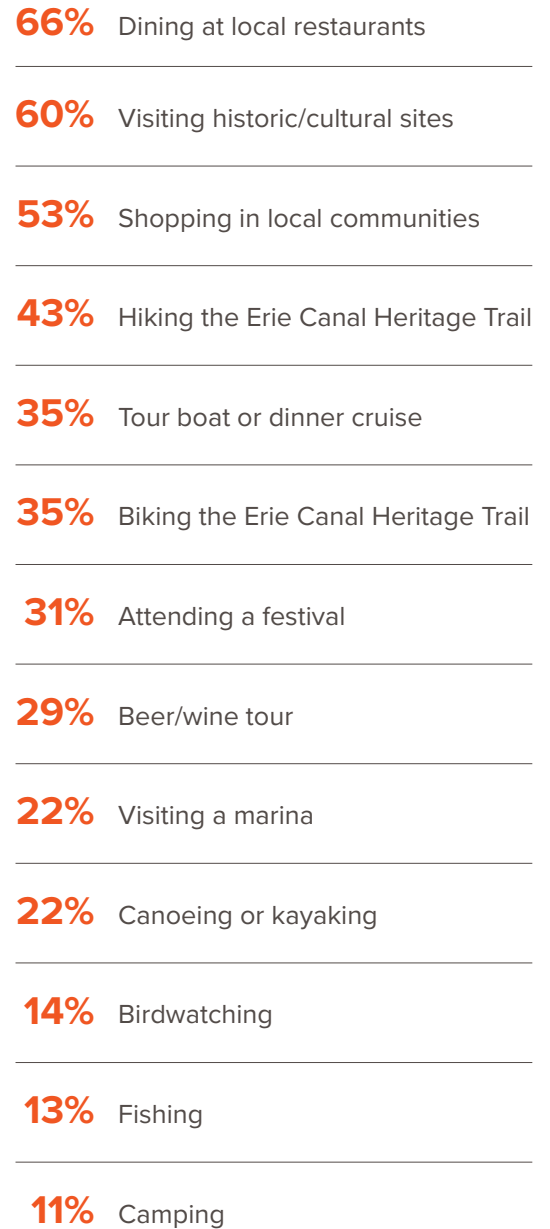
Source: Level 7 Market Research

Overnighting on boats (18%) follows hotel stays as the next most popular lodging option for visitors to the canal. The Canal Basin and its existing boat slips uniquely position Medina as an ideal spot for overnighting boaters. Additional investments in enhancing the Canal Basin, providing more amenities for boaters and other visitors, and better connecting the basin to downtown can transform the Canal Basin into a true waterfront gateway and destination.

Another top lodging option for canal visitors is bed and breakfasts (13%). Investing in bed and breakfast and other short-term rental options can diversify and expand lodging options close to the canal and keep visitors downtown.

Providing Complementary Amenities

Visitors to the Erie Canal often explore other amenities in the canal communities they visit. Top activities for canal visitors include dining at local restaurants (66%), visiting historical or cultural sites (60%), and shopping in local communities (53%). Medina has strong assets in many of these areas already, but these findings underscore the importance of leveraging these assets, continuing to support local businesses, and celebrating Medina's history and culture.

!

What these findings mean for downtown revitalization:

01 Transform the Canal Basin into a waterfront gateway.

02 Improve connections between downtown and the waterfront.

03 Bring visitors downtown to dine, shop, and explore.

04 Expand downtown lodging options.

05 Provide amenities and services that keep visitors in Medina longer.

HCR Administrative Plan for Small Project Funds

The following is an abbreviated HCR Administrative Plan for Small Project Funds. The Administrative Plan sets out eligible and ineligible activities, project development, procurement, and reimbursement procedures for these types of funds. This information will be useful for the consultant team and project sponsors in determining if the project sponsor has the capacity to manage such a project and ensuring that project sponsors understand the process for administering these projects.

New York State Downtown Revitalization Initiative
Small Project Fund
Program and Administrative Requirements

"Local Program Administrator (LPA)" refers to the recipient organization of the Downtown Revitalization Initiative (DRI) Fund, administered by the Housing Trust Fund Corporation (HTFC).

1. Program Development

1.a. Administrative Structure
- A consultant will be procured to assist in project management and grant administration tasks.

1.b. Eligible Activities
- *Building Renovation*: interior and exterior building renovations for commercial and mixed-use spaces, e.g. façade/storefront renovations, signage & awnings, commercial interior fit-out, upper-story residential improvements or creation, HVAC, MEP, and other permanent building improvements
- *Business Assistance*: permanent commercial machinery and equipment
- *Public Art*: design, production, and installation of murals, sculptures, or other significant permanent installations
- *Soft Costs:* Architecture, Engineering or Environmental Testing expenses. Allocated on a per-project basis and require matching funds.

1.c. Ineligible Activities
- Ineligible uses of funds include: acquisition costs; improvements to structures owned by religious or private membership-based organizations; improvements to municipally owned and municipally operated buildings; furnishings, appliances, electronics, tools, disposable supplies, small business equipment, non-permanent fixtures, temporary artwork.
- Funds may not be used for site work or ancillary activities on a property including but not limited to: septic systems/laterals, grading, parking lots, sidewalks, patios, decks, garages, sheds, landscaping, fences, free standing signs, general maintenance or repairs.
- Ineligible business activities include: inventory, rent or lease expenses, working capital or other undefined expenses that do not sustain business operations.
- Funds cannot be used for participant, participant's family or participant's staff labor. In-kind labor and the reimbursement for materials only is also not eligible.

1.d. Activity Limits and Match Requirements
- HCR will set activity limits and match requirement parameters based upon proposed eligible activities
- Matching requirements are based on the total eligible project cost.
- In-kind match is not eligible.

1.e. Marketing, Application for Funding, Project Review, Selection Process
- LPA's are required to develop an application for funding and market the application for a specified time period. Any projects identified in the strategic plan must apply during the open round.
- A project selection committee will review applications and score based on project selection criteria defined in the Administrative Plan to ensure a competitive and fair process.
- LPA's should have a formal, written conflict of interest policy to ensure there is no actual or perceived conflict in the selection and award process. Elected officials may not participate in the selection committee, receive DRI funding for a project, or participate as a contractor. A conflict may also be present if an applicant is or related to an employee, officer, board member, or project review committee member.
- Property/business owners are responsible for the total cost of the project prior to grant reimbursement. Proof of available financing through cash in bank, secured loan commitments, and/or project lines of credit should be provided at the time of application to demonstrate financial capacity and readiness.
- For Public Art programs, project sites should be identified first, then an RFP released for artists.

1.f. Housing Trust Fund Corporation Approval
- LPA's should provide a list of proposed awards with address, project name, and scope to review with HTFC prior to formally awarding projects.

2. Project Development

2.a. Environmental Review
- Following grant agreement execution and prior to the commitment or expenditure of DRI program funds, LPA's must complete an environmental review of the full DRI area. HTFC will issue a notice to proceed following the submission of complete and accurate Environmental Review documents. Some compliance areas include:
  - Historic Resources - State Historic Preservation Office (SHPO)
  - Site Contamination (beyond asbestos, lead, radon)
  - Zoning
  - Floodplains + Wetlands
  - Endangered Species

2.b. Procurement & Bidding
- The LPA will complete a procurement process for all activities to be reimbursed with DRI funds. A minimum of two bids or proposals will be obtained and reviewed for all project costs, including but not limited to purchases, professional service activities, and renovation. This process is required to establish the reasonableness of project costs.
- LPA's can establish a list of contractors able to perform work in compliance with applicable standards to ensure a smoother bidding process.
- LPA's are required to comply with Articles 15-A and 17-B of the New York State Executive Law. This includes documenting all outreach to M/BWE firms during the bidding process as proof of "good faith efforts".
- Conflict of Interest: A contractor cannot receive DRI funds for work done on property that he or she owns, or a property that is owned by an immediate family member
- The LPA is responsible for issuing all RFP's and all responses and bids must be submitted to the LPA directly, not the property owner.
- All participating contractors must supply references and proof of proper insurance. Proof of insurance must include general liability coverage in a minimum amount of one million dollars and workers' compensation coverage.

2.c. Contracting Procedures
- The LPA must enter into a contract with the property owner prior to the formal commitment of funds. The contract should specify program rules and regulations and property owner responsibilities.

2.d Construction Monitoring
- LPA's are required to complete a final inspection or review of each participating project. A final inspection report must be submitted with the reimbursement request.

2.e Reimbursement
- Payment will be made only upon completion of projects.
- Any costs incurred before the Fund award date are not eligible for reimbursement.
- The LPA must collect the following documentation from property owners for all reimbursement requests: copies of invoices, payment documentation including cancelled checks or bank statements, final inspection reports, environmental clearances, other necessary documentation to substantiate work costs.

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Project Evaluation Worksheets

The project evaluation guides from the following DRI 5 communities are examples of how consultant teams helped LPCs evaluate projects during the planning process.

- Newark
- Massena
- Amityville
- Tannersville
- Broadway-Fillmore, Buffalo

DOWNTOWN REVITALIZATION INITIATIVE

VILLAGE OF NEWARK

Finger Lakes Regional Economic Development Council

Project Evaluation Guide

NEW YORK STATE OF OPPORTUNITY. | Downtown Revitalization Initiative

The Village of Newark Downtown Revitalization Initiative (DRI) Local Planning Committee (LPC) is tasked with reviewing and evaluating a slate of projects for inclusion in the DRI Strategic Investment Plan. Therefore, the Committee is asked to provide their initial "screening" on whether each project 1) meets the vision, goals and strategies established by the LPC; 2) is consistent with the RFP Criteria; and 3) has the potential to be catalytic by transforming downtown and providing spin-off benefits. A fourth factor, level of public support, will be added later after future public meetings.

INSTRUCTIONS

The DRI consultant team has provided a project profile for each project. Please use this information as you review and evaluate each project to assess whether the project has a high, medium, or low impact for each criterion. If you require additional information or need help with the forms, please contact Derik Kane at (716) 551-6230, or dkane@labellpc.com, from the consultant team.

The criteria the Consultant Team would like the LPC to consider regarding impact are:

1.) GOALS: Does the project advance each LPC DRI Goal? (see pages 2-3)

- **High:** Large majority of strategies/overall goal met
- **Moderate:** Most strategies/overall goal met
- **Low:** No strategies or overall goal met

2.) RFP CRITERIA: The project is consistent with the RFP Criteria (see page 4)

- **High:** Yes, it meets the primary criterion
- **Moderate:** Meets the spirit of the criterion
- **Low:** It does not meet the criterion

3.) CATALYTIC POTENTIAL:

Catalytic potential refers to how one project can provide synergistic and long-term impacts on Downtown Newark, Wayne County, and the Finger Lakes region. While LPC members may have some subjective opinions on what they consider to be transformative, some factors may include, but not be limited to: Level of investment, number of permanent jobs, size of the project, "spin off" impacts of the project (i.e., creates additional spending, jobs, or visitors in the community), meets multiple strategies or goals, synergy with other potential DRI projects (i.e., tourism uses and hotel visitors), adjacency with other projects creating a "critical mass" of development/economic activity, significant visual impact, and a project that will become an "anchor" in the community.

- **High:** Very significant projects that will transform the long-term viability of downtown and attract additional development downtown.
- **Moderate:** Moderately significant projects that will provide economic or community benefits to advance downtown revitalization and either add to the momentum of Downtown revitalization or complement other DRI projects.
- **Low:** The project does not provide any or little overall economic or community benefits that will advance downtown revitalization.

You can simply enter your preliminary evaluation of each project using the fillable LPC DRI Project Evaluation Form with a check or "X" in the appropriate column under each criterion: H (High), M (Moderate), Low (L). An example is provided below using fictitious projects. Please note there is also an abstentions column for conflicts of interest.

	APPLICANT	PROJECT	ADDRESS	TOTAL PROJECT $	GRANT REQUEST $	GOALS			RFP CRITERIA			CATALYST			
						H	M	L	H	M	L	H	M	L	ABSTAIN
1	Application X	Project X	123 Main Street	$1,500,000	$500,000	x				x				x	
2	Application Y	Project Y	456 State Street	$750,000	$750,000										x

VISION, GOALS, AND STRATEGIES

NEWARK DRI
VISION, GOALS, AND STRATEGIES

Downtown Newark and the Erie Canal District will be a **cultural and commercial center to the Finger Lakes region**, serving regional residents, workers, and guests with unique urban vibrancy, blending downtown with the beauty of the surrounding rural landscape and the Erie Canal. As the heartbeat of a **lively, world-class Village**, downtown serves as a destination for those seeking to live in a unique setting, shop and work in a vibrant commercial center, and visit a community **reflective and central to all that the Finger Lakes has to offer.**

REIMAGINE THE CANAL AND PROMOTE TOURISM

- Enhance or develop pedestrian and bike trails along the canal corridor including supportive facilities

- Attract, develop, and grow water-based recreational opportunities including boating and kayaking facilities around the canal

- Provide rental facilities for bikes and kayaks

- Hold year-round events on and near the canal

- Support lodging and tourist facilities downtown

PROMOTE THE HEALTH AND WELLNESS OF THE COMMUNITY

- Provide indoor and outdoor **regional recreational facilities**

- **Develop parks, trails and open spaces** for passive and active recreational opportunities

- Upgrade and **develop medical facilities** to improve the health of citizens

- Support projects to **improve the environment** and **reduce** the community's **carbon footprint**

SUPPORT THE CULTURAL, HISTORIC, AND CULINARY IDENTITY OF THE REGION

- Attract and **support craft food and beverage businesses**

- Hold **year-round events** including concerts, festivals, and recreational activities

- Leverage the County's **agricultural assets** through **agri-tourism** and growth of the **farmers' market**

- Entice **food-based businesses** such as restaurants **to locate and expand** in Downtown Newark

REBUILD AND REPURPOSE DOWNTOWN NEWARK

- **Renovate and redevelop** buildings

- **Repurpose underutilized properties** with new buildings and world-class public spaces

- **Recapture residents** with new income-integrated housing opportunities

- **Revitalize streetscapes** to complement and enhance private and public developments

- **Incubate businesses**

RFP CRITERIA

1. **The project is visually prominent, and the proposed improvements will have a significant visual impact in the DRI target area.** • Are façade improvements included? • Are visual improvements to the rear of the building included? • Are the visual improvements transformative for the Downtown?
2. **Funds will be used to improve upper story residential units.** • How many units impacted? • Are the improvements significant ($ value, beyond maintenance, new layout, etc.)?
3. **The project improvements will improve a historically significant building - architectural historic value and/or relationship to history of the area.** • Will the project promote the building's architectural value? • Does the building have an important historic link to the Downtown?
4. **The project will promote economic development.** • New jobs? • Significant $ investment? • Expansion of a business?
5. **The project improves the Village's Quality of Life** • Expansion of parks & greenspace • Expansion of trail system • Improved parking and circulation
6. **The applicant has proof of other funding, and the project is ready to go.** • Bank Statements? • Letters from banks or other financial institutions or investors? • Estimates received yet? • Consistent with zoning and required permits? • If improving a vacant space is there a tenant in place?
7. **The project improves tourism and builds upon the community's heritage** • Enhances an important heritage site? • Encourages tourism and identification of important sites? • Preserves a historically significant building?
8. **Value to the Downtown** • Is the proposed project's use consistent with zoning? • Will the proposed project increase pedestrian traffic? • Will the proposed project enhance downtown's quality of life and make it more livable?
9. **Was the project included in the DRI Application as a potential project**?

*These criteria were chosen in order to be aligned with those utilized by the State agencies when they make their final determination/selection of projects.

Massena DRI
Project Evaluation
Worksheet

Project ID Number: _____   **Project Name:** _____

Instructions: The following worksheet is intended to assist the LPC in further refining the DRI projects list. To the extent you can, please complete and be prepared to discuss for each project. Note that not all criteria listed below may be ready for evaluation at this stage of the process but may be considerations moving forward. Criteria are based on guidance for decision-making provided by state partners.

	Evaluation Criteria	Evaluation Assessment		
1	**Alignment with DRI Vision**	Yes____	No____	Need More Info____
2	**Alignment with existing local and regional plans**	Yes____	No____	Need More Info____
3	**Alignment with ongoing activities**	Yes____	No____	Need More Info____
4	**Transformative potential:** *Project contains elements that fundamentally change the downtown and how it is perceived*	High____	Moderate____	Low____
5	**Catalytic potential:** *The ability to make other things happen*	High____	Moderate____	Low____
6	**Market demand and economic feasibility**	High____	Moderate____	Low____
7	**Ability to provide a sustainable impact in the downtown**	High____	Moderate____	Low____
8	**Estimated project costs:** *Including cost to public and private sector partners and long term operating or maintenance cost implications*			
9	**Need for DRI funds to make the project feasible**	Yes____	No____	Need More Info____
10	**Potential to leverage additional private and/or public funds**	High____	Moderate____	Low____
11	**Availability of alternative funding sources that are more appropriate than the DRI award**	Yes____	No____	Need More Info____
12	**Anticipated community and economic benefits**	Yes____	No____	Need More Info____
13	**Estimated impacts on tax revenue**	High____	Moderate____	Low____
14	**Estimated job growth and retention**	Yes____	No____	NA____

Evaluation Criteria	Evaluation Assessment		
15	**Employment and workforce development potential**	High___	Moderate___	Low___
16	**Level of public support**	High___	Moderate___	Low___
17	**Project readiness / Ability to Implement quickly upon award**	High___	Moderate___	Low___
	Anticipated timeframe for implementation acceptable for DRI			
18	**Site control issues**	Yes___	No___	Need More Info___
	If yes, potential for resolution	Yes___	No___	Need More Info___
19	**Any regulatory challenges that may hinder implementation and need to be addressed?**	Yes___	No___	Need More Info___
20	**Capacity of responsible parties to implement the project or initiative**	High___	Moderate___	Low___
21	**Will ongoing maintenance or management be needed and can be realistically addressed?**	Yes___	No___	Need More Info___
22	**Existing local capacity to sustain the implementation of projects and initiatives**	High___	Moderate___	Low___
23	**Project includes environmental sustainability component(s)**	Yes___	No___	Need More Info___
24	**Project includes Decarbonization component(s)**	Yes___	No___	Need More Info___
25	**Project includes housing component(s)**	Yes___	No___	Need More Info___

Discussion Notes:

Evaluation Summary / Recommendation to LPC (select one)

Project Ready to Advance:___

Project Needs More Information:___

Project Not for DRI (not ready/ other funding sources available):___

EVALUATION CRITERIA WORKSHEET

Project No / Name	23 / 24 BACCA Dedicate Space + Amityville Gateway 210-214 Broadway

State Goals and Criteria Alignment				
1. Alignment with State Goals / Criteria	High	Med	Low	NA
Community Goals Alignment				
2. Alignment with DRI Vision Statement and Goals	High	Med	Low	NA
Project Readiness				
3. Implementation within near term ~2 years	High	Med	Low	NA
4. Sponsor / owner capacity and capability	High	Med	Low	NA
Catalytic Effect				
5. Transformative impact on revitalization	High	Med	Low	NA
6. Potential to attract new investment	High	Med	Low	NA
Co-Benefits				
7. Generates economic activity, tax revenue, and new jobs / employment	High	Med	Low	NA
8. Improves quality of life, sustainability, and healthier environment	High	Med	Low	NA
Cost Effectiveness				
9. Represents effective and efficient use of DRI funds / responds to market needs	High	Med	Low	NA
10. Need for funds in order to advance project	High	Med	Low	NA

Recommendation (select one)	☐ A. Project should be recommended for DRI ☐ B. Project could be recommended but additional details needed ☐ C. Project has support but is not ready / may not be ready for DRI ☐ D. Project does not have support / not recommended for DRI
Comments / Questions	

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

The Tannersville Local Planning Committee (LPC) is tasked with reviewing potential DRI projects and assessing how well they advance Tannersville's DRI goals. The LPC will seek to maximize the impact of DRI investment by recommending projects for DRI funding that have the greatest benefit to the community, are primed for implementation, and enjoy broad public support. The LPC should look to prioritize *transformational projects* that present the strongest likelihood of jump-starting downtown revitalization and investment in the community.

Committee Member Instructions

The objective of this exercise is for LPC members to evaluate which projects should be considered for DRI funding. On the following pages, the projects are organized according to the four DRI goals. LPC members should review information provided about each project to consider the relative impact of each project. The objective of this exercise is to provide *qualitative guidance* on the potential economic and community benefits that each project could provide. This exercise is a tool to spur discussion, NOT a final vote. If you have comments, questions, or need additional information about particular projects, make a note in this document so that we can discuss collectively what details still need to be formed.

The Project Evaluation Template is organized around five questions for considering potential DRI projects:

1. **Does this project meet the state and local DRI goals?**

Consider how well each project aligns with the state's DRI goals as well as the goals established by the LPC:

Goal 1. Create workforce housing opportunities, supported by residential amenities, to allow people who work within the region to call the Village home or stay in the community.

Goal 2. Strengthen Tannersville as a regional shopping, dining, and arts destination, with a diverse range of offerings that supports tourism as well as local jobs.

Goal 3. Leverage connections between the downtown core and recreational and scenic resources in Tannersville and the region, and enhance the downtown sense of place for residents and visitors alike.

Goal 4. Establish Tannersville as an environmental leader, through initiatives such as renewable energy, green infrastructure and buildings, and provision of fresh food.

2. **Does the project meet the State's basic criteria?**

   - Projects must be able to break ground within two years or sooner.
   - DRI contribution must be at least $100,000
   - Fully residential projects must include at least 8 units and an affordable component.
   - Maximum DRI contribution is 40% of privately sponsored projects (except as below).
   - Leveraging for public and not-for-profit projects is strongly encouraged.
   - LPC may set matching requirements for public and not-for-profit projects, including a loan/grant fund.

3. **Is the project ready to be implemented?**

The DRI program prioritizes projects that can be implemented in the next couple of years. Issues for consideration:

   - Is the project technically feasible?
   - Does it meet regulatory and permitting requirements?
   - Are there any 'real property constraints' or questions about site control?
   - Can the project be implemented, operated, and sustained at the local level?
   - Can it be implemented in the short- to mid-term?

4. **Does the project have the potential to create a catalytic effect?**

Consider whether each project has the potential to transform downtown. Projects that are likely to attract additional economic development activities should be rated more highly than projects that aren't likely to encourage secondary investment or additional private development.

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

5. **Does the project have co-benefits?**

Think about other benefits that each project could provide for the community, such as increased tax revenue, number of jobs created, sustainability and environmental benefits, significant decarbonization goals, improved urban design, historic preservation, or other co-benefits.

6. **Is the project cost-effective?**

Consider whether you think each project is an effective and efficient use of public resources and Tannersville's limited DRI funds.

Explanation of the Project Evaluation Template

For this evaluation exercise, there will be two tables to be filled in. The top table provides a list of the projects that have the most potential to be funded through the DRI program. The bottom table provides a list of projects that, upon first review, look like they either may not quite be ready for the DRI program, or may not be eligible.

Directions for the top table: Each project should be answered with a *yes, no or maybe* to compare projects for each of the five questions. An answer with a "yes" indicates that you think the project rates well within that category (i.e., many co-benefits), an answer with a "maybe" signifies it is more or less complete (i.e., potential co-benefits), and an answer with a "no" means it scores poorly (i.e., few co-benefits). Please fill in all five questions for each project.

Directions for the bottom table: For the following projects, provide any relevant comments you may have about the projects that are not ready or not eligible for DRI funding.

At this stage, the analysis is very qualitative. Potential DRI projects will be analyzed in greater detail after the LPC provides this initial evaluation. **We will use these forms to guide discussion about projects at the next LPC meeting on May 9, 2022.**

Projects marked with an asterisk (*) were submitted via the Open Call.

Potential DRI Projects

Project Name	Does this project meet State and Local Goals?	Is this project ready to be implemented?	Does this project create a catalytic effect?	Does this project have co-benefits?	Is this project cost effective?
Ex. 1 Example Project 1	Maybe	Yes	No	No	Maybe
Ex. 2 Example Project 2	Yes	Maybe	Yes	Yes	Maybe
Ex. 3 Example Project 3	Yes	Yes	Maybe	Yes	Yes

Projects that are likely not eligible or ready for DRI funding

Project Name	Comments
Ex. 1 Example Project 1	Add your comments here...
Ex. 2 Example Project 2	Add your comments here...
Ex. 3 Example Project 3	Add your comments here...

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

Potential DRI Projects

	Project Name	Does this project meet State and Local Goals?	Is this project ready to be implemented?	Does this project create a catalytic effect?	Does this project have co-benefits?	Is this project cost effective?
*1A	Spruce Street Affordable Housing Project					
*1B	Rip Van Winkle Building Mixed Use and Townhomes					
*1C	Country K Mixed Use					

Projects that are likely not eligible or ready for DRI funding

	Project Name	Comments
*1D	The Mansion House at Alfie's Renovation and Apartments	

Notes and Comments

Instructions:
For each of the five questions above, answer how well the potential DRI projects fulfill the questions with the following answers: yes, maybe, or no.

For example, if a project is shovel-ready, you may answer it as a "yes" under the second question for project readiness. By contrast, if you think a project is not at all feasible, it may receive a "no" for that criteria.

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

Potential DRI Projects

	Project Name	Does this project meet State and Local Goals?	Is this project ready to be implemented?	Does this project create a catalytic effect?	Does this project have co-benefits?	Is this project cost effective?
*2A	Orpheum Performing Arts Center Upgrades and Expansion					
*2B	Painted Village Festival Venue					
*2C	Revitalize Mixed-Use Site at 5950 Main Street					
*2D	Revitalize Mixed-Use Site at 5959 Main Street					
*2E	Revitalize Mixed-Use Site at 5975 Main Street					
*2F	Revitalize Mixed-Use Site at 6062 Main Street					
*2H	Jessie's Harvest House Renovation and Dining Area					
*2I	Tap Room and Short-Term Rentals					
*2J	Astor House Renovation					
*2K	Melour Resort Play Center and Conference Room					
*2M	Dispensary Wellness					
*2N	RV/Motor-Coach Park					
*2Q	Green Mountain View Inn Renovation					
2R	Downtown Improvement Fund					

Instructions:

For each of the five questions above, answer how well the potential DRI projects fulfill the questions with the following answers: yes, maybe, or no.

For example, if a project is shovel-ready, you may answer it as a "yes" under the second question for project readiness. By contrast, if you think a project is not at all feasible, it may receive a "no" for that criteria.

Notes and Comments

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

Continued from previous page

Projects that are likely not eligible or ready for DRI funding

Project Name	Comments
*2G Pancho Villa's Renovation	
*2L Mountain Top Library Projects	
*20 Top Shelf Renovation	
*2P Hospitality Company	

Instructions:
For each of the five questions above, answer how well the potential DRI projects fulfill the questions with the following answers: yes, maybe, or no.

For example, if a project is shovel-ready, you may answer it as a "yes" under the second question for project readiness. By contrast, if you think a project is not at all feasible, it may receive a "no" for that criteria.

Notes and Comments

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

Goal 3: Strengthened Connectivity and Sense of Place

Potential DRI Projects

	Project Name	Does this project meet State and Local Goals?	Is this project ready to be imple- mented?	Does this project create a catalytic effect?	Does this project have co-benefits?	Is this project cost effective?
*3A	Kaaterskill Trolley					
*3B	Village Connectivity Project					
3C	Branding and Wayfinding					

Notes and Comments

Instructions:
For each of the five questions above, answer how well the potential DRI projects fulfill the questions with the following answers: yes, maybe, or no.

For example, if a project is shovel-ready, you may answer it as a "yes" under the second question for project readiness. By contrast, if you think a project is not at all feasible, it may receive a "no" for that criteria.

Village of Tannersville
Downtown Revitalization Initiative

Project Evaluation Template

Goal 4: Environmental Leader

Potential DRI Projects

Project Name	Does this project meet State and Local Goals?	Is this project ready to be implemented?	Does this project create a catalytic effect?	Does this project have co-benefits?	Is this project cost effective?
*4A Fromer Market Expansion					
*4B Municipal Solar					

Notes and Comments

Instructions:
For each of the five questions above, answer how well the potential DRI projects fulfill the questions with the following answers: yes, maybe, or no.

For example, if a project is shovel-ready, you may answer it as a "yes" under the second question for project readiness. By contrast, if you think a project is not at all feasible, it may receive a "no" for that criteria.

Evaluation Criteria

BROADWAY-FILLMORE VISION – SPECIAL URBAN PLACE

The Broadway-Fillmore neighborhood is a special urban place in the City of Buffalo – diverse in population and rich in culture, history, and architecture. Its attractive, safe, and connected public spaces (streets, parks, open spaces and civic buildings), retail-oriented commercial streets, and variety of affordable housing alternatives are supported by multimodal transportation options. Due to its special attributes, the Broadway-Fillmore neighborhood is a desired location for new private investment.

Project Name: _____

Yes	No	maybe	**ALIGNS WITH BROADWAY-FILLMORE DRI GOALS**
			Provide family sustaining wage employment and a range of housing opportunities to residents
			Improve the health of the community, safety, walkability, and mobility of the street network
			Build on the area's diversity and create a vibrant neighborhood that values current residents
			Attract new businesses and economic activity
			Connect the two cultural anchors – the Broadway Market and the Central Terminal
			Preserve historical buildings
Yes	**No**	**maybe**	**ALIGNS WITH STATE DRI GOALS**
			Create an active desirable downtown with a strong sense of place
			Attract new businesses, high-paying jobs, and skilled workers
			Enhance public spaces for arts and cultural events
			Build a diverse population with residents and workers supported by different housing and employment opportunities
			Grow the local property tax base
			Provide amenities to support and enhance downtown living and quality of life
			Incorporate energy efficiency and reduce greenhouse gases (i.e., make more walkable)

Evaluation Criteria

Yes	No	maybe	COMMUNITY SUPPORT
			The project is supported by the community and in line with its DRI vision.
Yes	**No**	**maybe**	**PROJECT READINESS**
			The project is well developed and poised to proceed in the near term in a way that will jumpstart the redevelopment of the neighborhood. The sponsor has the capacity to implement and maintain the project.
Yes	**No**	**maybe**	**CATALYTIC EFFECT**
			The project is likely to have a significant positive impact on the revitalization of the downtown by attracting other public and private investment.
Yes	**No**	**maybe**	**CO-BENEFITS**
			The project will result in secondary benefits to both the community and project developer, beyond the primary goal of the project itself, which will generate additional economic activity, grow the local property tax base, improve quality of life in the neighborhood, and/or result in improved buildings likely to create healthier, more comfortable and productive environments in which to live and work.
Yes	**No**	**maybe**	**COST EFFECTIVENESS**
			There is a demonstrated needs for DRI funds and investment of public DRI funds in the project would represent an effective and efficient use of public resources.

Evaluation Summary / Recommendation to LPC (select one)

Project Ready to Advance:___

Project Needs More Information:___

Project Not for DRI (not ready / other funding sources available):___

Comments:

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