Implementing Our Plans
2017

A Division of Empire State Development
New Government Operating Model

- Agency silos replaced with a single point of contact
- Community-driven rather than a top-down approach to economic development
- Comprehensive, sustainable development that addresses regional needs in a holistic fashion

Regional Economic Development

- Strong partnership among the state, private sector, higher education and communities
- Realistic strategies for regional growth
- Competitive state funding aligned with regional priorities
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Introduction

A cornerstone of Governor Andrew Cuomo’s strategy to jumpstart the economy and create jobs, ten Regional Economic Development Councils (REDCs) were put in place in 2011 to redesign the state’s approach to economic development, replacing a traditional top-down approach. The initiative empowered community, business, and academic leaders and members of the public in each region of the state to develop strategic plans specifically tailored to their region’s unique strengths and resources in order to create jobs and support economic growth.

Communities now determine their own destiny, reflected in strategies developed by the Regional Councils in regional strategic economic development plans, regional economic cluster plans, Upstate Revitalization Initiative plans, and in strategies that address emerging state and regional challenges and opportunities. A brighter future is also being made possible in Western New York through implementation of a region-centric approach, the Buffalo Billion initiative.

To build on the success of the REDC program, the Governor proposes to continue this regional economic development approach with a seventh round of REDC awards with up to $800 million to fund regional priority projects. He is also inviting the REDCs to each nominate another community in Round Two of the Downtown Revitalization Initiative (DRI).

In the first round of DRI 2016, Regional Councils were asked to nominate one downtown from their region best positioned to take advantage of the $10 million in funding provided to each DRI. Response to the initiative was vigorous, with 123 communities seeking to reimagine their downtown areas. Regional Council members joined local officials in co-chairing local efforts, and REDCs supported downtown projects in DRI communities and throughout the region.

Through strategic and coordinated efforts, the Administration is ensuring that opportunities for growth and prosperity extend to all corners of the state. Targeted programs and investments by the state maximize each region’s competitive advantages to foster industry growth and vibrant downtown development. To date, the state has awarded nearly $4.6 billion through six rounds of the Regional Council competition for more than 5,200 projects, and will create and retain more than 210,000 jobs across the state.
10 Regional Councils

Western New York: Allegany, Cattaraugus, Chautauqua, Erie, Niagara
Finger Lakes: Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming, Yates
Southern Tier: Broome, Chemung, Chenango, Delaware, Schuyler, Steuben, Tioga, Tompkins
Central New York: Cayuga, Cortland, Madison, Onondaga, Oswego
Mohawk Valley: Fulton, Herkimer, Montgomery, Oneida, Otsego, Schoharie
North Country: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, St. Lawrence
Mid-Hudson: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester
New York City: Bronx, Kings, New York, Richmond, Queens
Long Island: Nassau, Suffolk
Regional Council Organization

Leadership

The Lieutenant Governor serves as Chair of each Regional Council. She works with each Regional Council to attract and retain business to create much-needed jobs, and address skills gaps to ensure that New Yorkers, particularly in distressed areas, have access to higher-paying jobs.

Regional Co-Chairs, one representing the business community and one from the academic community, lead each Regional Council. Co-Chairs also lead each Regional Council’s Executive Committee.

Regional Council Co-Chairs

Capital Region
James J. Barba, President & CEO, Albany Medical Center
James Stellar, Interim President, University at Albany

Central New York
Rob M. Simpson, President, CenterState CEO
Dr. Danielle Laraque-Arena, President, SUNY Upstate Medical University

Finger Lakes
Danny Wegman, CEO, Wegmans Food Markets
Dr. Anne M. Kress, President, Monroe Community College

Long Island
Kevin Law, President, Long Island Association
Stuart Rabinowitz, President, Hofstra University

Mid-Hudson
Dennis J. Murray, Ph.D., President Emeritus, Marist College

Mohawk Valley
Lawrence T. Gilroy III, President, Gilroy, Kernan & Gilroy, Inc.
Dr. Dustin Swanger, President, Fulton-Montgomery Community College

New York City
Winston Fisher, Partner, Fisher Brothers
Cheryl A. Moore, President & CEO, New York Genome Center

North Country
Anthony G. Collins, Ph.D., President, Clarkson University
Garry Douglas, President, North Country Chamber of Commerce

Southern Tier
Harvey Stenger, President, Binghamton University
Tom Tranter, President & CEO, Corning Enterprises

Western New York
Jeff Belt, President, SolEpoxy, Inc.
Virginia Horvath, President, SUNY Fredonia
Membership

Each Regional Council is made up of regional leaders appointed by the Governor, drawn from a broad spectrum of regional stakeholders representing private business, including small businesses; minority-and women-owned business enterprises (MWBEs); non-profit organizations; chambers of commerce and trade organizations; organized labor; higher education; community-based organizations; and the agricultural community. County and local officials, as well as all other state legislators, serve as nonvoting, ex-officio members and are strongly encouraged to participate. Over 200 persons serve on the Regional Councils.

Work Groups

Regional Councils, which are volunteer organizations, have formed work groups, which are also comprised of volunteers, to help identify and implement the strategies. Work groups allow for greater involvement of regional stakeholders from industries, communities and other groups, and provide an additional forum for sharing ideas and information that will lead to the creation or retention of jobs, and the investment of state resources in the community.

Regional Councils have formed work groups to advance major goals, strategies, and tasks. Over 2,300 volunteers are actively engaged implementing the development strategies through the work groups.

Code of Conduct

The Regional Councils serve in an advisory capacity to the state and transparency and accountability are a top priority. Members all have an interest in the economic development of their region. To prevent any potential issues, a Code of Conduct has been established to ensure no conflict interferes with any member acting in the best interest of New Yorkers.

Among the provisions in the Code of Conduct is a prohibition against members participating in Regional Council discussions or votes where they or a relative has a financial interest in the matter under consideration. To ensure all potential conflicts are avoided, each Regional Council member must fill out a Statement of Interest which requires them to list any and all entities in which they, or members of their immediate family, have a vested interest. In addition, current Regional Council members have received ethics training from Empire State Development counsel, and each new member undergoes training prior to participation in the REDC review process. The Code of Conduct can be found in the back of this guidebook.
2016 Competition
2016 Competition

Regional Strategic Planning Process

Each Regional Council developed a strategic economic development plan in 2011 that emphasized their region’s unique assets and provided strategies to harness local resources, both human and capital, to stimulate regional economic development, and create jobs statewide. Each year since, the plans have been updated to identify projects that support each region’s vision of its economic future.

Plan updates each year also reflect Regional Council plans to address new initiatives at the state level, such as advancing the regional economic cluster; nominating Innovation Hot Spots; developing and advancing regional Opportunity Agendas; and increasing veterans’ participation in the workforce.

In 2016, Regional Councils advanced projects and other actions identified for implementation and identified new strategies, as appropriate, to pursue. Regional Councils were asked to address one major new state priority in their plan updates: support for the Downtown Revitalization Initiative (DRI) planning process and identification of downtown projects to advance the plan for the region and revitalizations efforts region-wide.

Progress reports for each region were submitted in October, and the Regional Councils presented their progress, project priorities, and updates on the ongoing DRI planning process to the Strategic Implementation Assessment Team (SIAT) in Albany.
2016 Competition Criteria

The Strategic Implementation Assessment Team, led by Secretary of State Rossana Rosado, evaluated the progress report. All ten regions were evaluated based on the competition criteria and Regional Council priorities described in the 2016 REDC Guidebook. The focus was on the following areas:

- Support for the Downtown Revitalization Plan and identification of initial projects to implement it
- Implementation of strategies through the project pipeline
- Training of the workforce for today and tomorrow
- Continued advancement of state priorities and regional strategic economic development plans, and identification of projects that implement related strategies, including:
  - The regional economic cluster plan
  - The regional global marketing and export plan
  - The regional Opportunity Agenda
  - Regional hot spots and business incubators
  - SUNY, CUNY, and community college plans
  - Veterans’ participation in the workforce
  - Local government engagement in the Regional Council process
- Measuring the performance and progress of the strategic plan and consolidated funding application (CFA) projects
2016 Awards

All ten regions competed for up to $175 million in capital funds and $70 million in Excelsior Tax Credits for projects identified by the Regional Councils as priorities in their regions. In addition, each region was awarded $10 million to implement projects identified through the Downtown Revitalization Initiative, and projects from all ten regions submitted through the CFA were eligible for over $510 million in other state agency funds.

Five regions were designated as Top Performers and awards of up to $25 million each in ESD Capital Grants: Capital Region, Finger Lakes, Mid-Hudson, Mohawk Valley, and New York City.

Five regions also received awards of up to $10 million each in ESD Capital Grants to help attract and grow business in their regions. They included: Central New York, Long Island, North Country, Southern Tier, and Western New York.

Additionally, each region is eligible for up to an additional $15 million in Excelsior Jobs Program tax credits to help attract and grow businesses in the region.

<table>
<thead>
<tr>
<th>REGION</th>
<th>PROJECTS</th>
<th>AMOUNT</th>
</tr>
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<tbody>
<tr>
<td>Capital Region</td>
<td>116</td>
<td>$83.0 million</td>
</tr>
<tr>
<td>Central New York</td>
<td>77</td>
<td>$62.2 million</td>
</tr>
<tr>
<td>Finger Lakes</td>
<td>97</td>
<td>$80.5 million</td>
</tr>
<tr>
<td>Long Island</td>
<td>101</td>
<td>$62.0 million</td>
</tr>
<tr>
<td>Mid-Hudson</td>
<td>105</td>
<td>$83.3 million</td>
</tr>
<tr>
<td>Mohawk Valley</td>
<td>88</td>
<td>$81.9 million</td>
</tr>
<tr>
<td>New York City</td>
<td>121</td>
<td>$80.2 million</td>
</tr>
<tr>
<td>North Country</td>
<td>77</td>
<td>$61.4 million</td>
</tr>
<tr>
<td>Southern Tier</td>
<td>63</td>
<td>$60.4 million</td>
</tr>
<tr>
<td>Western New York</td>
<td>105</td>
<td>$62.0 million</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>950</strong></td>
<td><strong>$716.9 million</strong></td>
</tr>
</tbody>
</table>

“I continue to believe that the REDC process is a recipe for success, bringing together the key ingredients of economic development, academic advancement of new ideas and products, and development of a workforce across all age groups and socioeconomic strata.”

Secretary of State Rossana Rosado
The Capital Region Regional Economic Development Council (CRREDC) progress has centered on an integrated approach to growing its economy, specifically the regional cluster focused on the Commercialization of Research and Development. To help facilitate this approach in 2016 and early 2017 the CRREDC performed an analysis of the 2011 Strategic Plan and the 2015 URI Capital 20.20 Strategy. The outcome is a strong set of key strategies that will continue to enhance their economic and community development efforts. These key strategies include:

- **Next Tech** – Building off the success within the region’s semiconductor, power generation and life sciences concentrations, as well as other growing high tech sectors.
- **Lift-Off** – Accelerating ideas, entrepreneurs and businesses, the CRREDC will support custom solutions to strengthening the environment that supports R&D innovators, creative economy enterprises, and entrepreneurial spirit.
- **Gateway** – CRREDC plans to facilitate investment in infrastructure to support existing businesses and communities while at the same time supporting the fast growing distribution and logistics concentration. Focused investments include; port infrastructure, waterways, rail, transit and ground transport.
- **Talent** – The CRREDC will leverage strong local assets-including more than 20 institutions of higher learning, committed private sector employers, and innovative K-12 programming to educate the regional workforce in skills that growing clusters require.
- **Metro** - This priority will ensure an integrated portfolio of projects that will catalyze smart, mixed-use development that take a place-based approach to supporting small businesses and tackling blight and connecting these communities to the region’s economic opportunities.

Many ongoing projects support more than one component of the CRREDC’s strategy. One example is the Park South Neighborhood Revitalization project in Albany, which is leveraging support from the City of Albany, Albany Medical Center, and neighborhood stakeholders to produce $250 million in new investment, while addressing concentrated urban poverty.

Downtown revitalization projects were identified in Schenectady, Troy, Albany, and Glens Falls. The DRI selection, the City of Glens Falls, imagines projects ranging from mixed-use development, façade improvements, pedestrian trails, and an integrated food hub with the goal of enhancing Glens Falls’ Arts, Wellness and Entertainment district.

2016 Cluster Project Example:

In 2016 the CRREDC supported an important regional cluster project at P1 Holdings in Schenectady. P1 Holdings primarily serves industrial equipment manufacturers in the energy market, including GE Power Systems located in Schenectady.
The Central New York Regional Economic Development Council (CNYREDC) added the three pillars of economic growth contained in its winning Upstate Revitalization Initiative plan to the strategic goals identified in 2011:

- Invest in Key Growth Drivers;
- Build an Inclusive Economy; and
- Develop Enablers of Prosperity.

The CNYREDC targeted industry cluster of Data to Decisions includes precision medicine, thermal and electronic controls, cybersecurity and information assurance, and unmanned aerial systems (UAS) which saw tangible progress in 2015-2016 through project U-SAFE and planning for NUSTAR and Unmanned Aircraft System Traffic Management. The ongoing Advanced Manufacturing Jobs and Innovation Accelerator Challenge cluster group provides a variety of networking, capacity building, and reporting activities to assist 64 firms employing 6,300 individuals in the D2D cluster.

Progress was made on innovation corridor projects in downtown Syracuse, which includes raising capital and creating jobs at Clean Tech Center and expanding services at Tech Garden.

The strong contribution of agriculture to the regional economy was also addressed. Overlap with other regions in agribusiness proposals was recognized by the CNYREDC, which formed an interregional group to assure projects are mutually reinforcing.

The City of Oswego was designated the DRI community in recognition of its many assets, such as a scenic waterfront location, compact and walkable downtown, rich cultural history, and strong anchor institutions. Many downtown revitalization projects are identified in other community centers, such as Cortland, Auburn, and Syracuse.

2016 Cluster Project Example:

Northeast Information Discovery, Inc., a software company focused on the research and development of advanced computer network operations and intelligence, surveillance, and reconnaissance capabilities, will construct and equip a new facility in Canastota. The facility will include office space, a loading dock and bay space, and state-of-the-art laboratories including space configured for secured rooms. The company is a NUAIR partner, conducting research and development in counter-drone technologies.
The Finger Lakes Regional Economic Development Council’s (FLREDC) momentum is being fueled by a region united around a focused plan to grow jobs, increase regional wealth, drive private sector investment, and reduce poverty. FLREDC focused on three industry clusters: Optics, Photonics, and Imaging; Agriculture and Food Production; and Next Generation Manufacturing and Technology.

A comprehensive partnership of private companies, local colleges and universities, federal sources, and state entities support the Optics, Photonics, and Imaging cluster. Training programs from high school through community college provide skilled technicians for local companies.

Opportunities for employment are growing in the agricultural and food processing sector, with worker training, expanding food production and processing, growing downtown food and beverage clusters across the region, and waste to energy recycling.

The FLREDC significantly refocused its economic development efforts on reducing regional poverty by requiring each proposed priority project to describe how it will address poverty. The FLREDC supports the Rochester Monroe Anti-Poverty Initiative (RMAPI) dual generational action plan which is focused on adult mentoring; early childhood supports; and systems integration of social supports.

The City of Geneva was selected as the DRI community because its vision is strongly aligned with the FLREDC goals to grow jobs, increase private sector investment, and reduce poverty.

2016 Cluster Project Example:

The Rochester Institute of Technology will acquire a Shortwave Infrared Spectrometer that will be added to sensors to enable Unmanned Ariel Vehicle (UAV) remote sensing in support of agriculture.
The Long Island Regional Economic Development Council (LIREDC) continues support of the strategies identified in its strategic plan. It is maintaining its momentum in the biotechnology sector through ongoing projects like the Broad Hollow Bioscience Park and Northwell Health Center for Advanced Engineering at the Feinstein Institute for Medical Research, nine projects supported for priority project funding this year, as well as projects being advanced through other funding sources.

To support a new Foodie Long Island cluster, local agencies will partner to establish a proposed Nassau County Food Production Incubator to support fledgling new food producers.

LIREDC developed five sector advisory groups (health care, manufacturing, information technology, agriculture, and retail/hospitality/tourism) to identify skills gaps and unmet labor needs; assemble a database of existing degree and training programs in the region; and then propose a program to address identified needs. The LIREDC supported workforce development initiatives like two offered by the Town of Hempstead Department of Occupational Resources. The Hempstead Career Pathways Project and Sector Strategies Project for Significant Industries are anticipated to provide instruction to 93 dislocated workers (including 15 veterans) leading to credentials required for employment within regional growth sectors identified by the LIREDC, such as STEM, advanced manufacturing, information technology, healthcare and life sciences, and green technology.

Through its Opportunity Agenda, LIREDC continues to support Wyandanch Rising infrastructure improvements and programs that target hard-to-place workers. LIREDC recognizes the need for improved infrastructure as a foundational element for downtown revitalization, and its selection of Westbury as the DRI will allow the community to plan how to capitalize on improvements to the Long Island Rail Road.

**2016 Cluster Project Example:**

Modern Meadow, a biotechnology firm, grows leather from a protein found in animal hide. Currently located in Brooklyn, the company will establish research and development facilities at the Bioscience Park at Broad Hollow Bioscience Park at Farmingdale State College. The planned project will renovate an existing 62,000 square foot lab and office space to also provide space for pilot manufacturing, commercial demonstration and corporate offices.
The Mid-Hudson Regional Economic Development Council (MHREDC) continued to refine its economic development strategy to best leverage the region’s unique assets (e.g., its proximity to New York City, highly educated workforce, and scenic beauty) and opportunities. Its LIVE, WORK, and PLAY strategies provide a clear road map for choosing projects to invest in and workforce initiatives to support, and industries in the LIVE and PLAY clusters showed growth in employment and the number of establishments.

Stakeholders in the region are working together to identify means to address workforce development needs, including workers for which English is a second language and individuals targeted by the regional Opportunity Agenda program. Almost all of the proposed Priority Projects support workforce training.

Many projects meet multiple objectives. For example, the proposed Poughkeepsie Landing Waterfront Redevelopment Project would help revitalize a distressed community identified as part of the Regional Opportunity Agenda, and provide public access and amenities along the Hudson River.

Commitment to downtown revitalization is evident in MHREDC funding recommendations, as half of the proposed Priority Projects are located in urban centers like Poughkeepsie, Kingston, New Rochelle, Yonkers, and Middletown. Chosen by the MHREDC as the DRI community, Middletown hopes to continue its success in adaptive reuse and expand academic partnerships.

2016 Cluster Project Example:

Expansion of Star Kay White would move its primary syrup manufacturing line into a new $20M state of the art facility, allowing increased efficiency and expanded production while reducing the potential for allergen cross-contamination. The project accomplishes the goals laid out in the region’s WORK and PLAY strategies while creating jobs in the key industry cluster. It will be located in the Hamlet of Congers in Rockland County.
The Mohawk Valley Regional Economic Development Council (MVREDC) focuses heavily on creating vibrant, diverse, creative, innovative and safe communities. They believe that this may be the most important building block upon which to build a culture of innovation and opportunity. MVREDC is taking an ecosystem approach, investing in the people and the places that make the economy work and leveraging its core strengths in manufacturing, tourism, and agriculture.

The MVREDC progress report discussed how doors are opened to refugees and hard to place workers for entry level advancement opportunities, as evidenced by the Mohawk Valley Resource Center for Refugees’ partnership with food processors in the region. Four out of the top ten firms hiring refugees in the region are food processing and agribusiness supply chain companies, accounting for more than 500 new placements since 2009 and 90 in 2015 alone.

Oneonta, the DRI community, values the largely intact collection of historic buildings, although too many are vacant or have unused and vacant upper floors. The city proposes to create incentives for development of upper floors, creation of market rate housing, and infill of gaps between buildings. Nearly 40% of proposed Priority Projects and more than 55% of CFA applications in the Mohawk Valley are for downtown projects across the region.

The region has been focusing on increasing the number of patents coming out of their research and development institutions. The Commercialization Academy at the Griffiss Institute is turning Air Force Research Laboratory (AFRL) technologies into commercial products and businesses, providing a continuous source of new businesses and products to support the economy.

Priority Project Example:

The MVREDC has expressed a commitment to building the region’s innovation ecosystem and supporting the expansion of advanced industries, the intersection of creative capital, and the blossoming of young minds. To help build the Science, Technology, Engineering, and Math (STEM) ecosystem, the region supported projects that will attract future STEM employees to MVREDC downtowns. For example, the historic preservation and adaptive reuse of the Doyle Hardware building, a prominent structure on Main Street in Utica, will create living and commercial spaces. Plans call for creation of up to 55 new apartments on the top three floors and commercial uses on the ground floor.
The New York City Regional Economic Development Council (NYCREDC) strategic plan and project priorities are designed to help the state make investments and policy decisions that effectively address: fiscal and economic challenges facing the city; increased competition for talent and investment, persistent poverty, rising household costs, and reduced federal funding to address aging infrastructure and housing stock.

NYCREDC has consistently prioritized projects that support their strategic plan strategies to improve quality of life, invest in the future, and foster innovation.

A shift in the regional economic cluster plan to Life Sciences will leverage investments in basic research and incubator facilities in a sector primed for growth.

NYCREDC recognized the necessity to develop innovative long-term partnerships to accommodate the type of skills and work-based learning programs that are required to create most quality jobs. For example, the Classrooms to Career Project was successfully completed in collaboration with CUNY’s Early College Initiative and seven high schools with employer partners in IT, healthcare, engineering, energy utilities and advertising. The initiative supports employers partnering with these public high schools that provide rigorous college preparation, early college coursework and workplace learning experiences, at no cost to families.

Because it has a major transportation center and through the strength of the community’s commitment to planning, Jamaica earned designation as the region’s DRI community. This community, which is on the cusp of accelerated growth, is addressing the needs of the local population through expanded educational, workforce development, employment and entrepreneurial opportunities.

2016 Cluster Project Example:

The expansion of Suneris Lab to build space for research and manufacturing of a gel-bandage is projected to create 25 new jobs and retain 23 jobs.

Suneris Lab, a biotech firm developing a gel-bandage that stops bleeding in emergency situations, will expand in Sunset Park in Brooklyn. Two separate lab facilities are being built and equipment purchased to conduct research and manufacturing of their products. In addition to serving the animal health market, Suneris will be able to begin human product development. Suneris hires locally, focusing on former employees of closed hospitals.
The North Country Regional Economic Development Council (NCREDC) identified a diverse set of strategies to deliver a continuous series of “firecrackers” through the tailored targeting of key communities described in the progress report.

Plattsburgh, selected as the region’s DRI community, is showing strong continuing growth as the heart of the region’s Transportation Equipment & Aerospace Cluster, including the current development of Norsk Titanium, major expansion of capabilities at Plattsburgh International Airport, and construction of a new Institute for Advanced Manufacturing.

Watertown retained Fort Drum as NYS’s largest single site employer, meeting housing needs and creating energy independence.

In Clayton, ripple effects from investment in the 1000 Islands Harbor Hotel illustrate the payoff in investing in new accommodations for many distressed tourism communities across the region. The region’s tourism fund used $1.12M of state dollars to leverage $8.67M of private investment. Tupper Lake boosted visitation and spending with a multi-phase investment in the Wild Center’s “Wild Walk” and new businesses downtown. Several proposed Priority Projects link tourism to downtown revitalization as a driver for private investment, such as the Tupper Lake Crossroads Hotel.

The NCREDC is working hard to be a successful member of the global community as well, attracting foreign direct investment in more than 20 companies, growing exports, enhancing global logistics, and forming new international partnership agreements.

2016 Cluster Project Example:

Hi-Lite Global Group, a leading company in runway marking and maintenance, will establish a new global headquarters and training academy adjacent to the Watertown International Airport which will attract airfield services and safety managers from around the world for instruction on airfield safety, maintenance, and management.
The Southern Tier Regional Economic Development Council (STREDC) maintained its focus on picking priority projects that address one or more of its four regional strategies:

- Build the Greater Binghamton Innovation Ecosystem;
- Invest in the Advanced Manufacturing Industry;
- Transform the Food and Agriculture Industry; and
- Promote the Southern Tier’s Innovative Culture.

For example, Binghamton University purchased and installed the NECCES Battery Dry Room at the Center of Excellence to create a testing facility for new materials and devices related to the energy storage industry.

STREDC supports several different programs/training options to appeal to various demographics, such as impoverished residents, veterans, people without formal education or English language skills, and people with sustained and severe vision loss. The STREDC also provides numerous examples of collaboration between employers and educational institutions to offer training for jobs skills of various levels and experience. There are signs of economic improvement in the region – increases in manufacturing wages; increasing numbers of 30-34 year olds migrating into the region; and growth in employment in food manufacturing.

2016 Cluster Project Example:

SEPAC, Inc. will purchase an advance machining center and equipment to support their manufacturing operation for motion control products, including electromagnetic clutches and brakes. The brake and clutch applications range from aerospace and defense to robotics, energy, healthcare, and a wide variety of industrial markets.
The Western NY Regional Economic Development Council (WNYREDC) presented ten strategies for prosperity, including implementation of smart growth principles like downtown investment, neighborhood revitalization, brownfield redevelopment, and water resource protection. One smart growth project is accelerating the redevelopment of a long-vacant, major brownfield site, Bethlehem Steel.

WNYREDC focuses on seven industry sectors, which helps drive investment decisions. The region experienced job growth in several sectors such as agriculture, bi-national logistics, professional services, and tourism. Its targeted cluster of Materials and Manufacturing has seen an increase in total wages, and total job count and firm count have decreased in the past few years.

Job training and engagement of hard-to-place workers is a regional priority, and includes efforts for unskilled workers, construction trades, and high tech/bio tech workers. As part of its Opportunity Agenda, the WNYREDC is taking steps to ensure that education, transportation and support services are growing so that economic prosperity is reaching all segments of the population.

Buffalo has been a focus of investment, but other communities are benefiting from ESD Capital Funds and other state investments. For example, parkways are being rethought in Niagara Falls; riverfront access restored; and downtown areas revitalized. In addition, recent investments in adaptive reuse projects, complete streets, tourism, and the waterfront positioned Jamestown as the community most ready to benefit from Downtown Revitalization Initiative funding.

2016 Cluster Project Example:

Ellicottville Brewing Company in Little Valley proposes to convert a former warehouse in downtown Little Valley to expand a commercial brewing and bottling operation. Production will increase from 11,000 barrels a year to 110,000 barrels a year. This expansion supports a growing domestic and international market for craft brews. The location will also attract tourists to a new museum celebrating craft beer. The museum will include tasting rooms and a restaurant.
PRIORITIES IN 2017

The Regional Council Initiative is an economic development planning and implementation program that addresses both regional and state challenges and opportunities. Following the development of five-year regional strategic economic development plans in 2011, Regional Councils continue to update those plans annually to address emerging state and regional challenges and opportunities. Each region now has a unique set of strategies to achieve greater economic prosperity. These include strategies that focus on developing certain industry clusters; helping people in distressed Opportunity Areas to overcome barriers to entry into the workforce; promoting veterans’ participation in the workforce; and implementing regional sustainable growth strategies. In many of the regions, strategies have been further refined in response to the Upstate Revitalization Initiative and Western NY’s Buffalo Billion Plan.

New York State drives economic growth by making investments that enforce four interconnecting strategies:

- **Placemaking** is the notion that where investment occurs matters. In order to attract a talented workforce, our built environment must emphasize creating accessible job centers, sustainable infrastructure and livable communities.

- **Workforce** is the belief that people drive the economy. Targeted job training and education ensures that jobs in high-paying, in-demand, tradeable sectors are filled in an equitable way.

- **Tradeable Sectors** describes which industries New York State is targeting to increase export based employment opportunities. They are the industry sectors that are part of a global market like manufacturing, agricultural products, and energy.

- **Innovation** is the strategy of investing in creating synergies between research and commercialization to drive the economy forward.

Regional Councils are asked to address statewide priorities in a way that is uniquely tailored to the region and which complements the regional vision. Each is asked to develop strategies to address those priorities, and to identify and encourage applicants to apply for funding through the Consolidated Funding Application (CFA) to implement those strategies.

Priorities in 2017 should include:

- Identifying projects for the State life sciences cluster;
- Supporting Downtown Revitalization Plans and identifying downtown projects;
- Identify workforce development strategies and shrink the skills gap through collaboration with industry and educational institutions;
- Implementing strategies through the project pipeline; and
- Measuring the performance and progress of the strategic plan and CFA projects.
Regional Economic Development Councils | IMPLEMENTING OUR PLANS 2017

Regional Councils should continue to advance the following state priorities, and identify projects that implement related strategies:

- Regional economic cluster plans;
- Regional Hot Spots;
- The Regional Opportunity Agenda;
- Veterans’ participation in the workforce; and
- Local government engagement in the Regional Council process.

Identify Projects for the State Life Sciences Cluster

New York, long recognized as a world leader in the academic life sciences, has a clear and exciting opportunity to expand on that success and build a significant commercial life science industry. The foundations for success are in place. New York is home to multiple world class academic research and clinical institutions, renowned researchers and is inarguably identified as the capital of finance and banking. New York is also viewed as the top tier legal sector and has a considerable and expanding internet technology sector, all key ingredients for a successful commercial life science enterprise. With the addition of Governor Cuomo’s ambitious and unprecedented proposal to fuel such a world class life science cluster, New York is poised for success.

The Regional Councils have increasingly played a role in developing life science businesses in their region. The Governor’s new initiative presents the opportunity for Regional Councils to expand efforts in this sector as public awareness is generated through expanded publicity and incentives for the State’s life science industry. The Regional Councils are asked to work synergistically with various components of the life science sector to assure maximum success in industry growth and expansion. Detailed communication among the various stakeholders within the region should help achieve the goal of sound investment and reinforce a coherent statewide strategy for the life sciences sector.

Each Regional Council is asked to work with the colleges and universities in each region to identify academic programs that develop life science personnel, and to help establish a pipeline from training to employment in the life sciences field. Additionally, Regional Councils should work to more formally catalogue appropriate space available for industry use and development. Finally, Regional Councils should seek Priority Projects that align with the life sciences cluster and highlight those projects in their Annual Report.
Support Downtown Revitalization Plans

Nationally and globally, business and development leaders recognize that the creation of new downtown communities with public amenities and a high quality-of-life can provide a catalyst for increased economic development, re-population (particularly by young professionals) and urban vibrancy. According to the Brookings Institute, investing in urban centers can improve economic performance, reduce infrastructure costs, and enhance the economic well-being of surrounding areas.

In the spring of 2016, Governor Cuomo introduced a major new initiative – the Downtown Revitalization Initiative (DRI). DRI is a $100 million effort to improve the vitality of urban centers across New York State by investing $10 million in 10 municipalities statewide. The ten Regional Councils each selected communities after thoroughly evaluating each downtown’s potential for transformation. To guide the use of the $10 million DRI awards, the communities each completed a Strategic Investment Plan in early 2017, which identify specific projects that align with a unique vision for revitalization of their downtown area. Communities selected in 2016 included:

- Elmira (Southern Tier Region)
- Geneva (Finger Lakes Region)
- Glens Falls (Capital Region)
- Jamaica (NYC Region)
- Jamestown (Western NY Region)
- Middletown (Mid-Hudson Region)
- Oneonta (Mohawk Valley Region)
- Oswego (Central NY Region)
- Plattsburgh (North Country Region)
- Westbury (Long Island Region)
In 2017, the Downtown Revitalization Initiative will again support a community planning process where each community develops the key ingredients needed for successful downtown revitalization:

- A clear vision for the downtown;
- Goals and strategies to accomplish the vision;
- An action plan with a timeline for projects, initiatives, and actions; and
- A strategic investment plan with catalytic projects to implement the plan.

These investments will help transform ten communities ripe for development into vibrant communities where tomorrow’s workforce will want to live, work and raise families. DRI awards will reinforce and secure additional public and private investments within and near downtown neighborhoods, and build upon growth spurred by the Regional Councils.

Each Regional Council will solicit interest in the program from communities in the region, accepting revised applications from communities that requested consideration in 2016, and new applications from communities that didn’t participate last year.

Additional details about the Downtown Revitalization Initiative may be found on the Governor’s website at https://www.ny.gov/programs/downtown-revitalization-initiative.
Identify Workforce Development Strategies and Shrink the Skills Gap through Industry and Educational Collaboration

In recent years, the skills gap has gained significant attention across the United States and, New York State is no exception. Numerous studies have found that while science, technology, engineering, and math (STEM) skills gaps are a large part of the challenge, they are by no means the only industries affected. Businesses from all industries cite the skills gap as a significant obstacle to business expansion efforts and it has been identified as a drag on overall business productivity.

With the globalization of businesses, states and regions need to take action or pay a steep price as businesses relocate to areas with a higher concentration of skilled employees. Communities that do not address the needs of their employers, fail to thrive and eventually suffer dramatic declines. Bridging the gap can’t be done by one entity acting alone. It requires public and private sector collaboration and new ways of thinking about education and workforce readiness.

The skills gap is not an issue that can be ignored, but to close it, we need to know where to start.

Regional Councils should survey both industries and educational institutions in their region to identify the skills gaps, as well as the programmatic availability of workforce training opportunities in high schools, community colleges, and universities. The findings of the survey should be incorporated into the Region’s 2017 Annual Report, along with strategies that bridge the identified gaps. Regional Councils should work with members of the Regional Community College Councils. Workforce Development workgroups should have Community College Council representation.
Implement Strategies through the Project Pipeline

The implementation of many regional strategies will be accomplished through projects proposed by local governments, businesses, and nonprofit organizations. Regional Councils are encouraged to seek strong candidates for State funding available for economic development activities, such as:

- Empire State Development Capital Grants;
- State agency programs included in the Consolidated Funding Application (CFA);
- The Upstate Revitalization Initiative and Buffalo Billion;
- Downtown Revitalization Initiative funds; and
- Other State programs.

Regional Councils have been very successful over the past six years in soliciting applications for specific projects in keeping with regional plan goals. Regional Councils are encouraged to describe their process of connecting with potential applicants in their progress report in order to inform future applicants and share best practices with other Regional Councils.

Regional Councils demonstrate formal support for applications through the CFA scoring process. When scoring applications, they consider the degree to which each application helps implement the regional strategic plan and use statewide endorsement standards to assign up to twenty percent of an application’s score.

<table>
<thead>
<tr>
<th>STATEWIDE CFA ENDORSEMENT STANDARDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implementation of the Plan</td>
</tr>
<tr>
<td>The proposal is identified as a priority project by the Regional Council.</td>
</tr>
<tr>
<td>The proposal is identified in the plan and has regional benefits.</td>
</tr>
<tr>
<td>The proposal advances the plan and has local benefits.</td>
</tr>
<tr>
<td>The proposal is consistent with the plan and has project level benefits.</td>
</tr>
<tr>
<td>The proposal has limited relationship to the plan.</td>
</tr>
</tbody>
</table>
Measure Performance and Progress

Measuring performance is a good way to understand, manage, and improve what an organization is doing. For Regional Councils, it can help them determine, over time, whether the strategies that were chosen and the projects that were advanced are helping the region to meet its goals. General economic and quality of life indicators provide a snapshot of the region’s economic health, and comparisons with past years show trends. Regional Councils are encouraged to supplement the range of general indicators provided by the state with regional indicators, such as those related to key economic clusters or specific regional goals.

For example, the Finger Lakes Regional Council Progress Report included metrics related to their goal of increasing regional wealth, e.g., average annual wage trends and changes in per capita income. The report included a number of performance indicators related to industry sectors, some with baseline numbers and goals. For example, under entrepreneurship & development, the region proposes to create or impact 3,300 jobs over five years. The current status is 2,300 jobs. The report also addresses infrastructure & transportation, with performance indicators related to deficient bridges; clean watershed needs; transit service ridership; and number of address points un-served by broadband.

The Central NY progress report contained several key regional indicators that included starting points; current levels; 5-year goals; percent change; progress to date (percent change); and national totals. For example, the region tracked educational attainment and employment in foreign-owned businesses.

Regional Councils are asked to continue reporting on the general economic and quality of life indicators, and to identify additional regional indicators that may more closely demonstrate the success of specific regional strategies.
In addition, a list of all CFA projects funded through the Regional Council process since 2011 should be included as an appendix to the plan. The list should include the following information:

- Round Number
- Applicant name
- Project name
- Agency and Program
- Award Amount
- Total Project Cost
- Grant disbursement to date
- Status (indicated by color)

While Regional Councils do not have a formal role in advancing projects once Consolidated Funding Application awards are made, the Regional Councils may monitor project progress and seek state assistance in clearing road blocks related to the contracting process or the issuance of state permits. Regional Annual Reports should continue to include the status of all past priority projects, which are projects that received capital awards from the Empire State Development Grant Program through the CFA. They should also include the aggregated status of the hundreds of projects that have received funding through the CFA, and provide highlights of significant progress made from the fall of 2016 to the fall of 2017.
Ongoing Initiatives

Regional Economic Cluster Plans

Regional Councils identified established or emerging industry clusters in their 2015 Regional Economic Cluster Plans. Plans described ways to grow existing or emerging companies and related assets; attract out-of-state companies; strengthen key enablers for cluster growth; align and partner with New York State assets in the region; and coordinate regional efforts to advance the cluster. In 2017, Regional Councils are asked to seek CFA project applicants that will help implement their region’s cluster action plan.

Each region’s key industry cluster is identified in the pages describing the 2016 awards. Those pages also include many of the projects related to key industry clusters that were awarded funding.

Regional Hot Spots

New York has sought to link higher education to industry through the Regional Economic Development Council process and other state programs. The State has invested in efforts to commercialize research and technology from its colleges and universities to bring new products to market.

The state is providing funding to continue to foster innovation by offering start-up companies valuable business support services that will help commercialize academic research and promote further collaboration between business and academia.

Funding is available again to help fund Innovation Hot Spots. Applications will be accepted in 2017 for designation of up to five Innovation Hot Spots. Regional Councils are asked to endorse the best Hot Spot proposal in their region.

Examples of projects awarded funding in 2016 which supported Innovation Hot Spots or Business Incubators include:

- High Tech Rochester (HTR) and Rochester Institute of Technology’s Venture Creations Incubator (VCI) partnered to lead the Finger Lakes Innovation Hotspot. Through the Hotspot initiative, they will expand their successful incubator models to serve more entrepreneurs, including those in historically underserved counties and locations.

- The Tech Garden, located in downtown Syracuse, will increase their professional services resource pool in order to: increase outreach to veterans and diverse entrepreneurs; increase the number and types of workshops and programs; design and implement a new Commercialization Course; provide startups with access to professional business development services at no cost; improve access to capital; improve the tracking of impact data; and improve regional communication around the sharing of best practices.
Regional Opportunity Agendas

Governor Cuomo believes that New Yorkers are hard-working people, and no one who works hard should be forced to live in poverty. Since taking office, Governor Cuomo has fought to level the playing field so all New Yorkers have a chance to get ahead.

In 2013, the Governor asked each Regional Council to develop an Opportunity Agenda to revitalize distressed communities and address barriers to entry into the workforce for people living in areas of concentrated poverty. Each Regional Council put forth a plan to ensure their most distressed and disadvantaged communities were being included in the region’s economic revitalization. Since then, they have continued to implement strategies to help achieve the goals of their Opportunity Agendas.

1. The Capital Region Regional Council supported projects that were awarded funding in 2016 to increase the capacity of services for low-income populations, including development by a non-profit health network of a women’s wellness center in Glens Falls that will create new jobs and provide low-income and moderate-income residents specialized services; and the renovation of a building in Albany for the Legal Aid Society of Northeastern NY to operate a pro-bono Civil Legal Services Center for nearby distressed communities.

2. The Finger Lakes Regional Council has been working closely with the Rochester Monroe Anti-Poverty (RAMPI) Task Force to make the reduction of poverty the main goal of its REDC plan. The RAMPI created an implementation plan to carry out five preliminary initiatives: (1) health improvements through early childhood; (2) youth mentoring; (3) skill development; (4) job placement; and (5) adult mentoring.

Regional Councils are asked to continue to implement their Opportunity Agendas by supporting projects for funding through the CFA that address the needs of the chronically distressed communities in their regions.
Veterans’ Participation in the Workforce

In 2014, the Service-Disabled Veteran-Owned Business Act was signed into law. The new law created the Division of Service-Disabled Veterans’ Business Development in Office of General Services to certify, promote and encourage economic development among disabled veterans throughout the state. Since then, more than 290 Service-Disabled Veteran-Owned Businesses have been certified providing over $32 million in contracting opportunities.

That same year, the Governor asked the Regional Economic Development Councils to promote veterans’ participation in the workforce and in the consolidated funding application process. Since then, the Regional Councils have worked with local veteran support groups to make veterans aware of state economic development funding; sponsored funding for veterans’ centers; and sought out CFA applicants that include workforce goals related to veterans.

The Regional Councils are asked to continue to identify ways that the skills and leadership abilities of veterans can be harnessed to continue to improve New York’s economy. In addition, project applicants are urged to work with Service-Disabled Veteran-Owned Businesses (SDVOBs). A directory of New York State Certified SDVOBs can be found at https://ogs.ny.gov/Veterans.

Local Government Engagement

Local government engagement and collaboration is an important component to the success of the Regional Councils. In their strategic plans, Regional Councils identified specific strategies to help achieve their vision, and specific projects to stimulate economic investment and growth. Local governments play a critical role in working with the Regional Councils to identify those projects that support the vision for the region.

Engagement of local elected officials is essential in supporting the strategies and identifying priority projects that will further the economic growth of not only their community but the region as a whole. Major initiatives where their participation is critical include implementing the Downtown Revitalization Initiative; identifying workforce development strategies; and implementing strategies through the project pipeline.

Regional Councils are asked to continue to encourage local government engagement in their strategic plan implementation in order to improve the regional business climate. Local government representatives are encouraged to participate in the various work groups within their region.
2017 CHECKLIST

Priorities

Life Sciences Cluster
• Identify projects for the State life sciences cluster
• Increase communication among academia and life sciences employers for talent and space

Support Downtown Revitalization Plans
• Identify one downtown for participation in the Downtown Revitalization Initiative Round Two
• Submit an outline of the strategic investment plan in the Annual Report
• Identify and support downtown projects from the 2016 DRI community and throughout the region

Identify Workforce Development Strategies and Shrink the Skills Gap through Industry and Educational Collaboration
• Survey industries and educational institutions to identify skills gaps and existing training programs
• Identify strategies to train the workforce for today and tomorrow

Implement Strategies through the Project Pipeline
• Identify and support CFA-eligible and other projects that advance state and regional strategies, including ones identified in regional revitalization plans

Measure Performance and Progress
• Report on general economic indicators and quality of life indicators
• Develop and report on additional indicators to track the performance of regional strategies
• Continue reporting on projects awarded funding through the CFA. Plans should include an appendix with a full listing of all funded CFA projects from previous rounds

Support Ongoing Initiatives
• Regional Economic Cluster Plans
  ◦ Identify projects that support development of the region’s cluster action plan
• Regional Hot Spots
  ◦ Identify and endorse preferred Hot Spot proposal
• Regional Opportunity Agenda
  ◦ Support projects for funding through the CFA that address the needs of the chronically distressed communities in the region
• Veterans’ participation in the workforce
  ◦ Make veterans aware of CFA funding activities
  ◦ Encourage CFA applicants to include veterans’ employment targets
• Local Government Engagement
  ◦ Engage local officials in identifying priority projects
  ◦ Encourage local governments representatives to participate in the Regional Council process
2017 CHECKLIST

State agencies will continue efforts to assist the Regional Councils in their work to grow New York’s economy by aligning state programs with Regional Council priorities; facilitating progress on projects; sharing expertise; and disseminating information among regions.

Priorities

Strategy Alignment

• Seek input from the Regional Councils on agency decision-making which may affect regional economic development priorities
• Collaborate with Regional Councils to implement strategies related to specific geographic areas or specific topics of focus
• Modify funding programs to recognize state and regional priorities

Project Facilitation

• Provide regional training about available Consolidated Funding Application (CFA) programs
• Review CFAs and submit scores
• Work with Regional Councils and project sponsors to identify and eliminate specific impediments to advancing projects
• Expedite regulatory review of priority projects to the extent allowed by law or regulation

Shared Expertise

• Provide assistance in the development of Downtown Revitalization Plans
• Continue support for each Regional Council through the State Agency Resource Team (SART) led by the Department of State.
• Respond to requests for information and assistance from Regional Councils
• Identify potential assistance available from federal and not-for-profit sources
• Provide each Regional Council with general economic and quality of life indicators, as well as industry cluster information

Information Dissemination

• Identify unique regional approaches that could be replicated in other regions

Agency Coordination

• Coordinate with other state agencies to optimize funding and services to the Regional Councils
• Coordinate with other state agencies in the implementation of DRI Round One projects
2017 COMPETITION

Since 2011 the REDCs have awarded over $4.6 billion in State funding to over 5,200 projects through a competitive process to spur job creation based on regional priorities. This competition encourages implementation of the regional strategic economic development plans and motivates investment opportunities and job creation. Since 2011, this new strategy has resulted in 210,000 new or retained jobs in New York.

The Regional Councils will compete in 2017 for up to $150 million in capital funds and $75 million in Excelsior Tax Credits for projects identified by the Regional Councils as priorities in their regions.

The competition places an emphasis on Regional Council performance and action to implement strategies. By incentivizing implementation of the strategic plans, REDCs, businesses, educational institutions, local governments, not-for-profit groups and other stakeholders are more motivated to work together to accomplish the regional vision.

Awards

Each region will receive $10 million to implement projects identified through the Downtown Revitalization Initiative, and projects from all ten regions submitted through the CFA will be eligible for over $575 million in other state agency funds.

<table>
<thead>
<tr>
<th><strong>ALL TEN REGIONS</strong></th>
<th>be competing this year for designation as a Top Performer.</th>
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</thead>
<tbody>
<tr>
<td><strong>FIVE TOP PERFORMERS</strong></td>
<td>receive awards of up to $20 million in ESD Capital Grants.</td>
</tr>
<tr>
<td><strong>THE REMAINING FIVE REGIONS</strong></td>
<td>identified as Regional Awardees will receive up to $10 million in ESD Capital Grants.</td>
</tr>
</tbody>
</table>

Each region will also be eligible for up to $15 million in Excelsior Tax Credits to help attract and grow business in the region.
Evaluation Criteria

Each Regional Council will present their Annual Report to the Strategic Implementation Assessment Team (SIAT). Criteria used to evaluate the Annual Reports will include but not be limited to:

Performance
- Impact on job creation and retention
- Business growth and leverage of private sector investments

Projects
- Solicitation and development of projects that advance the regional economic cluster
- Identification of projects to advance state and regional priorities
- Advancement of projects to meet workforce development needs
- Identification of projects in the region that would revitalize downtowns

Progress
- Implementation of strategies in the five-year regional strategic economic development plan and plan updates
- Execution of strategies addressing emerging state and regional challenges and opportunities
- Success in job training and engagement of hard-to-place workers
- Advancement of prior round priority projects

Planning
- Quality of the Annual Report
- Ability to take the next steps in growing the regional economy
- Coordination with institutions of higher learning to address regional workforce development needs
- Collaboration with local governments in advancing opportunities for improved efficiency
- Development of regional metrics to monitor performance

Participation
- Engagement of the community, public, and other stakeholders in the Regional Council process
- Regional unity and support of the progress report and downtown revitalization plan
CONSOLIDATED FUNDING APPLICATION

A seventh round of the Consolidated Funding Application (CFA) will be offered in 2017. The CFA process replaced multiple applications for economic development projects with a single application for state economic development resources from numerous state agencies, and institutionalized the role of the Regional Councils in identifying priorities for state resources.

The CFA has been designed to give economic development project applicants expedited and streamlined access to a combined pool of grant funds and tax credits from dozens of existing programs. This year, economic development applicants will find over 30 state programs participating in the CFA, representing a combined pool of grant money and tax credits of over $800 million.

Many applications submitted through the CFA involve projects that have been identified by the Regional Councils as critical to advancing the regional economic development vision and strategies. Identifying projects with the greatest impact on advancing state and regional strategies is a critical role of the Regional Councils, and members are encouraged to reach out to potential sponsors of priority projects to make them aware of the CFA process and to encourage them to apply for available State funding.

Regional Council websites should be consulted for information on how applicants can get their proposals considered as REDC Priority Projects, which are projects funded, in part, through ESD Capital funds awarded as part of the REDC competition. Regional Council websites also provide information about upcoming CFA workshops where applicants can learn more about the programs included in the CFA, and eligibility standards for those programs.

Each Regional Council will use statewide endorsement standards when reviewing CFAs submitted to their region, taking into account the degree to which the application helps implement the regional strategic plan and aligns with regional priorities. (These standards appear in the project pipeline section of this document.) The Regional Council endorsement will account for 20% of the total review, while State agency review will account for 80%. The Regional Council Code of Conduct provides that a Regional Council member with a financial interest in a CFA must recuse himself or herself from any discussion and review of that CFA.

State agencies will be awarding priority points to downtown revitalization projects designed to transform communities ripe for development into vibrant neighborhoods where tomorrow’s workforce will want to live, work, and raise families.

<table>
<thead>
<tr>
<th>Benchmarks</th>
<th>2017 Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application Opens</td>
<td>8:00 AM May 1</td>
</tr>
<tr>
<td>Applications Due</td>
<td>4:00 PM July 28</td>
</tr>
<tr>
<td>Annual Reports and Scores Due</td>
<td>October 2</td>
</tr>
<tr>
<td>Awards Announced</td>
<td>December</td>
</tr>
</tbody>
</table>
Available Resources for Regional Councils in 2017

Approximate resources available through the Consolidated Funding Application process:

Direct Assistance to Business and Other Organizations: up to $247.25 million

- **Empire State Development**
  - Up to $150 million for ESD Grant Funds
  - Up to $75 million for Excelsior Jobs Program
  - Up to $1.25 million for Innovation Hot Spot Program
  - Up to $1 million for the Strategic Planning and Feasibility Studies
  - Up to $15 million for Market New York

- **Department of Agriculture and Markets**
  - Up to $5 million for New York State Grown and Certified Agricultural Producers’ Grant Program

Community Development: up to $73.1 million

- **NYS Council on the Arts**
  - Up to $5 million for Arts, Culture and Heritage Projects
  - Up to $20 million for NYSCA/ESD Arts & Cultural Facilities Improvement Program

- **Homes and Community Renewal**
  - Up to $20 million for NYS Community Development Block Grant Program
  - Up to $6.2 million for New York Main Street Program

- **Office of Parks, Recreation and Historic Preservation**
  - Up to $1.9 million for Recreational Trails Program
  - Up to $20 million for Environmental Protection Fund Grants

Waterfront Revitalization: up to $16.2 million

- **Department of State**
  - Up to $15.2 million for the Local Waterfront Revitalization Program

- **Canal Corporation**
  - Up to $1 million for the Canalway Grants Program

Energy: up to $40 million

- **NYS Energy Research and Development Authority**
  - Up to $40 million for Energy Efficiency Programs

- **New York State Power Authority**
  - Up to 157 MW for ReCharge New York
Available Resources for Regional Councils in 2017 cont.

Environmental Improvements: up to $105 million

- **Department of Environmental Conservation**
  - Up to $3 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant
  - Up to $87 million for the Water Quality Improvement Project Program

- **Environmental Facilities Corporation**
  - Up to $15 million for the Green Innovation Grant Program

Sustainability Planning and Implementation: up to $14 million

- **Department of Environmental Conservation**
  - Up to $10 million for the Climate Smart Communities Program

- **Department of State**
  - Up to $4 million for Local Government Efficiency Grants

Education/Workforce Development: up to $5 million

- **Department of Labor**
  - Up to $5 million for Workforce Development

Low Cost Financing: Up to $300 million

- **Empire State Development**
  - Up to $300 million for Industrial Development Bond (IDB) Cap

**Total 2017 Resources over $800 million**
ANNUAL REPORT

We continue to move toward more standardized and streamlined reporting in 2017. The outline presented below, and explained in the following pages, should be considered a template for Regional Annual Reports. The template will continue to allow Regional Councils to provide informative, high quality, online reports.

This year we are asking Regional Councils to limit their report size to 110 pages, with the Implementation Agenda representing the largest portion of the report. In recognition of the significantly shorter Progress section, a brief narrative highlight progress made since 2011 should be included, but we ask that the report focus on progress made in the region in the past year. Initiatives and proposed projects that will be undertaken in late 2017 and 2018 should be included in the Implementation section.

Information in the Annual Reports may be supplemented through oral presentations made to the Strategic Implementation Assessment Team (SIAT) after the reports are submitted. Annual reports are due **October 2, 2017**:

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**I. Executive Summary - up to 5 pages**

**II. Progress – up to 15 pages**

A. State of the Region
   1) General Economic Indicators
   2) Quality of Life Indicators
   3) Key Regional Indicators

B. Status of Past Priority Projects
   1) Brief Narrative Highlighting Progress Made Since 2011
   2) Narrative Highlighting Progress from Past Year
   3) Priority Project Status
   4) Mapped Status of Past Priority Projects
   5) Aggregated of Status All Past Priority Projects
   6) Leverage of State Investment in All Past Priority Projects

C. Status of All Projects Awarded CFA Funding
   1) Narrative
   2) Aggregated Status of All CFA Projects
   3) Leverage of State Investment in All CFA Projects
   4) Job Creation
   5) Full list of all funded CFA projects (as appendix)

**III. Implementation Agenda – up to 70 pages**

A. Implementation of 2017 State Priorities
B. Implementation of Key Regional Priorities
C. Proposed Priority Projects
   1) Priority Project Descriptions
   2) Overall Investment Ratio for Proposed Priority Projects
   3) Map of Proposed Priority Projects
   4) Proposed Priority Projects Relating to State Priorities
   5) Summary of Other Projects Relating to State Priorities

**IV. Participation – up to 5 pages**

A. Describe Work Groups
B. List Work Group Members
C. Engagement and Support of the Public and Local Officials

**V. Downtown Revitalization Plan Round Two – up to 5 pages**
I. Executive Summary (up to 5 pages)

Provide a brief summary of the Annual Report. The page count for this section can include the regional vision and a message from the co-chairs.

II. Progress (up to 15 pages)

A. STATE OF THE REGION

This section should provide a snapshot of the region’s economic health using general economic indicators, quality of life metrics, and regionally-identified performance measures. Discussion of the indicators should be incorporated into the narrative, and should appear in a chart.

(1) General Economic Indicators

General economic indicators showing the most recent indicator as well as how the indicator is trending.

- For the Private Sector and Public Sector:
  - Number of Establishments
  - Average Annual Private Sector Employment (compare to NYS)
  - Average Annual Public Sector Employment (compare to NYS)
  - Total Annual Wages
  - Average Annual Wages (compare to NYS)

- Total for Region
  - Number of Establishments
  - Average Annual Employment (compare to NYS)
  - Average Annual Unemployment (compare to NYS)
  - Total Annual Wages
  - Average Annual Wages (compare to NYS)

- Gross metropolitan product
- Value of Regional Exports and Change in Exports Value

(2) Quality of Life Indicators

Quality of life indicators showing the most recent indicator as well as how the indicator is trending.

- Share of residents lacking health insurance (NYS vs Region)
- Poverty status of residents (% living below the poverty level, status by age group)
- Migration (% living in same region as previous year, % leaving NYS)
- Commuting (% working in region of residence average commute time)
- Estimated Visitor Spending
An example of a clear and efficient way to present general economic and quality of life indicators is provided from the Mid-Hudson Regional Council 2016 Progress Report. (The commuting information is provided in a separate chart.) A brief narrative was included.

**QUALITY OF LIFE INDICATORS**

Table 2 shows regional quality of life indicators including poverty, migration (representing the percentage of individuals living in the same region as the previous year), share of residents lacking health insurance, and estimated visitor spending. The most current available quality of life data is from 2014.

The number of individuals without health insurance in the Region fell 0.80% between 2012 and 2014, and during the same time period fell 0.70% across the State.

Individuals living below the poverty level continues to be one of the quality of life indicators that is of particular interest to the Council. From 2011 to 2014 the Region saw a slight increase of residents living below the poverty line of 0.80% while the State saw a similar increase of 1.1%.

Tourism continues to be an economic driver for the Mid-Hudson, and a key area of focus. Visitors and tourists in the Region spent $13.7 billion from 2011 to 2014, six percent of the statewide spend of $232.8 billion. In 2014, the Mid-Hudson recorded the third highest regional tourism dollars, falling behind only New York City and Long Island.

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<tbody>
<tr>
<td>Share of residents lacking health insurance</td>
<td>9.80%</td>
<td>10.60%</td>
<td>0.70%</td>
<td>0.50%</td>
<td>-0.80%</td>
<td>-0.70%</td>
</tr>
<tr>
<td>Poverty status of resident overall (% living below the poverty line)</td>
<td>10.00%</td>
<td>15.60%</td>
<td>0.10%</td>
<td>0.30%</td>
<td>0.80%</td>
<td>1.10%</td>
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<tr>
<td>Poverty status of residents &lt;18 (% living below the poverty line)</td>
<td>3.70%</td>
<td>4.90%</td>
<td>-0.10%</td>
<td>0.10%</td>
<td>0.20%</td>
<td>0.90%</td>
</tr>
<tr>
<td>Poverty status of residents 18 - 64 (% living below the poverty line)</td>
<td>6.20%</td>
<td>9.10%</td>
<td>0.10%</td>
<td>0.20%</td>
<td>0.60%</td>
<td>0.80%</td>
</tr>
<tr>
<td>Poverty status of residents &gt;=65 (% living below the poverty line)</td>
<td>1.00%</td>
<td>1.60%</td>
<td>0%</td>
<td>0.10%</td>
<td>0.00%</td>
<td>0.10%</td>
</tr>
<tr>
<td>Estimated visitor spending</td>
<td>$3,571,875</td>
<td>$62,454,974</td>
<td>3.24%</td>
<td>5.40%</td>
<td>15.70%</td>
<td>15.85%</td>
</tr>
</tbody>
</table>

↑ The Region shows improvement in this metric.

→ The Region is stable in this metric (change of less than 1%).
(3) Key Regional Indicators

Regional Councils should include indicators reflective of key strategies and other metrics important to the region. While some information may be available from the State or Federal government, other information may need to be derived from regional sources like workforce investment boards, regional planning bodies, federal reserve boards, or CFA awardees, e.g., the number of 2016 CFA awardees agreeing to offer internships. The State will provide the Regional Councils with cluster-related data.

Examples of other types of data which could be presented include vacancies in residential and commercial addresses; amount of academic research and development expenditures in the region; number of students enrolled in STEM majors; number of people trained in industry cluster; average wages in key metropolitan areas and key clusters; and job growth in industry clusters.

Examples are provided from the Western NY Regional Council 2016 Progress Report. A set of indicators related to its three core strategies was provided, as well as indicators by sector for jobs, wages, firms, and average wages per industry.
B. STATUS OF PAST PRIORITY PROJECTS

This section consists of five parts: (1) a narrative highlighting progress; (2) the status of each priority project; (3) a mapped status of each priority project; (4) a summary status of all priority projects; and (5) the leverage of state investment in all past priority projects.

(1) Narrative Highlighting Progress Made Since 2011

The Annual Report should contain a brief narrative highlighting the progress made since 2011. When discussing a past project, please indicate the CFA year in which it was awarded, e.g., The Workforce Training Center (CFA 2015) broke ground in May, with completion estimated for January 2018.

(2) Narrative Highlighting Progress from Past Year

The Annual Report should contain a narrative highlighting progress made in the past year on some past priority projects. When discussing a past project, please indicate the CFA year in which it was awarded.

(3) Priority Project Status

Present a table, or series of tables, showing the progress that has been made on past priority projects. A priority project is a project which has received a capital award through the Empire State Development Grant Funds (ESD Grants) contained in the Consolidated Funding Application (CFA). Projects that have been cancelled or where funding has been declined should appear on the table, however, it does not include projects that only received tax credits. This can be illustrated by the Southern Tier Regional Council 2016 Progress Report.

Include in the table the year awarded; CFA number; project name; project status; and project status key.

Project Status Key. Project status should be shown as a color, using the following guide:

- Blue – Project is complete
- Green – Project is on schedule
- Yellow – Project progressing more slowly than anticipated
- Red – Project concerns need to be resolved
- Orange – Project contract not yet executed
- Black – Project cancelled or funding declined

**STATUS OF PAST PRIORITY PROJECTS**

During the past five years, 120 priority projects have been supported through Empire State Development Grant Funds by the Southern Tier Regional Economic Development Council. Through these strategic investments, $185.6 million dollars in public support has leveraged more than $1.5 billion in private funds for projects throughout the Southern Tier, a more than 81 ratio.

<table>
<thead>
<tr>
<th>CFA#</th>
<th>PROJECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>3489</td>
<td>CAF USA Capital</td>
</tr>
<tr>
<td>4342</td>
<td>Ganlocke Excelsior</td>
</tr>
<tr>
<td>6853</td>
<td>Amteck Capital</td>
</tr>
<tr>
<td>7471</td>
<td>STREDC Shovel Ready Program</td>
</tr>
<tr>
<td>7472</td>
<td>STREDC - Community Revitalization Program Capital</td>
</tr>
<tr>
<td>7632</td>
<td>Norwich Pharmaceuticals Excelsior</td>
</tr>
<tr>
<td>14550</td>
<td>Southern Tier High Technology Incubator Capital</td>
</tr>
<tr>
<td>14621</td>
<td>Schuyler County - Seneca Phase 1 Capital</td>
</tr>
<tr>
<td>15447</td>
<td>Buckingham Manufacturing Capital</td>
</tr>
</tbody>
</table>
(4) Mapped Status of Past Priority Projects
Provide a map of the region showing the location of each priority project, with the project locator/pin color coded to show the project status. The example given is from the North Country REDC 2016 Progress Report.

(5) Aggregated Status of All Past Priority Projects
Provide a summary of the status of all past priority projects awarded in a given year, as well as the overall status of all priority projects. This may be done as a table, chart or pie chart. The example given is from the Central NY Regional Council 2016 Progress Report.

SUMMARY OF ALL PAST PRIORITY PROJECTS

<table>
<thead>
<tr>
<th>Project Status</th>
<th>Round 1</th>
<th>Round 2</th>
<th>Round 3</th>
<th>Round 4</th>
<th>Round 5</th>
<th>Total</th>
<th>% Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blue Completed</td>
<td>16</td>
<td>11</td>
<td>6</td>
<td>5</td>
<td>0</td>
<td>38</td>
<td>21.59%</td>
</tr>
<tr>
<td>Green On Schedule</td>
<td>5</td>
<td>13</td>
<td>14</td>
<td>24</td>
<td>32</td>
<td>88</td>
<td>50.00%</td>
</tr>
<tr>
<td>Yellow progressing slowly</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>8</td>
<td>4.55%</td>
</tr>
<tr>
<td>Red Concerns</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>5</td>
<td>6</td>
<td>3.41%</td>
</tr>
<tr>
<td>Orange not yet executed</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>3</td>
<td>1.70%</td>
</tr>
<tr>
<td>Black Canceled</td>
<td>5</td>
<td>8</td>
<td>9</td>
<td>9</td>
<td>2</td>
<td>33</td>
<td>18.75%</td>
</tr>
</tbody>
</table>
(6) Leverage of State Investment in All Past Priority Projects

Provide a table, chart or pie chart showing the information listed below relating to priority projects only. Exclude from the calculations priority projects that were cancelled, terminated, or where the award was declined. Include a note about that exclusion on the chart:

For each CFA Round show for the region

- The total number of CFA priority projects funded in that round.
- The total project cost for all CFA priority projects funded in that round.
- The total amount of ESD Capital Fund awards made in that round.
- The ratio of total project cost to total ESD Capital Fund awards for all priority projects in that round.

A region may choose to include an additional column showing the return on state investment which includes 5-year payroll numbers or total CFA awards made to the region, but the 5-year payroll number should not be used in calculating the ratio of total project cost to total ESD Capital Fund awards.

An example is provided from the New York City Regional Council 2016 Progress Report.

### LEVERAGE OF STATE INVESTMENT IN ALL PAST PRIORITY PROJECTS

The table below lists the ratio of the total investment in past priority projects to the state investment over Rounds I through V of the REDC.

<table>
<thead>
<tr>
<th>Round</th>
<th>Total Number of CFA Priority Projects</th>
<th>Total Project Cost</th>
<th>Total Amount of ESD Capital Fund Awards</th>
<th>Ratio of Total Cost to Total ESD Capital Fund Awards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Round I</td>
<td>3</td>
<td>$455,100,000</td>
<td>$44,500,000</td>
<td>10.2</td>
</tr>
<tr>
<td>Round II</td>
<td>6</td>
<td>$343,150,000</td>
<td>$18,686,346</td>
<td>18.4</td>
</tr>
<tr>
<td>Round III</td>
<td>2</td>
<td>$540,000,000</td>
<td>$5,000,000</td>
<td>108</td>
</tr>
<tr>
<td>Round IV</td>
<td>7</td>
<td>$1,035,800,000</td>
<td>$9,550,000</td>
<td>108.5</td>
</tr>
<tr>
<td>Round V</td>
<td>16</td>
<td>$2,645,546,003</td>
<td>$91,236,346</td>
<td>20.1</td>
</tr>
<tr>
<td>Total</td>
<td>34</td>
<td>$2,645,546,003</td>
<td>$91,236,346</td>
<td>28.9</td>
</tr>
</tbody>
</table>

Note: In the case of the project receiving funding over multiple rounds, that project’s cost is only reflected once in the total project cost. In addition, one terminated project has been excluded from the calculations.
C. STATUS OF ALL PROJECTS AWARDED CFA FUNDING

This section consists of four parts: (1) a narrative; (2) the aggregated status of all past CFA projects; (3) the leverage of state investment in all past CFA projects; and (4) job creation data related to all past CFA projects.

(1) Narrative

Provide a brief narrative highlighting a few past CFA projects and summarizing the status of all past CFA projects.

(2) Aggregated Status of All Projects

Provide a table showing the aggregate status of all projects receiving CFA awards in 2011 – 2016, including the priority projects. Include projects that were cancelled, terminated, or where the award was declined. It is not necessary to provide the status of individual projects.

For each CFA round show:

- The status of projects using the color code/project status category as used for priority projects.
- The total number of awards for all years.
- The percentage of total projects by status using the same color code/project status category.

This concept is illustrated in the Finger Lakes Regional Council 2016 Progress Report.

---

**Status of All Projects Awarded CFA Funding**

517 projects in the Finger Lakes region have received awards through the CFA process over the last five years. These projects represent $1.9 billion in total investment, leveraging $230 million in state support by a ratio of more than 8 to 1.

**Overall CFA Status**

---

### Aggregated status of all CFA projects

<table>
<thead>
<tr>
<th>Status</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>Total</th>
<th>% of projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed</td>
<td>75</td>
<td>93</td>
<td>43</td>
<td>24</td>
<td>7</td>
<td>181</td>
<td>39.1%</td>
</tr>
<tr>
<td>On schedule</td>
<td>14</td>
<td>13</td>
<td>44</td>
<td>32</td>
<td>125</td>
<td>298</td>
<td>52.9%</td>
</tr>
<tr>
<td>Contract not yet executed</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>9</td>
<td>12</td>
<td>2.3%</td>
</tr>
<tr>
<td>Progressing slow</td>
<td>0</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>10</td>
<td>2.0%</td>
</tr>
<tr>
<td>Concerns need to be resolved</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0.4%</td>
</tr>
<tr>
<td>Cancelled or funding declined</td>
<td>4</td>
<td>9</td>
<td>4</td>
<td>2</td>
<td>1</td>
<td>19</td>
<td>3.7%</td>
</tr>
<tr>
<td>TOTALS</td>
<td>94</td>
<td>78</td>
<td>92</td>
<td>103</td>
<td>145</td>
<td>512</td>
<td>100.0%</td>
</tr>
</tbody>
</table>
Regional Economic Development Councils  |  IMPLEMENTING OUR PLANS 2017

(3) Leverage of State Investment in All CFA Projects

Provide a chart showing the information listed below relating to all projects awarded through the CFA, including priority projects. Exclude from the calculations projects that were cancelled, terminated, or where the award was declined. Note that exclusion in a footnote to the chart. For each CFA round show:

- The total number of CFA projects in that round.
- The total amount of CFA awards made for projects in that round.
- The total project cost for all projects in that round.
- The ratio of total project cost to total CFA awards for all projects in that round.

This concept is illustrated in the Finger Lakes Regional Council 2016 Progress Report.

---

<table>
<thead>
<tr>
<th>Leverage of State investment in all CFA projects</th>
<th>ROUND 1</th>
<th>ROUND 2</th>
<th>ROUND 3</th>
<th>ROUND 4</th>
<th>ROUND 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total projects</td>
<td>94</td>
<td>80</td>
<td>94</td>
<td>104</td>
<td>145</td>
</tr>
<tr>
<td>Total project cost (TPC)</td>
<td>$273,548,568</td>
<td>$266,380,716</td>
<td>$196,251,350</td>
<td>$361,172,160</td>
<td>$877,215,075</td>
</tr>
<tr>
<td>Total amount of CFA Awards</td>
<td>$53,430,715</td>
<td>$41,030,709</td>
<td>$24,120,435</td>
<td>$42,009,118</td>
<td>$71,697,312</td>
</tr>
<tr>
<td>Ratio of TPC to CFA Awards</td>
<td>5:1</td>
<td>6.5:1</td>
<td>8:1</td>
<td>9:1</td>
<td>12:1</td>
</tr>
</tbody>
</table>

(4) Job Creation

Provide a chart showing the information listed below relating to all projects awarded through the CFA, including priority projects. Exclude from the calculations projects that were cancelled, terminated, or where the award was declined. Please indicate if the numbers are actual or projected, and be sure to adjust the numbers based on current projections or project terminations. If the Regional Council chooses to include estimates of indirect jobs, that estimate should be clearly distinguished from direct jobs.

For each CFA round show:

- The total number of jobs created.
- The total number of jobs retained, if applicable.

An example is provided from the Long Island Regional Council 2016 Progress Report.
(5) Full List of all Funded CFA projects

Include a list of all CFA projects funded in the past six rounds. This list should appear in the appendices, and will not count towards the 110 page limitation on the size of the Annual Report. Please include all projects that were announced in the REDC Awards booklet, including projects that were cancelled, terminated, or where the award was declined. The following information should be provided for each project:

- Applicant name
- Project name
- Agency and Program
- Award Amount
- Total Project Cost
- Grant disbursement to date
- Status (indicated by color)
III. Implementation Agenda (up to 70 pages)

A. IMPLEMENTATION OF 2017 STATE PRIORITIES

Describe any new strategies the region has adopted to address the main priorities identified by the State for 2017; any progress made between October of 2016 and September of 2017 on new or related strategies; and significant actions that are needed to implement the strategies in 2017-2018. Where the region has existing strategies that address the priorities, provide a list or narrative of those strategies. A proposed priority project can be referenced here, but will be described in a separate section of the report.

This concept is illustrated by a highlighted excerpt from the Southern Tier REDC 2016 Progress Report describing how the Opportunity Agenda is being implemented.
B. IMPLEMENTATION OF KEY REGIONAL PRIORITIES

For other key regional priorities established in the regional strategic economic plan and its updates, and if applicable the regional Upstate Revitalization Plan, describe the following:

- Significant progress made between September of 2015 and September of 2016, including progress made to advance the region’s key industry cluster.

- New regional strategies developed in 2017 and significant actions needed to implement them.

- Significant actions needed to implement the Upstate Regional Revitalization Plan, regardless of its award status.

It is not necessary to report on all of the region’s priorities.

This concept is illustrated by a highlighted excerpt from the Southern Tier REDC 2016 Progress Report describing how the Opportunity Agenda is being implemented.
C. PROPOSED PRIORITY PROJECTS

This section consists of five parts: (1) Priority Project descriptions; (2) overall investment ratio for proposed Priority Projects; (3) map of Proposed Priority Projects; (4) proposed Priority Projects relating to state priorities; and (5) a summary of other projects relating to state priorities (NEW).

(1) Priority Project Descriptions

Describe each proposed priority project endorsed by the Regional Council and the job creation and investment expected to occur as a result of the project receiving ESD capital funds and/or Excelsior Tax Credits. Include the information shown below for each proposed priority project. Examples are provided from the Mohawk Valley REDC 2016 Progress Report and the Southern Tier REDC 2016 Progress Report.

- CFA number
- Applicant and project name
- Project location (county/borough)
- Project description
- Total project cost
- Amount of award requested by the applicant
- Projected number of direct/permanent jobs created
- Projected number of indirect/construction jobs created
- Projected number of jobs retained (if applicable)
- Past CFA awards received for project (if applicable)
- Sources of project funds
- Uses of project funds
- Link to goal or strategy being implemented
MECHANICS HALL UTICA

CFA # 68150
APPLICANT 118 Liberty Street, LLC
LOCATION Oneida County
TOTAL PROJECT COST $18,525,000
RECOMMENDED FUNDING $1,800,000
PAST CFA AWARD $0
DIRECT JOBS CREATED OR RETAINED 0
INDIRECT/CONSTRUCTION JOBS CREATED 20

The proposed project involves the redevelopment of three distinct buildings which comprise the larger development parcel. Two larger structures add up to 52,500 square feet, while strategic infill will also take place, resulting in 36,000 square feet of built space being added. The resultant project will provide a total of 88,732 square feet. On the western facing side of the site, an open-space courtyard will be established connecting pedestrians within the complex to the neighborhood. Intended uses for the first floor of this mixed-use project include retail, office/commercial space, and parking. This investment will also create approximately 58 apartment units on the upper floors being developed. The Utica Public Library and the Oneida County Historical Society will establish a Reading Room in a common area of the complex.

Strategic Alignment:

VIBRANT COMMUNITIES – This project aligns with the MVREDCs core strategy of reviving communities. This project invests in one of the region's flourishing main street districts, and fosters community revitalization. It is also contributing to the reuse of vacant buildings stock. Furthermore, the style of housing to be offered in this development, coinciding with the urban "vibe" being cultivated in Utica’s Bagg’s Square, is the sort of development that will attract the workforce needed for development in the region's STEM-intensive industries.

<table>
<thead>
<tr>
<th>SOURCES OF FUNDS</th>
<th>USES OF FUNDS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PUBLIC SOURCES OF FUNDS</strong></td>
<td><strong>USE</strong></td>
</tr>
<tr>
<td>Empire State Development Grant</td>
<td>Construction</td>
</tr>
<tr>
<td>TOTAL PUBLIC FUNDS</td>
<td>Architectural/Engineering</td>
</tr>
<tr>
<td><strong>PRIVATE SOURCES OF FUNDS</strong></td>
<td></td>
</tr>
<tr>
<td>PRIVATE: Owner Equity</td>
<td></td>
</tr>
<tr>
<td>PRIVATE: Other</td>
<td></td>
</tr>
<tr>
<td>TOTAL PRIVATE FUNDS</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL COST</strong></td>
<td></td>
</tr>
</tbody>
</table>
CEMEECON INC. EXPANSION PROJECT

CFA Number: 67678
Project Applicant: CemeCon Inc.
Project Name: CemeCon Inc. Expansion Project
Project Location:
   City: Horseheads
   County: Chemung
Projected Number of Jobs Retained: 46
Projected Number of Direct Jobs Created: 12

Link to Goal or Strategy Being Implemented:
CemeCon is in the Elmira Empire Zone and adjacent to several distressed census tracts in the City of Elmira and the City of Corning. CemeCon Inc. will retain 46 full-time jobs and create 12 new full-time jobs within the next five years. The project, which will include investing 80 percent ($4,024,000-4,500,000) private funds, supports the tax base and community revitalization efforts. CemeCon Inc. is an advanced manufacturer implementing state-of-the-art technology for the CVD Diamond Coating Service and technical support of the market through the creation of a new North American headquarters in Big Flats.

Description: CemeCon Inc. manufactures carbide cutting tools with high-performance coatings. The company’s 25,000-square-foot facility houses PVD coating production and CVD Diamond, with production support from the parent company in Germany. CemeCon Inc. has established a leading position in this technology in North America. Significant growth in the use of composite materials for commercial, military, aerospace, and transportation manufacturing applications is increasing the demand for advanced cutting tools to machine these new materials. CemeCon is prepared to make a long-term commitment to new production capacity for CVD Diamond Coating Service and provide technical support for the market through the creation of a new North American headquarters for CemeCon Inc. and a dedicated state-of-the-art CVD Diamond Coating Facility. The proposed facility is in the same complex as CemeCon at 100 IST Center, Big Flats. It will require complete remodeling with approximately two-thirds of the building dedicated to advanced CVD Diamond coating production and the balance reserved for national headquarters.

BUDGET: SOURCES AND USES

<table>
<thead>
<tr>
<th></th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Project Cost</td>
<td>$5,030,000</td>
</tr>
<tr>
<td>Funding Requested</td>
<td>$1,006,000</td>
</tr>
<tr>
<td>Private Sources of Funds</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$3,521,000</td>
</tr>
<tr>
<td></td>
<td>Cash Equity $503,000</td>
</tr>
<tr>
<td>Total Private Funding</td>
<td>$4,024,000</td>
</tr>
<tr>
<td>Use of Funds</td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td>$325,000</td>
</tr>
<tr>
<td>Construction</td>
<td>$550,000</td>
</tr>
<tr>
<td>Equipment</td>
<td>$3,860,000</td>
</tr>
<tr>
<td>Architectural</td>
<td>$295,000</td>
</tr>
</tbody>
</table>

Southern Tier Soaring • 2016 Progress Report
(2) Overall Investment Ratio for Proposed Priority Projects

Provide an investment ratio for the total of all proposed 2017 priority projects, excluding public infrastructure projects, comparing the proposed total project cost to total proposed ESD Capital Fund investment. An example is provided from the Long Island REDC 2016 Progress Report.

(3) Map of Proposed Priority Projects

Provide a graphic that illustrates the geographic distribution of the proposed priority projects for 2017. An example is provided from the New York City REDC 2016 Progress Report.
(4) Proposed Priority Projects Relating to State Priorities

Provide a crosswalk chart showing how proposed priority projects relate to State priorities. Chart projects supporting the following priorities:

1. Downtown Revitalization
2. Life Sciences Cluster
3. Workforce Training
4. Regional Cluster Plan
5. Opportunity Agenda
6. Veterans

The example provided from the Central New York REDC 2016 Progress Report includes a crosswalk of both state priorities (blue) and local strategies (green).

<table>
<thead>
<tr>
<th>Proposed Priority Projects</th>
<th>Link to Goal Being Implemented</th>
<th>Proposed Priority Projects Related to State Priorities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Linked to Goals Being Implemented and State Priorities</td>
<td>Goal 1</td>
<td>Goal 2</td>
</tr>
<tr>
<td>CFA#</td>
<td>Project Applicant</td>
<td></td>
</tr>
<tr>
<td>67546</td>
<td>499 Syracuse City Centre, LLC</td>
<td></td>
</tr>
<tr>
<td>66955</td>
<td>55 Main Street Holdings LLC</td>
<td></td>
</tr>
<tr>
<td>63363</td>
<td>Addis Building, LLC</td>
<td></td>
</tr>
<tr>
<td>61899</td>
<td>Beak &amp; Skiff Holding Company, LLC</td>
<td></td>
</tr>
<tr>
<td>65632</td>
<td>Cayuga Economic Development Agency, Inc.</td>
<td></td>
</tr>
<tr>
<td>67329</td>
<td>Central Association for the Blind, Inc.</td>
<td></td>
</tr>
<tr>
<td>67293</td>
<td>CG USL Ventures I, LLCx</td>
<td></td>
</tr>
<tr>
<td>68450</td>
<td>CIDEC, LLC</td>
<td></td>
</tr>
<tr>
<td>67639</td>
<td>City of Oswego</td>
<td></td>
</tr>
<tr>
<td>51982</td>
<td>Clear Path for Veterans Inc.</td>
<td></td>
</tr>
<tr>
<td>68519</td>
<td>Cortland Downtown Partnership</td>
<td></td>
</tr>
<tr>
<td>69438</td>
<td>Crouse Health Hospital, Inc. dba Crouse Hospital</td>
<td></td>
</tr>
<tr>
<td>63185</td>
<td>Dupli Associates, LLC</td>
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<td>63946</td>
<td>Grange Realty Associates LLC</td>
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<td>64925</td>
<td>Greater Syracuse Business Development Corporation</td>
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<td>66698</td>
<td>Half in the Bag Brewery LLC dba Willow Rock Brewing Company</td>
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<td>66754</td>
<td>Home Headquarters</td>
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<td>64412</td>
<td>JD Farms</td>
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<td>67852</td>
<td>Kelsey Moody &amp; Associates, LLC</td>
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<td>Maguire Family Enterprises, LLC</td>
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<td>Northeast Information Discovery Inc.</td>
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<td>Oneida Air Systems, Inc.</td>
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<td>Onondaga Historical Association</td>
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<td>RPS Hotel Holdings, LLC</td>
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<td>Steri Pharma, LLC</td>
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<td>67297</td>
<td>The Reaverbacker Brewery &amp; Public House, LLC</td>
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<td>67088</td>
<td>The Salvation Army</td>
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<td>67713</td>
<td>Town of Cortlandville</td>
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<td>Town of Sullivan</td>
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<td>64381</td>
<td>United Cerebral Palsy Assoc. Cayuga County Inc. dba E. John Gavras Center</td>
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<tr>
<td>68697</td>
<td>Weaver Machine</td>
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</table>
(5) Summary of Other Projects Relating to State Priorities

Provide a summary of other regionally significant projects that were not listed as Priority Projects for ESD Capital Funding. Include the CFA number; applicant or business name; project title; the CFA funding program from which it is seeking funding; and state priority it addresses. It is not necessary to list projects which do not address a state priority.

An example is provided from the Capital Region REDC 2016 Progress Report, which also indicated the regional strategies that were addressed by the projects.

<table>
<thead>
<tr>
<th>NON-ESD PROJECTS</th>
<th>STRATEGIES</th>
<th>THEMES</th>
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<tr>
<td></td>
<td>Leverage &amp; Collaborate</td>
<td>Open New Doors</td>
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<tr>
<td>64986 Upper Hudson Northern Catskill Natural Resources Trust Inc</td>
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<td>Willows Restoration</td>
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<td>65912 Hudson Opera House</td>
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<td>Next Stage Project Phase 3</td>
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<td>66295 Historic Albany Foundation</td>
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<td>48 Hudson Avenue Restoration</td>
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<tr>
<td>68589 City of Albany, NY</td>
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<td>Lincoln Park Pool Project</td>
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<td>64023 Capitalize Albany Corporation</td>
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<tr>
<td>Albany Skyway Project</td>
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<td>66023 Historic Hudson Inc., Dr Olver Bronson House Phase III Restoration</td>
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<td>68615 Hubbard Hall Projects, Inc.</td>
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<td>Hubbard Hall Historic Structure Report</td>
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<td>64950 Town of Granville</td>
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<td>D&amp;H Rail Trail Corridor</td>
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<td>65417 Village of Voorheesville</td>
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<td>Voorheesville Main Street Trailhead Project</td>
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<td>68251 Troy Savings Bank Music Hall Corporation</td>
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<tr>
<td>Expansion Planning</td>
<td></td>
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<tr>
<td>68328 Village of Cambridge</td>
<td></td>
<td></td>
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<tr>
<td>West End Park</td>
<td></td>
<td></td>
</tr>
<tr>
<td>68051 City of Troy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ingalls Avenue Shoreline Park (aka Erie Canal Gateway Park)</td>
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</tbody>
</table>

55
IV. Participation (up to 5 pages)

A. DESCRIBE WORK GROUPS

Work groups help identify and implement Regional Council strategies. Describe the work groups engaged in Regional Council activities in 2017.

B. LIST WORK GROUP MEMBERS

Work group membership represents an extended coalition of people and organizations working to achieve the Region’s vision. Recognize the members of each work group in a list by name and affiliation. An excerpt is provided from the Mohawk Valley REDC 2016 Progress Report.

2016 Workgroups

- AGRICULTURE & FOOD SYSTEMS THINKTANK.
  - This group germinated in 2015 as a strategic advisory group to support the URI plan, and continues to guide the Mohawk Valley’s Agri-business strategy advancement through a series of targeted investments and grassroots initiatives.
  - Dr. Jason Evans, SUNY Cobleskill
  - Christopher Guldner, Schoharie County Tourism
  - Rebecca Morgan, Center for Agricultural Economic Development and Entrepreneurship
  - Jim Manning, Cornell Cooperative Extension
  - George Joseph, North Star Orchards
  - Don Smyers, Cornell Cooperative Extension
  - Chris Curro, Mohawk Harvest Cooperative
  - Marty Broccoli, Cornell Cooperative Extension
  - Luis Gato, Gato Consulting
  - James Genovese, Oneida County Executive’s Office
  - Alicia Dicks, Community Foundation of Herkimer & Oneida Counties, Inc.

- SMART GROWTH & BROWNFIELD REVITALIZATION.
  - Comprised mostly of the founding members of the MV Sustainability Coalition (2011) and one of the original advisory bodies to the MVREDC, this committee works to advance regional priorities that closely align with the principles of Smart Growth and Sustainability – with a focus on urban core revitalization, brownfield redevelopment, green infrastructure, and adaptive reuse.
  - Alicia Dicks, Community Foundation of Herkimer & Oneida Counties, Inc.
  - Matt Andrews, City of Rome
  - Bob Lambe, Town of Marcy
  - Elizabeth Horvath, Otsego Now
  - Jim Mraz, Fulton County
  - Ken Rose, Montgomery Business Development Center
  - Christian Mercurio, MVEDGE
  - Carolyn Lewis, Basset Healthcare Network
  - Diane Shoemaker, Rust 2 Green Utica
  - J. Caroline Williams, Cornell Cooperative Extension
C. ENGAGEMENT AND SUPPORT OF THE PUBLIC AND LOCAL OFFICIALS

Implementation of regional strategies requires the support and active participation of community leaders, such as elected officials, chamber of commerce leaders, and nonprofit boards of directors. Describe how members of the community, public, and other stakeholders are engaged in the Regional Council process. Describe how the region is unified around the implementation agenda, including the selection of a downtown for Downtown Revitalization Initiative funding. Do not include copies of letters or resolutions of support.

V. Downtown Revitalization Initiative Round Two (up to 5 pages)

Use up to five pages to provide information about the region’s DRI Round II community and why it was selected. Include the following:

- The name of the selected community
- The location and boundary of the selected downtown
- A brief discussion of the Regional Council’s rationale for selecting the downtown
- The importance of downtown revitalization in advancing regional strategies
- A summary of the assets that make the selected downtown unique
- A brief narrative of the community’s vision or concept for downtown revitalization
- A brief description of projects or proposals that have been preliminarily identified by the community
- A list of the members of the DRI local planning committee and their affiliation
Capital Region

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James J. Barba
President & CEO, Albany Medical Center
James Stellar
Interim President, University at Albany

General Members
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Vice President, Realty USA
Dennis Brobston
President, Saratoga Economic Development Corporation
David Brown
President & CEO, Capital District YMCA
David Buicko
COO, Galesi Group
Mary Cheeks
General Manager, Rivers Casino and Resort
Joseph Dragone, Ph.D
Superintendent, Ballston Spa Central School Dist.
Todd Erling
Executive Director, Hudson Valley Agribusiness Development Corporation
Bill Hart
Controller, Irving Tissue Inc.
Michael Hickey
Vice President & Chief of Staff, Siena College
Drew Matonak
President, Hudson Valley Community College
Linda McFarlane
Executive Director, Community Loan Fund of the Capital Region
Andrew Meader
Director of Corporate Alliances, Six Flags/The Great Escape
Philip Morris
Chief Executive Officer, Proctor’s Theatre
Matthew Nelson
VP & Mortgage Officer, The Community Preservation Corporation, Inc.
Lauren Payne
Principal, Spiral Design Studios
Sinclair Schuller
CEO, Apprenda
Jeff Stark
President, Greater Capital Region Building Trades Council
F. Michael Tucker
President, Tucker Strategies, Inc.
Omar Usmani
Executive Partner, Aeon Nexus Corporation
Joe Wildermuth
Vice President, Peckham Industries

Central New York

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President, CenterState CEO
Dr. Danielle Laraque-Arena
President, SUNY Upstate Medical University

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President, Tony Baird Electronics
Jochen Becker
President, Marquardt Switches, Inc.
Cohn Currier
President, Currier Plastics
Andrew Fish
Executive Director, Cayuga County Chamber of Commerce
Chedy Hampson
President & CEO, TCGPlayer.com
Kipp Hicks
Director, Madison County IDA
Michael Johnson
General Manager, Johnson Brothers Lumber Company
Greg Larioni
Vice President, Lockheed Martin Corporation
Dr. Linda LeMura
President, LeMoyne College
Cornelius B. Murphy, Jr., Ph.D.
SUNY College of Environmental Science & Forestry
Rita Paniagua
Executive Director, Spanish Action League
Timothy Penix
Vice President/Director, SUNY Syracuse Educational Opportunity Center
Kathryn H. Ruscitto
President & CEO, St. Joseph’s Hospital
Deborah F. Stanley
President, SUNY Oswego
Michael Szidat
President, Felix Schoeller North American, Inc.
Ann Marie Taliercio
President, UNITE HERE Local 150, AFL-CIO
L. Michael Treadwell
Area Industrial Director, Operation Oswego County, Inc.
Garry VanGorder
Executive Director, Cortland County Business Development Corp.
Tracy Verrier
Executive Director, Cayuga Economic Development Agency
Jack H. Webb
Executive Vice President (Retired), NBT Bank
Nancy Weber
President, Oswego County Farm Bureau/Owner of Mexican Pride Farm
Finger Lakes

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Dr. Anne M. Kress
President, Monroe Community College

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VP Community Affairs, Constellation Brands, Inc.
Matthew Cole
Vice President, Commodity Resource Corporation
Charles Cook
President & CEO, Liberty Pumps Inc.
William W. Destler
President, Rochester Institute of Technology
Robert Duffy
President & CEO, Greater Rochester Chamber of Commerce
Steve Griffin
CEO, Finger Lakes Economic Development Center
Tony Jackson
President, Panther Graphics
G. Thomas Macinski
President, Standing Stone Winery
Theresa B. Mazzullo
CEO, Excell Partners, Inc.
Augustin Melendez
President, Hillside Work Scholarship Connection
Andrew Moreau
CFO Precision, Packaging Products
John Noble
President & Owner, Synergy, LLC
Wade Norwood
Chief Strategy Officer, Finger Lakes Health Systems Agency
Mark S. Peterson
President & CEO, Greater Rochester Enterprise
Peter Robinson
VP Government Relations, University of Rochester Medical Center
Hilda Rosario Escher
President & CEO, Ibero American Action League
Erin Tolefree
Executive VP, Baldwin Richardson Foods
Christine Whitman
Chairman, CEO & President, Complemar, Inc.
Dave Young, Jr.
President, Rochester Building and Construction Trades Council

Long Island

Regional Co-Chairs
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President, Long Island Association
Stuart Rabinowitz
President, Hofstra University

General Members
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Senior VP, Corporate Affairs, Bethpage Federal Credit Union
Noreen Carro
Vice President – New York Division, LMN Printing Co., Inc.
Resi Cooper
President, Cooper Hill
James D’Addario
President & CEO, D’Addario and Company Inc.
John DeCelle
President & CEO, Nassau Financial Federal Credit Union
John R. Durso
President, Long Island Federation of Labor
Lutricia Edwards
Vice President for Community Development Long Island, Citigroup
Tracey Edwards
Region President NY North/West, Verizon Communications
Marianne Garvin
CEO, Community Development Corporation of Long Island
Doon Gibbs
Interim Director, Brookhaven National Laboratory
Elaine Gross
President & CEO, ERASE Racism
Harvey Kamil
Vice Chairman, NBTY, Inc.
David Kapell
President, Kapell Real Estate, Inc.
Seymour Liebman
Executive VP, Chief Administrative Officer and General Counsel, Canon USA, Inc.
Jim Morgo
President, Morgo Private Public Strategies
Belinda Pagdanganan
Government Relations Manager, National Grid
Desmond M. Ryan
Executive Director, Association for a Better Long Island, Inc.
Paulette Satur
President, Satur Farms, LLC
Anne D. Shybunko-Moore
President/Owner, GSE Dynamics, Inc.
Samuel L. Stanley Jr.
M.D., President, Stony Brook University
Regional Economic Development Councils | IMPLEMENTING OUR PLANS 2017

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President Emeritus, Marist College

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Vincent Cozzolino
President & CEO, The Solar Energy Consortium
Jonathan Drapkin
President and CEO, Hudson Valley Pattern for Progress
Mike Finnegan
President/COO, Continental Organics
Carol Fitzgerald
President & CEO, Life Medical Technologies Inc.
Aleida Frederico
Senior Vice President, TD Bank
Marsha Gordon
President & CEO, Westchester Business Council
Maureen Halahan
President & CEO, Orange County Partnership
Wiley C. Harrison
Founder & President of Business of Your Business, LLC
Ken Kleinpeter
Director of Farm and Facilities, Glynwood Farm
Jackie Leventoff
Sr. Director, Community & Employee Relations, Granite Associates
Al Samuels
President & CEO, Rockland Business Association
David Sorbaro
Co-Owner, Mavis Discount Tires
Ned Sullivan
President, Scenic Hudson, Inc.
James Taylor, III
CEO, Taylor BioMass, LLC
Dr. Cliff L. Wood
President, SUNY Rockland Community College

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President, Fulton-Montgomery Community College

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Juanita Bass
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Laura Casamento
President, Utica College
Steve DiMeo
President, Mohawk Valley EDGE
Rich Creedon
President & CEO, Utica National Insurance Group
Sarah Goodrich
Executive Director, Schoharie Area Long Term
Charles Green
President & CEO, Assured Information Security
Wally Hart
Div. Director for Business & Community Development, The Lexington Center
Mark Kilmer
President & CEO, Fulton Montgomery Regional Chamber of Commerce
Katherine Landers
Senior VP, NY Central Mutual Insurance Co.
Carolyn A. Lewis
Economic Development Coordinator, SUNY Oneonta
Nicholas O. Matt
Chairman & CEO, Matt Brewing Company
Ken Meifert
VP Sponsorship & Development, National Baseball Hall of Fame and Museum
Mary Morse
Owner, Kwik-Kut Manufacturing
Nancy Patterson
President & CEO, Paige Marketing Communications Group
Dr. Reneé Scialdo
Shevat President & Owner, Herkimer Diamond Mines, Inc.
Marion Terenzio
President, SUNY Cobleskill
Ken Rose
CEO, Montgomery County Business Development Center
**New York City**

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Partner, Fisher Brothers  
Cheryl A. Moore  
President & CEO, New York Genome Center

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Wellington Chen  
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Marlene Cintron  
President, Bronx Overall Economic Development Corporation (BOEDC)  
Cesar J. Claro  
President & CEO, Staten Island Economic Development Corporation  
Carol Consolato  
Past President / Counsel, Queens Chamber of Commerce  
Mike Fishman  
Secretary-Treasurer, SEIU  
Lisa Futterman  
Consultant, Workforce Development Institute  
Monique Greenwood  
CEO of Akwaabe Bed & Breakfast Inns  
Gail Grimmett  
Senior Vice President for New York, Delta Airlines  
Steve Hindy  
Co-founder and Chairman, Brooklyn Brewery  
Dr. Marcia V. Keizs  
President, York College  
Kenneth Knuckles  
President & CEO, Upper Manhattan Empowerment Zone Development Corporation  
Gary LaBarbera  
President, Building and Construction Trades Council of Greater New York  
Nick Lugo  
President, New York City Hispanic Chamber of Commerce  
Ashok Nigalaye  
President & CEO, Epic Pharma LLC  
Carlo Scissura, Esq.  
President & CEO, Brooklyn Chamber of Commerce  
Douglas C. Steiner  
Chairman, Steiner Studios  
Marcel Van Ooyen  
Executive Director, Grow NYC  
Peter Ward  
President, New York Hotel and Motel Trades Council  
Sheena Wright  
President & CEO, United Way of New York City  
Kathryn Wylde  
President & CEO, Partnership for New York City  
Kinda Younes  
Executive Director, Industrial & Technology Assistance Corporation

**North Country**

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President, Clarkson University  
Gary Douglas  
President, North Country Chamber of Commerce

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Executive Director, Adirondack Foundation  
Reg Carter  
Executive Director, CITEC  
John R. Donoghue  
Delegate, Northeast Central Labor Council  
Dr. Cathy Dove  
President, Paul Smith College  
Dr. John Ettling  
President, SUNY Plattsburgh  
Kate Fish  
Executive Director, Adirondack North Country Association  
Joe Giroux  
Owner, Giroux Family Farms  
Paul Grasso  
President, The Development Corporation  
Bridget Hart  
President, Kinney Drugs  
Michele Ledoux  
Executive Director, Lewis County Cornell Cooperative Extension  
Bob Lenney  
Location Manager, Alcoa-Massena Operations  
James McKenna  
CEO, Regional Office of Sustainable Tourism  
Carl A. McLaughlin  
Executive Director, Fort Drum Regional Liaison Organization  
Dr. Zvi Szafran  
President, SUNY Canton  
David Tomberlin  
Founder, The Well Dressed Food Company  
Mark E. Tryniski  
President & CEO, Community Bank  
Donna Wadsworth  
Communications Director, International Paper Company - Ticonderoga Mill  
Lisa Weber  
CEO, Timeless Frames and Timeless Décor  
Daniel Wilt  
President, Wilt Industries  
James W. Wright  
Executive Director, Development Authority of the North Country
Southern Tier

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President, Binghamton University
Tom Tranter
President & CEO, Corning Enterprises

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Dean of College of Agricultural and Life Sciences, Cornell University
Kathy Connerton
President & CEO, Lourdes Hospital
Patricia A. Cummings
Partner, Leonard & Cummings, LLC
Martin A. Dietrich
President & CEO, NBT Bank
Peg Ellsworth
Executive Director, MARK Project Inc.
Michael Field
President of Operations and Engineering, Raymond Corporation
Betsy Hale
President, Three Rivers Development Corp.
Ernie Hartman
Business Manager, IBEW Local 139
Mike Krusen
President, Southern Tier Economic Growth, Inc.
Michael Laliberte
President, SUNY Delhi
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Executive Director, Schuyler County Partnership for Economic Development
Kevin McLaughlin
Executive Director, Broome County IDA
Mary Opperman
VP & Chief Human Resources Officer, Cornell University
Michael Printup
President, Watkins Glen International Speedway
Barbara J. Schindler
President & COO, Golden Artists Colors, Inc.
Linda Shumaker
President, Shumaker Engineering & Surveying, P.C.
Daniel Spoor
Vice President, Lockheed Martin Systems Integration
Michael Stamm
President, Tompkins County Area Development, Inc.
LeeAnn Tinney
Director, Tioga County Economic Development and Planning
Stephen Trichka
VP & General Manager, BAE Systems

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Virginia Horvath
President, SUNY Fredonia

General Members
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President & CEO, Niagara USA Chamber
Aaron Bartley
Executive Director, PUSH (People United for Sustainable Housing) Buffalo
Robert T. Brady
Chairman & CEO, Moog
Paul Brown
President, Buffalo Building & Construction Trades
Katherine Conway-Turner
President, SUNY Buffalo State
Dr. Michael Cropp
President & CEO, Independent Health
Colleen C. DiPirro
President & CEO, Amherst Chamber of Commerce
Dottie Gallagher-Cohen
President & CEO, Buffalo Niagara Partnership
Dr. Rosa Gonzalez
Owner, RGonzalez Consulting and Assistant Professor & Chair, Erie Community College Emergency Management Program
John R. Koelmel
Senior Advisor, Catapult LLC
Thomas A. Kucharski
President & CEO, Buffalo Niagara Enterprise
Brenda W. McDuffie
President & CEO, Buffalo Urban League, Inc.
Michael Metzger
President, Blackstone Advanced Technologies LLC
Jennifer J. Parker
CEO, Jackson Parker Communications, LLC
Melinda Vizcarra
Partner, Becker Farms & Vizcarra Vineyards
Mark Zupan, Ph.D.
President, Alfred University
Regional Economic Development Councils
CODE OF CONDUCT

In 2011, Governor Andrew M. Cuomo established 10 Regional Economic Development Councils (the “Councils”) to develop long-term strategic plans for economic growth for their regions. The Councils are public-private partnerships made up of local experts and stakeholders from business, academia, local government, and non-governmental organizations and are advisory in nature. This Code of Conduct describes the ethical responsibilities of Members of the Councils.

This Code does not supersede or replace any other applicable laws, regulations, or requirements.

Section 1. Code of Ethics

1. Conflicts of Interest: Members shall avoid actual and potential conflicts of interest and shall not allow their personal interests, financial or otherwise, or those of a Relative, to interfere with, or appear to interfere with, their independent advice as a Member.

2. Confidential Information: Members shall not disclose information obtained as a result of Council membership that is not otherwise public, and shall not use information to further their own interests or those of another Member or a Relative.

3. Unwarranted Privileges: Members shall not use or attempt to use their position on the Council to secure unwarranted privileges for themselves, any other person, or any entity.

Section 2. Disclosure and Recusals

1. Statement of Interest Form: Within 30 days of appointment to the Council, and every year, each Member shall submit to the Regional Council Chair a written statement (the “Statement of Interest Form”) identifying any entity, enterprise or real property (excluding personal residences), in which he or she, a spouse or unemancipated child, has an interest, whether as an owner, officer, director, employee, Investor, or consultant.

2. Recusal: No Member shall participate in any Council discussion or vote, attempt to influence such discussion or vote, or review materials provided to the Council or distribute materials to the Council relating to any entity where such Member or Relative has an interest as a board member, owner, officer, employee or Investor in the entity or in a
potential competitor, or where such Member or Relative has a financial interest in the matter. No Member shall attend such Council discussions or votes, unless such discussions or votes are taking place as part of a meeting or proceeding open to the public.

Section 3. Definitions
1. “Member” means any member of any of the Regional Economic Development Councils.

2. “Relative” includes any person living in the same household as the Member, or the spouse, parent, child, or sibling of a Member.

3. A Member is an “Investor” in an enterprise if he or she has provided money or resources to that enterprise; however, investments in mutual funds, index funds and investments in publicly traded stock are not included in the definition of Investor for purposes of this Code of Conduct.

Section 4. Ethics Officer
ESD’s Ethics Counsel shall serve as Ethics Officer for the Council. If a Member is unsure if he or she has an actual or potential conflict of interest, or has any other questions regarding the interpretation and application of this Code of Conduct, the Member should contact the Ethics Officer for guidance. Members are encouraged to disclose known relationships and potential conflicts of interest to prevent even the appearance of impropriety.

Section 5. Acknowledgement
I have read the foregoing, and I agree to comply with and be bound by, the Regional Economic Development Council Code of Conduct.

______________________________________
Print Name

______________________________________    _______________
Signature               Date