



**Regional Economic
Development Councils**



Following the Path of Success



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

Achieves:

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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“The Regional Economic Development Councils have done a great job with 6,300 development projects underway. Every region has seen a drop in unemployment and underemployment.”

- Governor Andrew M. Cuomo

Introduction

In 2011, Governor Andrew Cuomo redesigned the state’s approach to economic development, tasking ten new Regional Economic Development Councils (REDCs) with development of strategic economic development plans specifically tailored to the region’s unique strengths and resources. Through the REDCs, community, business, and academic leaders, along with members of the public in each region of the state were empowered to help direct state investment in support of job creation economic growth.

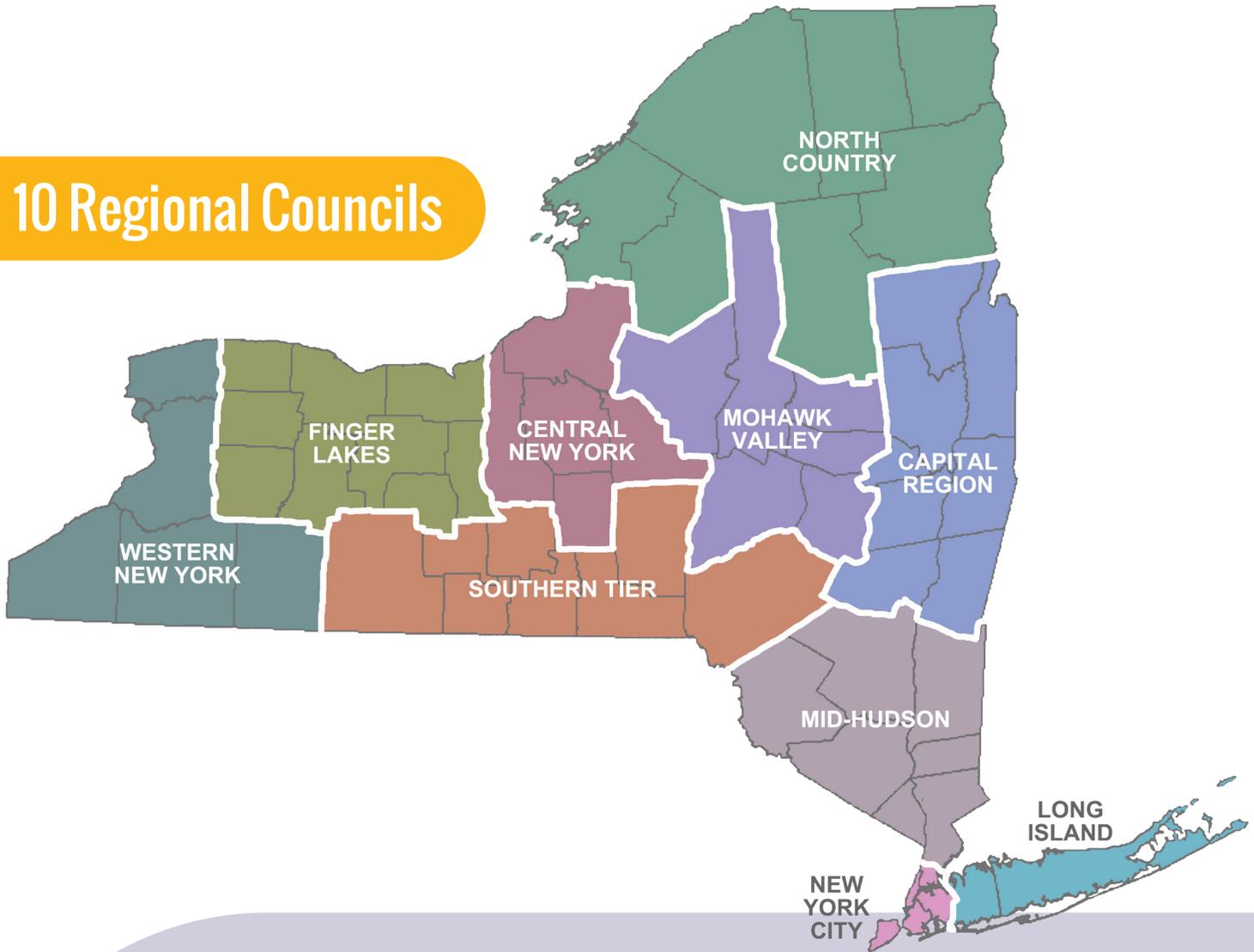
Regional Councils established a path to prosperity, mapped out in strategies developed by the REDCs in regional strategic plans, regional economic cluster plans, Upstate Revitalization Initiative plans, and plans that address emerging state and regional challenges and opportunities. In Western New York, a brighter future is also being made possible through implementation of a region-centric approach, the Buffalo Billion initiative.

In 2018, the Governor will continue this regional economic development journey with an eighth round of REDC awards with up to **\$750 million** to fund regional priority projects; and, he is inviting the REDCs to nominate a third community from their region to participate in the Downtown Revitalization Initiative (DRI). DRI is designed to build on previous plans and investments, and leverage state awards with other public and private funding. Through the DRI, the State provides planning experts to help selected communities re-imagine their downtown areas.

The involvement of thousands of volunteers in the Regional Council Initiative has propelled the regions along the path of sustainable growth. Through strategic and coordinated efforts by the private and non-profit sectors, educational institutions, and state agency partners, opportunity for growth and prosperity has been extend throughout the state. To date, over \$5.4 billion has been awarded through seven rounds of the Regional Council competition for more than 6,300 projects, and will create and retain more than 220,000 jobs across the state.

Together, we will continue to follow the path to success.

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
- Capital Region:** Albany, Columbia, Greene, Saratoga, Schenectady, Rensselaer, Warren, Washington
- Mid-Hudson:** Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester
- New York City:** Bronx, Kings, New York, Richmond, Queens
- Long Island:** Nassau, Suffolk



Lieutenant Governor Kathy Hochul chairs all ten Councils

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, 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

Ruth Mahoney, President and Regional Retail Leader, KeyBank
Dr. Havidán Rodríguez, President, University at Albany

Central New York

Randy Wolken, President, Manufacturers Association of Central NY
Dr. Danielle Laraque-Arena, President, SUNY Upstate Medical University

Finger Lakes

Robert Duffy, President & CEO, Greater Rochester Chamber of Commerce
Dr. Anne M. Kress, President, Monroe Community College

Long Island

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

Mid-Hudson

Dr. Donald P. Christian, President, SUNY New Paltz

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 & COO, New York Genome Center

North Country

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

Southern Tier

Tom Tranter, President & CEO, Corning Enterprises
Dr. Harvey Stenger, President, Binghamton University

Western New York

Jeff Belt, CEO, SolEpoxy, Inc.
Dr. 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 stakeholders representing private business, including small businesses; minority- and women-owned business enterprises (MWBs); 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 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 region's 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. Thousands of volunteers are actively engaged in implementing development strategies through the work groups.

Code of Conduct

The Regional Councils serve in an advisory capacity to the state and, therefore, it is vital that they operate with transparency and that its members are held to the highest levels of integrity. Council members are chosen for their depth of experience, expertise and commitment to their respective regions and represent diverse points of view. To prevent potential conflicts of interest, a Code of Conduct (the full text of the Code can be found at the end of this document), and other related policies have been established to ensure that members act in the best interest of New York State and to prevent the appearance of self-interest during their service on the Councils. Most importantly:

Regional Council members receive annual ethics training from Empire State Development counsel.

The Code of Conduct prohibits members from scoring projects, and from participating in any non-public Regional Council discussions or deliberations where they, or a relative, have a financial, or other interest, as described in the Code of Conduct below, in the matter under consideration.

In order to provide transparency, Regional Council members must complete a Statement of Interest, which requires them to list all entities in which they, or members of their immediate family, have an interest.

2017 Competition

NEW YORK

2017 REDC AWARDS CEREMONY

Welcome to
NEW YORK

2017 REDC
AWARDS CEREMONY

2017 REDC
AWARDS CEREMONY



2017 Competition

Regional Strategic Planning Process

Each Regional Council developed a five-year strategic economic development plan in 2011 that emphasized the 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.

The Regional Councils update their plans annually to address new opportunities and state-level initiatives, such as supporting downtown revitalization plans and identifying downtown projects; identifying workforce development strategies and shrinking the skills gap through collaboration with industry and educational institutions; developing and advancing regional Opportunity Agendas; and increasing veterans' participation in the workforce.

In 2017, 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: advancing the State's Life Sciences Initiative by working synergistically with various components of the life science sector to assure maximum success in industry growth and expansion.

Regional Councils submitted their progress reports in October, and then each hosted the Strategic Implementation Assessment Team (SIAT) for a tour of regional projects and presentation of the region's progress, project priorities, and updates on the ongoing DRI planning process.

2017 Competition Criteria

The Strategic Implementation Assessment Team, led by Secretary of State Rossana Rosado, evaluated regional progress based on the competition criteria and Regional Council priorities described in the 2017 REDC Guidebook. The focus was on the following areas:

- Identification of projects for the state Life Sciences Cluster
- Support for Downtown Revitalization Plans
- Identification of workforce development strategies
- Shrinking the skills gap
- Implementation of strategies through the project pipeline
- 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
 - Business Incubators
 - The regional Opportunity Agenda
 - 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



Members of the Strategic Implementation Assessment Team at the Roxbury Arts Center for a briefing from the Southern Tier Regional Council.

2017 Awards



Howard Zemsky, ESD CEO, thanks Regional Council members for their commitment to their communities.

All ten regions competed 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. In addition, each region was awarded \$10 million to plan and implement projects identified through the Downtown Revitalization Initiative, and projects from all ten regions submitted through the CFA were eligible for over \$575 million in other state agency funds.

Five regions were designated as Top Performers and received awards of up to \$20 million each in ESD Capital Grants: **Capital Region, Central New York, Long Island, Mid-Hudson, and Mohawk Valley.**

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: **Finger Lakes, New York City, 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.

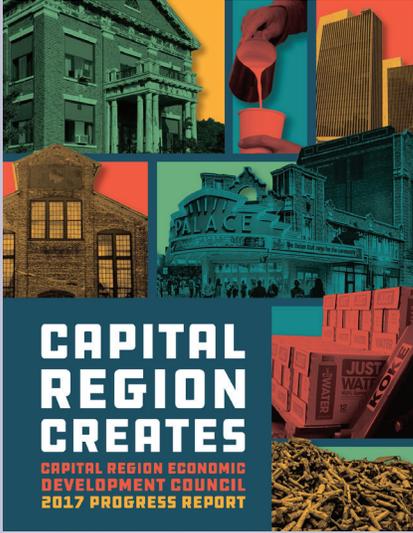
| REGION | PROJECTS | AMOUNT |
|------------------|--------------|------------------------|
| Capital Region | 110 | \$85.0 million |
| Central New York | 112 | \$86.4 million |
| Finger Lakes | 110 | \$63.9 million |
| Long Island | 98 | \$84.3 million |
| Mid-Hudson | 113 | \$84.8 million |
| Mohawk Valley | 101 | \$85.5 million |
| New York City | 121 | \$64.8 million |
| North Country | 81 | \$64.9 million |
| Southern Tier | 83 | \$67.3 million |
| Western New York | 112 | \$68.8 million |
| TOTAL | 1,041 | \$755.6 million |

Capital Region

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Commercialization of Research and Development



2017 DRI Community: Hudson

2016 DRI Community: Glens Falls



CFA funding will support new housing and renovations to the former Ann Lee Nursing Home to create a full-service homeless veterans campus.

Source: CRREDC Annual Report

The Capital Region Regional Economic Development Council (CRREDC) continued support for past strategies, and introduced a new strategy focused on Gaming & Software. The region's fine colleges and universities contribute to an ecosystem that supports development of games that may also serve therapeutic purposes by countering cognitive decline or by adding a gaming component to respiratory therapy.

The region's Talent strategy is a cradle-to-career approach to workforce development that connects job-seekers and employers with higher education institutions. Many of the projects supported for funding by the CRREDC address workforce development, including the Global Foundries Manufacturing Tech Education Center that will be built in partnership with SUNY Albany, Clarkson University, and the Northeast Advanced Technology Education Center.

The spirit of collaboration can also be found in the region's support for its priority cluster, research and development to commercialization, known as its Lift-Off strategy. The strategy aims to accelerate ideas, entrepreneurs, and businesses by strengthening the environment that supports R&D innovators, creative economy enterprises, and entrepreneurial spirit. One example is its support of healthcare providers, health maintenance organizations, and insurance carriers who are developing a shared database to assist with population health data analytics.

Investments that promote smart growth and drive job creation in urban areas are part of the region's Metro strategy that addresses concentrated urban poverty in support of the Opportunity Agenda. Downtown Revitalization Initiative investment in the Hudson Bridge District will drive the continued success of existing private and public ventures; emphasize job growth and the attractiveness of the area; and set the stage for economic and civic expansion in the City of Hudson.

As part of its Metro strategy, the CRREDC supported a CFA application from Albany County which will allow the county to renovate the former Ann Lee Nursing Home and partner with Soldier On, a veterans organization, to create a full service homeless veterans campus, providing education, training and services to support homeless veterans.

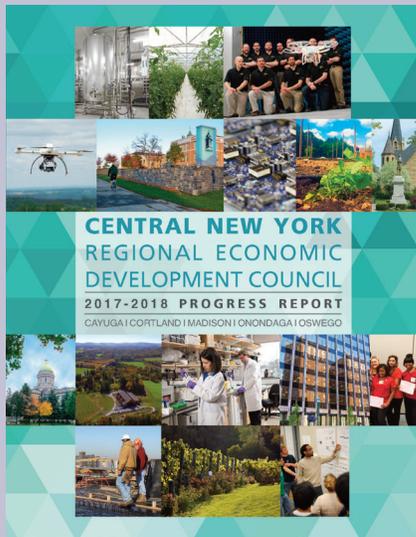
CRREDC also has a Gateway Strategy, which supports the region's distribution and logistics cluster through investments in port infrastructure, waterways, rail and ground transportation. With the support of the CRREDC, a grain hub in Saratoga County will be established to provide NYS produced grains for craft beverage producers and increased market opportunities for grain farmers.

Central NY

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Data to Decisions, including precision medicine, thermal and electronic controls, cybersecurity and information assurance, and unmanned aerial systems (UAS).



2017 DRI Community: Cortland

2016 DRI Community: Oswego



NYS has invested in a 50-mile fight traffic management system between Syracuse and Rome.

The Central New York Regional Economic Development Council (CNYREDC) continued to follow strategies from its winning Upstate Revitalization Initiative (URI) plan, including three pillars of economic growth for the region: invest in key growth drivers; build an inclusive economy; and develop enablers of prosperity.

The life sciences cluster is a significant key growth driver in the region, and several new initiatives would address biological threats, medical device innovation, and personalized medicine. CNYREDC has blended traditional life sciences, aerospace, information security, and clean tech industries a Data to Decisions (D2D) cluster than enables smart, real-time decisions. Average wages in this cluster increased 14 percent since 2010. Included in the cluster is unmanned aerial systems, where the regional is showing great success in its training corridor between Griffiss International Airport and Syracuse.

The agriculture and agribusiness cluster also turned around, and is on the fifth year of growth in establishments (25 percent). In 2017 the region supported additional investments in the agricultural sector through support for projects like a commercial food processing, packaging, soybean processing, and a commercial food processing, packaging, and distribution center in Cayuga County. CNYREDC is also collaborating with two other winning URI regions, the Finger Lakes and Southern Tier, to host a rotating annual food and agriculture-related business competition/accelerator. The regions are also working together to identify and validate shovel-ready sites for agriculture-based economic development.

To shrink the skills gap and prepare more residents with the skills demanded by fast-growing industries, the CNYREDC developed a Talent Task Force that included private, public, and nonprofit representatives to identify jobs in demand and establish strategies to address demand. One of the responsibilities of the Talent Task Force is to identify successful efforts in the region already helping to fill the demand for mid- and high-skilled positions.

Like the state's Opportunity Agenda, CNYREDC is supporting projects to develop enablers of prosperity, such as conversion of underutilized properties in three distressed neighborhoods of Syracuse, or supporting veteran training and services. In Auburn, the long-abandoned and blighted Schines Theater will be renovated using CFA funding, and in Homer a new mixed-use building with historical influences will fill both a physical gap that opened following a fire in 2016. Revitalization of downtowns will continue in 2018, especially in the region's second DRI community of Cortland.

Finger Lakes

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Optics, Photonics, and Imaging



2017 DRI Community: Batavia

2016 DRI Community: Geneva



Howlett Farms will add a malt barley clearinghouse to its operations.

Source: Howlett Farms

The Finger Lakes Regional Economic Development Council (FLREDC) and the region is united around a focused plan to grow jobs, increase regional wealth, drive private sector investment, and reduce poverty. The FLREDC requires that all projects supported for funding through the Consolidated Funding Application (CFA) identify a link to workforce development, including projects supporting the Opportunity Agenda and veterans. For example, Foodlink is a food bank and commercial kitchen that prepares meals and provides value-added food processing. It links together agriculture, food processing, the Opportunity Agenda, and the Downtown Revitalization Initiative in Batavia to foster a creative class of workers who will spur continued job growth.

The region has made significant progress in achieving many of its original overarching goals, including expanding the Eastman Business Park; leveraging the region's colleges and universities for direct employment and preparing workers for the new economy. Junior Achievement will get in on the action at Eastman Business Park with renovation of a firehouse into a Discovery Center providing hands-on learning experience regarding personal finances and workplace environments/entrepreneurial skills.

Monroe Community College (MCC) led an analysis of the "middle skills gap," which investigates the set of workers who have more than a high school degree, but do not have a four-year degree. By effectively understanding these areas, the region has successfully created jobs in tooling and machining and optics technicians.

The region has also made progress on its goal to expand and link agricultural producers and food producers and exporters. The agriculture and food processing cluster has had significant growth since 2010, with average wages increasing by 17 percent, and the number of jobs by 20 percent. Growth will continue with the introduction of Howlett Farms, which received a 2017 CFA grant to build a grains hub to process soybeans and create a clearinghouse for malting barley. Craft brewers, who are required to get a certain amount of product from local farmers under New York's Farm Brewery Law, will have better access to local ingredients once the hub opens.

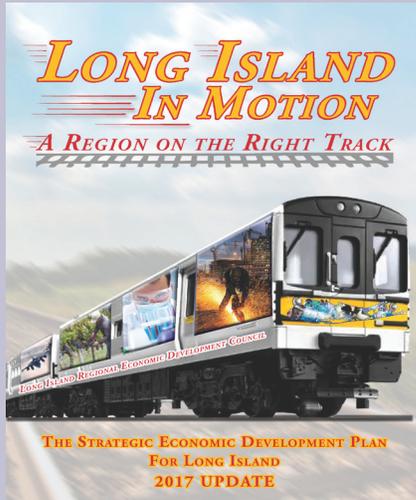
Thanks to help from CFA funding, neglected or abandoned centers of activity in the region will be renovated or repurposed to once again become centers of economic activity. An old mall in Irondequoit will be repurposed into a multi-use office and mixed-use center, and the Atrium, Gateway, and Cornwall buildings in Rochester will be redeveloped with the expansion of CGI Communications office space and parking garage. Additional projects will be identified in Batavia as it develops a downtown revitalization plan.

Long Island

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Biotechnology



**2017 DRI Community: Hicksville
(Oyster Bay)**

2016 DRI Community: Westbury



STEM centers will bring training and information about STEM jobs out of the school day.

Source: LIREDC Annual Report

The Long Island Regional Economic Development Council (LIREDC) continues support of the strategies identified in its strategic plan. Workforce development, strategies encompass efforts to prepare students for jobs in key biotech sectors like pharmaceuticals, and high-demand STEM fields like engineering. With backing from the LIREDC, nine community STEM centers in high need communities were funded through the 2017 CFA.

Support for STEM and biotech projects at many regional institutions continues to strengthen the region's framework for its identified regional economic cluster, biotechnology, which overlaps with the state focus on life sciences. LIREDC recommended projects such as the Computational Genomics Center at Feinstein Institute for Medical Research; expansion of the chemistry laboratory at Hofstra; a structural biology shared screening facility at Cold Spring Harbor Laboratory; expansion of a life science and technology lab at Adelphi University; and a research and technology innovation bioengineering laboratory at New York Institute of Technology.

Creating diverse, transit-linked neighborhoods where people can live, work and play remains a priority as downtowns are crucial to economic vitality. Walkable, exciting places with affordable apartments appeal to Millennials and will help retain baby-boomers. Downtown projects in the Village of Hempstead and Riverhead will help achieve that goal. The region's 2017 DRI community of Hicksville, a transit-rich and diverse community, will plan how to capitalize on improvements to the Long Island Rail Road and provide safer space for downtown pedestrians.

Through its Opportunity Agenda, LIREDC continues to support Wyandanch Rising infrastructure improvements and programs that target hard-to-place workers. For example, the YMCA of Long Island will establish a community center in Wyandanch Plaza's Building D, which will complete Phase 1 of the Plaza. It will provide supervised care and a variety of services, including teen job training and mentor support.

While the region is growing the knowledge-based economy, it continues to capitalize on legacy industries like harvest-based agriculture and fisheries. LIREDC supported state investment in Manna Fish Farms in Shinnecock Inlet, as well as a new aquaculture and marine center in Greenport with oysters as a cornerstone.

Mid-Hudson

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Food and Beverage Manufacturing Supply Chain, including food and beverage manufacturing, processing and equipment.



2017 DRI Community: Hudson Stockade District

2016 DRI Community: Middletown

The Mid-Hudson Regional Economic Development Council (MHREDC) continued its momentum in 2017, refining its economic development strategies to best leverage the region's key assets: its proximity to New York City; highly educated workforce; diverse urban centers; and scenic beauty.

The region's strategies of WORK and PLAY were supported by its focus on priority projects in the cluster representing the food and beverage manufacturing supply chain, such as the proposed food exchange in Kingston that will be a food hall, food manufacturing facility, and grocery with an emphasis on locally sourced food. Nearly half of the priority projects supported by the MHREDC are in this key regional cluster.

The state Life Sciences cluster fits neatly into the region's emphasis on biomedical and healthcare. The MHREDC continued its support for core institutions; demonstrated a willingness to partner with other regions to create a research corridor; and supported a biotechnology business incubator at NY Medical College that provides a nexus for consultation between researchers that is vital to innovation.

Stakeholders in the region are working together to develop ways to close identified skills gaps. In collaboration with the Council of Industry, the MHREDC is supporting an employer-led public-private pilot program for registered apprentices in manufacturing occupations, and a manufacturing careers platform (Go Make It) designed to help students, parents, and teachers explore the world of advanced manufacturing. The MHREDC also supported funding for several other workforce development projects through the 2017 CFA.

Commitment to downtown revitalization, part of its LIVE strategy, is evident in MHREDC funding recommendations, including support for several priority projects with a downtown revitalization component, such as the Hyde Park wastewater infrastructure project which will replace individual septic systems in the downtown to allow for economic growth leading to a mixed-use walkable area. Additional investments in the Kingston Stockade Business District, chosen by the MHREDC as the DRI community, will continue the area's economic revitalization and create new opportunities for the surrounding neighborhoods, towns and counties.

The MHREDC has a clear vision for the future of the Mid-Hudson region, and it is starting to take hold. In this future, urban centers are transformed into vital, attractive places; thriving businesses in a variety of industries create jobs and growth; and the region is a popular and internationally-known tourist destination. MHRED calls this "Progress with Purpose."

The Columbia University radiological research accelerator will examine how radiation affects cells and tissues.

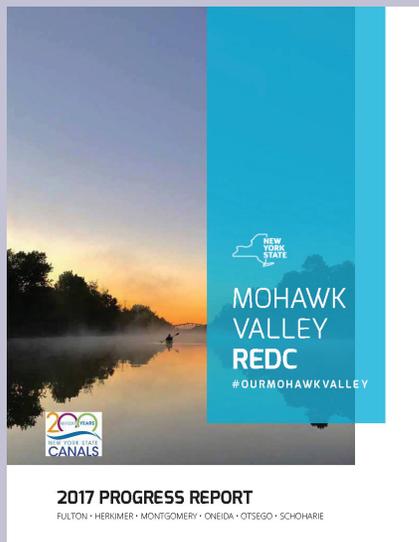
Source: MHREDC Annual Report

Mohawk Valley

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Internet Technology & Cybersecurity



The Mohawk Valley Regional Economic Development Council (MVREDC) identified placemaking and tourism as an important component in creating a strong and desirable workforce. MVREDC also recognized workforce development as another key component in attracting high-paying, in-demand jobs in STEM sectors, and supported a BOCES program in mechatronics and robotics sponsored by manufacturers and the Otsego County Chamber of Commerce.

In its key industry cluster of cyber and internet technology cluster, the MVREDC is leveraging both the Marcy Nanocenter and the region's designation as an FAA Test Site to create a strong concentration of cyber and unmanned aerial systems (UAS) research and development companies. The region has a unique concentration and domination of drone research and development and has drawn global corporations to the region to test UAS technology. Rehab of Building 100 at Griffiss International Airport was recommended as a priority project that would improve and expand the incubator center for UAV and UAS. To help provide a qualified workforce, the Mohawk Valley Community College has become one of few colleges nationwide to offer certificate programs in unmanned aircraft system technology.

2017 DRI Community: Rome

2016 DRI Community: Oneonta



Mechatronics combines electronics and mechanical engineering and will prepare students for a wide variety of technical positions in the region.

Source: MVREDC Annual Report

The MVREDC also supports a mainstay of its economy, agribusiness, and recommended funding for construction of a warehouse for the Compassion Coalition that works to improve “fresh” healthy food access. The craft food and beverage industry is growing through small and mid-sized breweries, farms and other producers. The Hartwick College Center for Craft Food & Beverage, a past priority project, has been key to this expansion.

Rome, the DRI community, has been making targeted investments to provide an ecosystem necessary to attract and retain young professionals and their families, and will further that transformation with DRI funding. The MVREDC also supported CFA projects in six downtowns: Amsterdam, Cobleskill, Cooperstown, Gloversville, Sharon Springs, and Utica.

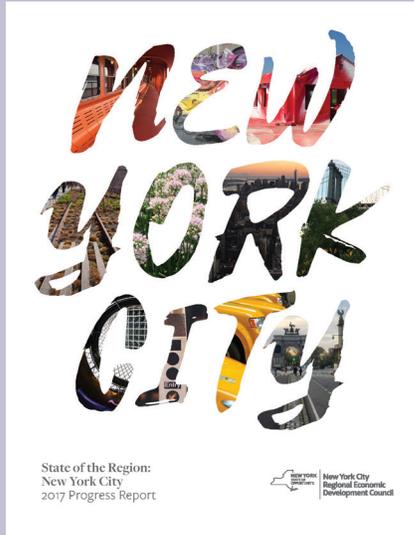
The region continues to open doors for refugees, with support for the One World Welcome & Opportunity Center for the Mohawk Valley Resource Center for Refugees. The Center will work to support community engagement, workforce development for refugees, and ultimately develop inclusiveness in the region. Maximizing opportunity for immigrant and refugee families through cultural and place-based programming is one of the region's strategies for expanding opportunity. Another aspect of the Opportunity Agenda is giving treatment and life skills to chronic substance abusers, which will be helped by state funding for the re-purposing of the Herkimer County nursing home.

New York City

2017 PROGRESS HIGHLIGHTS

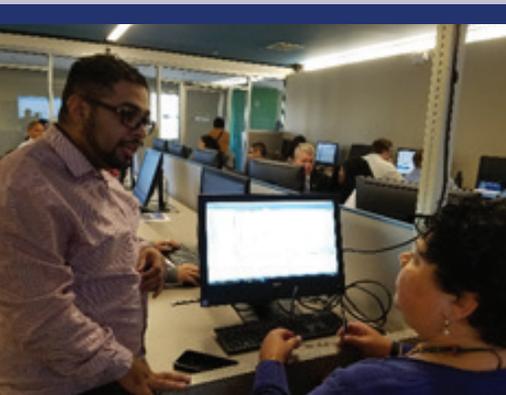
REGIONAL CLUSTER:

Life Sciences



2017 DRI Community: Bronx Civic Center

2016 DRI Community: Jamaica



Secretary of State Rosado tours Per Scholas training center with the Strategic Implementation Assessment Team

The New York City Regional Economic Development Council (NYCREDC) continues to focus on its “Opportunity Zones,” 15 areas of New York City which have been historically distressed but are primed for investment and growth. It concentrates investment in these areas to ensure an inclusive approach to community revitalization and job creation. The South Bronx is one of the opportunity areas, and includes the Bronx Civic Center, which was selected as the DRI community. The region is hoping to extend the already booming economic activity to lower-income residents of the community.

Employment in New York City is at an all-time high, and competition for jobs is fierce, especially for jobs requiring less formal education. At the same time, high current and future demand exists for skilled applicants in the financial, technology, life sciences and healthcare sectors. The region is taking a sector-based approach to engaging businesses, educational institutions, and nonprofits to help direct state funding to job training and educational programs in high growth sectors. For example, the nonprofit Per Scholas in the South Bronx is partnering with the Fortune 500 company Cognizant to provide no-cost technology skills training and career development resources to create a talent pool for the company.

NYCREDC connected local manufacturers with career and technical education high schools in relevant specialties to expose students to the many types of manufacturing and logistics careers. The CUNY Office of Adult Education and Workforce Programs plans to make recruitment from the university system easier for businesses by streamlining access to local talent, which currently takes place college by college.

The Brooklyn Public Library’s Central Library Business and Career Center will be a resource for job seekers and entrepreneurs. The 5,700 square foot facility will feature free computers and online learning platforms, meeting rooms and co-working areas, career workshops, job fairs and business plan classes. The library projects 10,000 users annually with the target of supporting creation of at least 200 new businesses.

NYREDC now counts the life sciences sector as its regional economic cluster, and has a plan for advancing the cluster that involved other New York regions. The NY Genome Center research consortium will leverage investments in basic research and incubator facilities in a sector primed for growth. Funding was also recommended for BioLabs@NYULangone to provide startups with collaborative space, research equipment, and business support; expansion of collaborative space at Celmatix Expansion; and establishment of a centralized headquarters for Cresilon Inc., which is a biotech firm developing a gel-bandage that stops bleeding in emergency situations.

North Country

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

**Transportation Equipment
and Aerospace**



2017 DRI Community: Watertown

2016 DRI Community: Plattsburgh



**Classes began this fall at the
new Institute for Advanced
Manufacturing (AIM)**

The North Country Regional Economic Development Council (NCREDC) introduced a new strategy this year to attract international sporting events to stimulate private investment and spark the refurbishment of sports and hospitality facilities. The NCREDC supported funding that would allow the region to host the International Children's Games, one of many projects of global reach that it supported. Construction began on a new sports fitness center adjacent to the Olympic Training Center in Lake Placid, a 2015 CFA awardee.

A new Lodging Task Force is creating a model for lodging development that can be replicated to drive sustainable private sector investment. Not only is tourism an important industry for the North Country, it also serves to provide entry level employment and training in soft skills, a need identified most frequently by employers in a regional skills-gap survey.

NCREDC considers the transportation equipment and aerospace sector (TE&A) its key industry cluster, and supported creation of the new Institute for Advanced Manufacturing (IAM) at Clinton Community College, where classes began in the fall 2017 semester. IAM provides flexible support of regional manufacturing, with an emphasis on the TE&A cluster, and features creative partnerships with Clarkson University and others. Average wages in that sector are nearly 66 percent higher than the total average for the region, and employment has grown by 67% since 2016, with more jobs to come as Norsk Titanium continues its expansion.

The region's Opportunity Agenda supports employment of hard-to-place workers, with a strong focus on investments in St. Lawrence County, which is consistently challenged by high unemployment rates. Several initiatives include partnerships with local colleges and universities, such as a partnership to create curriculum around Life Sciences, and a partnership with Cornell University to create an Agricultural Academy in St Lawrence County. Controlled environment agriculture is gaining ground, such as the 15,000-square foot Agbotic greenhouse in Sackets Harbor.

Located in Jefferson County, the City of Watertown was selected as the DRI community for 2017. It will use DRI funds to strengthen its position as the primary hub of commerce and culture for Jefferson and neighboring counties. The NCREDC also supported projects in other communities with downtown revitalization components, such as Chicota Inc's application to restore a derelict building in downtown Saranac Lake to create a "food experience" business and event space; a theater renovation in Massena; and an historic church acquisition for a cultural center in Sackets Harbor.

Southern Tier

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Advanced Manufacturing industry with a focus on the Transportation Industry Sector.



2017 DRI Community: Watkins Glen

2016 DRI Community: Elmira



SUNY Broome's Calice Advanced Manufacturing Center will offer job skills training that meets workforce demands.

Source STREDC Annual Report

The Southern Tier Regional Economic Development Council (STREDC) remained steadfast in its support for its 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.

The STREDC has been highly effective at supporting projects that either create or retain new jobs. The region's key economic cluster links the transportation equipment cluster with advanced manufacturing cluster. While job growth in this cluster is lagging, regional confidence in this cluster has translated into extensive investments from the award earned by the winning Upstate Revitalization Initiative Plan (URI). URI funds support a major expansion of Alstom for train manufacturing which will create nearly 200 jobs and retain an existing workforce of 1,000.

The STREDC would like to continue the growth of their life sciences industry both in terms of bio-medicine and agriculture, and by extension, food processing. They recommended funding of Southern Tier Hemp, which will process industrial hemp. Several projects also support growth in the food and agriculture industry, building on growth in the number of food processing firms.

Improving food processing skills to build a potential workforce is one area that needs to be addressed in terms of human "capital." The Broome County Talent Task Force was formed to create a comprehensive and collaborative action plan to attract and retain a strong workforce.

There is extensive cooperation between the public, non-profit, and private sectors to address hard-to-place workers. For example, the Broome County Calice Advanced Manufacturing Center, a 2016 CFA awardee, links together social services, academia, industry, and workforce development systems to provide relevant workforce training and upskilling to both traditional and hard-to-place workers. The STREDC addresses veterans' issues by working to overcome barriers that prevent them from accessing resources to help them readapt to civilian life, addressing their specific needs within both the Opportunity Agenda and workforce development programs.

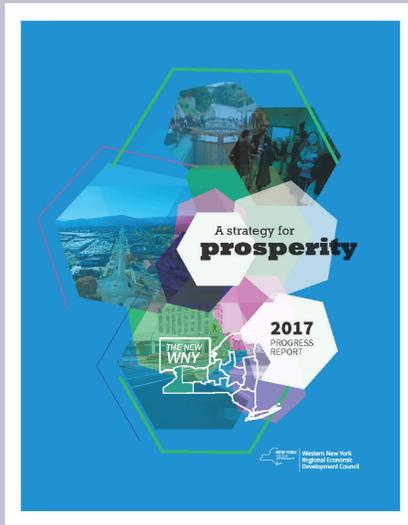
To attract and retain college graduates and skilled workers, state funds are being used to support mixed-use and mixed-income developments in the region's three "iDistricts." STREDC supported a priority project to continue development of the Health Sciences Campus in Johnson City, which will house the SUNY Binghamton School of Pharmacy and Pharmaceutical Sciences. Support for downtown revitalization extends beyond the iDistricts to include places like Watkins Glen, the region's DRI community.

Western NY

2017 PROGRESS HIGHLIGHTS

REGIONAL CLUSTER:

Advanced Manufacturing with a focus on Materials & Machinery Manufacturing Sector.



2017 DRI Community: Olean

2016 DRI Community: Jamestown

The Western NY Regional Economic Development Council (WNYREDC) continues its focus on creating job opportunities and building the quality of life that will attract young adults to settle in the region. It is using the smart growth strategy of placemaking to focus investment near existing infrastructure and connecting people with jobs. For the first time since 1980, the five counties of Western New York are starting to see a growth in the young population age group of 20-34 years old.

WNYREDC continued its CFA Technical Assistance program to prepare village centers and small cities outside the metropolitan core with the tools to implement smart growth initiatives and to better access to state dollars awarded to WNY. Nearly all priority projects recommended by the WNYREDC related to downtown revitalization, and several projects would implement projects in the region's first Downtown Revitalization Initiative community of Jamestown. Support for projects in Olean, the 2017 DRI community, would add to the assets being leveraged in the downtown of Western New York.

WNYREDC demonstrated understanding of the labor market and how to provide training for the middle skills market. WNYREDC works with many different colleges and trade skill schools, such as the Buffalo Center for Art and Technology, the Finishing Trade Institute of Western and Central New York, and the Southern Tier Business Center at Alfred University. Many workforce development projects were supported by the WNYREDC, such as Phase II of the Gerald Place Community Center, designed to provide space for community needs and training related to health care research and education.

The region's targeted economic cluster is Materials and Manufacturing, where total wages continue to grow even while job count and firm count have decreased. In 2017, Alfred University dedicated the Center for High-Temperature Materials Characterization, which is helping to increase the development and analysis of materials crucial to renewable energy systems. Jamestown Community College also opened an expanded Manufacturing Technology Institute (MTI) to help support the Southern Tier's economy by producing graduates for manufacturing employers in the region.

Many projects that support emerging state and regional challenges and opportunities are being funded through the Buffalo Billion and other funds. Buffalo Billion projects are making investments in commercial corridor revitalization, brownfield redevelopment, state park improvements, and access and activation of the waterfront. It is also being used to invest in people through programs like 43North, which provides entrepreneurial support, to innovative approaches to workforce training being developed through the Workforce Development Challenge.



Gerard Place will establish an Education and Community Center with extensive training space in the former St. Gerard Parish Hall and School.

Source: WNYREDC Annual Report

Regional Council

PRIORITIES IN 2018

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 annually update those plans 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** - 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** - 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** - the 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** - the strategy of investing in and creating synergies between research and commercialization to drive the economy forward.

Regional Councils are asked to address statewide priorities in ways uniquely tailored to their region which complement 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 2018 should include:

- Developing workforce development strategies;
- Identifying projects for the State Life Sciences Cluster;
- Supporting Downtown Revitalization Plans and identifying downtown projects;
- Implementing strategies through the project pipeline;
- Tracking the progress of the strategic plan and CFA projects;

- Regional economic cluster plans;
- Regional Business Incubators;
- The Regional Opportunity Agenda;
- Veterans' participation in the workforce; and
- Local government engagement in the Regional Council process.

Develop Workforce Development Strategies and Improve Regional Talent Pipelines

Building on the success of the Excelsior Scholarship and other initiatives to equip New Yorkers with tools to succeed in the new economy, the State is creating a comprehensive workforce development program to ensure all New Yorkers have access to training to meet growing workforce needs and continue to move New York's economy forward.

Despite a multi-faceted approach to career readiness, skills gaps remain in New York and across the nation. Businesses from all industries cite a skills gap as a significant obstacle to business expansion efforts and it has been identified as a drag on overall business productivity. Communities that do not address the needs of their employers, fail to thrive and eventually suffer dramatic declines.

In 2017, Regional Councils worked with industries and educational institutions to identify skills gaps in their regions, as well as the programmatic availability of workforce training opportunities in high schools, community colleges, and universities. Strategies were identified to bridge those gaps which will require public and private sector collaboration and new ways of thinking about education and workforce readiness.

In 2018, the Governor's Office will be creating the Office of Workforce Development, which will make funding available for workforce development projects outside of the traditional REDC schedule. In advance of the creation of this office, Regional Councils are asked to continue to develop sector-based workforce development plans and identify strategies to meet businesses' short term workforce needs, improve regional talent pipelines, expand apprenticeships and address the long term needs of expanding industries with a focus on emerging fields with growing demand for jobs. Emphasis should be placed on how strategies will improve the economic security of women, youth and other populations that face significant barriers to career advancement.

"This Administration understands that for New York State to compete in the future, we must prepare our workforce to succeed in the global innovation economy. That's why this proposal to strategically invest in workforce development and job training is critical to Governor Cuomo's strategy for the future growth of this state, and will ensure workers and businesses succeed in the 21st century."

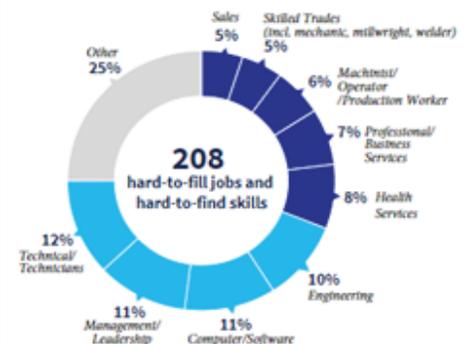
~Lt. Governor Kathy Hochul

Where do skill gaps exist?

Over 100 employers surveyed reported a total of 208 hard-to-fill jobs and hard-to-find skills.

Almost half fall under the umbrella of Engineering, Computer/Software, Management/Leadership and Technical/Technicians.

BREAKDOWN BY TYPE OF HARD-TO-FILL JOBS AND HARD-TO-FIND SKILLS IN BUFFALO NIAGARA, 2016



Gap Analysis Summary from Western NY Skills

| Examples of Workforce Projects funded by the 2017 CFA | |
|---|--|
| Region | Project |
| Capital Region | Hudson Valley Community College will construct labs and classrooms and purchase machinery and equipment to create the Advanced Manufacturing Technology facility, a one-stop manufacturing technology center that will train students on the latest machine tools, equipment, and software for employment with manufacturers in the Capital Region. |
| Central NY | Clear Path for Veterans, Inc., a non-profit that serves as Upstate New York's Veteran Resource Center, will construct and equip a new building adjacent to their existing main building in Chittenango for multi-day training programs and retreats. The facility will include overnight accommodations; treatment rooms; an exercise room/ yoga studio; flexible rooms for training and support groups; a large event space; and new parking. |
| Finger Lakes | Wayne Finger Lakes (WFL) BOCES will provide job skills training to prepare adult learners as a New York State Certified Nurse's Assistant. |
| Long Island | The Center for Science Teaching and Learning, a non-profit based in Rockville Centre, will establish and staff nine community STEM Centers in high-need Long Island communities. |
| Mid-Hudson | Shop-Rite Supermarkets will provide the "Leaders and People on the Move" skill development training program to eligible employees, with a focus on food safety and food traceability, key leadership skills, customer experience, and menu labeling. |
| Mohawk Valley | Otsego Northern Catskills (ONC) BOCES is seeking funding to support a new Mechatronics/Robotics Program for high school and adult students in Otsego, Delaware, Schoharie, and Greene counties. Mechatronics combines electronics and mechanical engineering and will prepare students for a wide variety of technical positions in the region. |
| New York City | Drive Change will create a food truck/cart Commissary for Social Justice to expand its fellowship program for formerly incarcerated youth. To park in the commissary, food truck/food business owners will be required to hire, teach or mentor, and/or provide internships for the formerly incarcerated. |
| North Country | Jefferson Community College's North Country Retail Training program will provide participants with an intensive training program that includes: retail fundamentals, customer service and sales, and advanced customer service and sales. |
| Southern Tier | ACHIEVE will repurpose a location in Binghamton into both an adult social program and an employment services department which will provide meeting space and offices to address the critical need of placing individuals who can no longer work in sheltered employment centers into other meaningful day-service options. |
| Western NY | The Sheet Metal, Air, Rail and Transportation Workers Local Union No. 71 (SMART) will clean up and reuse a former brownfield site and convert three separate properties into one state-of-the-art facility utilizing clean energy that will offer apprenticeship training in construction, sheet metal production, and other industries. |

Identify Projects for the State Life Sciences Cluster

The State's life sciences 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. Regional Councils should continue to work synergistically with various components of the life science sector to assure maximum success in industry growth and expansion. They can facilitate communication among the various stakeholders within the region to help achieve the goal of sound investment and reinforce a coherent statewide strategy for the life sciences sector.

Each Regional Council is asked to build on their efforts from last year, continuing to work with colleges and universities in each region to identify academic programs that develop life science personnel, and helping to establish a pipeline from training to employment in the life sciences field. Additionally, Regional Councils should seek Priority Projects that align with the life sciences cluster and highlight those projects in their Annual Report.



Governor Cuomo breaks ground on \$75 Million Cold Spring Harbor Lab Center for Therapeutics Research. The center will support the thriving biotechnology research and academic community on Long Island.

| DRI Benchmarks | Dates |
|---------------------------|-----------------------------|
| Application Due to REDC | 4:00 PM June 1, 2018 |
| REDC Nominations to State | 4:00 PM July 13, 2018 |
| DRI Plans Due | March 29, 2019 |

Support Downtown Revitalization

The Downtown Revitalization Initiative (DRI) is a comprehensive approach to boosting local economies by transforming communities into vibrant neighborhoods that bring New Yorkers together by offering a high quality of life that appeals to young professionals, families, and retirees alike. In its third year, the program will invest \$100 million into 10 additional downtown neighborhoods across the state.

Business and development leaders recognize that the creation of new downtown communities which offer a high quality-of-life and a critical mass of diverse public amenities and activities can serve as catalysts for increased and sustainable local economic development. Investments that re-energize urban cores attract a diverse population of new residents and visitors of varying ages, incomes, and interests, which strengthens the customer base for local businesses and provides the reliable workforce needed to attract and retain employers and grow the regional economy. Government leaders recognize that focusing investment in urban centers is also fiscally responsible. Compact development lowers the cost of delivering essential government services (police, fire, emergency medical) and reduces demand for costly new infrastructure, making local government budgets more efficient and reducing the burden on taxpayers.

Each year of the DRI program, the State invests \$100 million - \$10 million in each of the 10 communities, one in each of the ten regions of the State. The communities are selected by the Regional Economic Development Councils following an application process and thorough evaluation of each downtown’s potential for transformation. Criteria utilized for selection of DRI communities includes: physical environment, past investment, future potential, recent or impending job growth, support for the local vision, and readiness. Applications for the third round must be submitted by 4 p.m. on Friday, June 1, 2018.

| Region | DRI One Community | DRI Two Community |
|----------------|---------------------|---------------------------------|
| Capital Region | City of Glens Falls | City of Hudson |
| Central NY | City of Oswego | City of Cortland |
| Finger Lakes | City of Geneva | City of Batavia |
| Long Island | Village of Westbury | Hicksville (Town of Oyster Bay) |
| Mid-Hudson | City of Middletown | City of Kingston |
| Mohawk Valley | City of Oneonta | City of Rome |
| New York City | Jamaica, Queens | Bronx Civic Center |
| North Country | City of Plattsburgh | City of Watertown |
| Southern Tier | City of Elmira | Village Watkins Glen |
| Western NY | City of Jamestown | City of Olean |

DRI funding supports a community planning and implementation 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; and a strategic plan to implement catalytic projects identified in the plan.



In each selected community, a Local Planning Committee (LPC) comprised of local leaders, stakeholders, and key government officials oversees the development

of a strategic plan for downtown revitalization in each selected community. The LPCs are supported by experts from the NYS Department of State and NYS Homes and Community Renewal, as well as consultant teams hired by the state. Empire State Development contracts with the consultant teams, which are then managed by DOS planners.

The community's DRI strategic investment plans will link community vision, goals and strategies to key transformative projects that will implement those goals. The strategic investment plan developed by the LPC in each selected community will recommend catalytic projects that present the strongest likelihood of jump-starting downtown revitalization and investment in the community.

DRI funds will be used to implement projects recommended by the LPCs, and should reinforce and secure additional public and private investments within and near downtown neighborhoods to build upon growth spurred by the Regional Councils.

Additional details about the Downtown Revitalization Initiative maybe found at www.ny.gov/dri.

Implement Strategies through the Project Pipeline

The implementation of regional strategies will be accomplished through projects proposed by businesses; universities, colleges and community colleges; local governments; and nonprofit organizations.

In 2018, each Regional Council should proactively seek priority projects to compete for Empire State Development Capital Grants and Excelsior tax credits and encourage applicants whose projects would help implement the region's strategic plan to apply for funding from additional State programs.

Regional Councils are encouraged to describe their process of connecting with potential applicants in their annual report so future applicants will be informed of the process well in advance of the next CFA cycle.

- The Western NY Regional Council has established an approach that includes: identifying projects early on; ensuring success from the start; expanding access to state resources; serving diverse populations; building capacity in small communities; and meeting one-on-one with community leaders. Through a voluntary Letter of Intent, the WNYREDC identifies CFA projects and technical assistance needs well before the CFA is open for applications. The Regional Council also has CFA workshops and information sessions; grantee orientation workshops; and applicant interviews.
- The North Country Regional Council collects information about projects and initiatives in various stages of development that may be critical to the future economy of the region. The Regional Council collaborates with the North Country Alliance and county industrial and economic development agencies, and holds outreach meetings in each of the seven counties in the region. To help potential applicants better understand the process and prepare fundable applications, the meetings include an overview of the CFA process, identification of sources of assistance, and comments by past applicants.

Measure Performance and Progress

Measuring performance keeps a plan alive, and emphasizes that creating the plan was not simply an academic exercise or a means to funding. Performance measurement is an effective way for the Regional Council to understand, manage, and improve the approach it is taking. It can identify where minor adjustments or larger course corrections are needed to keep a plan on track and reveal successes that can be celebrated to build momentum and reward perseverance.

The State provides cluster-related data to assist Regional Councils in the identification and monitoring of key economic clusters. The State also provides each Regional Council with data reflective of general economic and quality of life indicators and changes which have occurred over recent years. This information includes unemployment rate, employment data broken down by age groups, labor force participation rates, high school graduation rates, and immigration data.

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. Examples from the 2017 annual reports include:

- The North Country Regional Council followed Fort Drum’s military and civilian payroll and contracts with surrounding businesses, as well as volume of truck and train traffic entering the US through North Country border crossings with Canada, and the number of train passengers and personal vehicle passengers crossing borders in the North Country.
- The Southern Tier Regional Council reported on average annual income in its three iDistricts; and jobs, earnings per worker, number of firms, and location quotient of seven key industry clusters.

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.

Annual reports by the regions should 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. Highlights of significant progress made from the fall of 2017 to the fall of 2018 should also be provided.

A list of all CFA projects funded through the Regional Council process since 2011 should also be included as an appendix to the annual report. The list should include the following information:

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

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 2018, 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 2017 awards. Those pages also include many of the projects related to key industry clusters that were awarded funding.

Business Incubators

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.

The state continues to support fostering 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 Business Incubators. Applications will be accepted in 2018 for designation of up to ten Business Incubators. Regional Councils are asked to endorse the best incubator proposal(s) in their region.

Examples of projects awarded funding in past rounds with Business Incubators include:

- The Tech Valley Center of Gravity NYS Certified Incubator, located in the Capital Region in downtown Troy links numerous regional assets and business development programs into one unified program, with a focus on nanotechnology and biotechnology.
- 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.

The Mid-Hudson Regional Council continued to provide support to its identified opportunity areas in 2017 and a special emphasis was placed on the issue of infrastructure. Through a grant provided by the State of New York, Hudson Valley Pattern for Progress completed a Regional study of infrastructure "Got a Spare Billion?" that emphasized seven of the Opportunity Areas; these included: The Village of Brewster, the City of Kingston, the Village of Monticello, the City of Mount Vernon, the City of Newburgh, the City of Peekskill and the City of Poughkeepsie. Each community received an assessment or "snapshot" of their key infrastructure issues plus a series of recommendations.

In Brewster, building on the \$2 million 2016 ESD Capital Grant Fund Priority Project for a Transit Oriented Development (TOD) revitalization project, the discussion focused on trains and commuters being the key to growth. History and waterfront improvements were the City of Kingston's key focus, along with sewer and bridge replacements. The Village of Monticello emphasized its need to improve its water system, though complicated by the large growth in its summer population. The City of Mount Vernon focused on finding new sources of revenue for the priority projects identified by the City leadership. The highest priority for the City of Newburgh was improving its severely compromised water system. The assessment showed an investment in the City of Peekskill's deep history would help its rebirth but not surprisingly they also identified the need to sustain their aging water and sewer systems, and in the City of Poughkeepsie once again upgrading old water and sewer systems was a top priority.

In New York City, the Classrooms to Careers project was successfully completed as proposed in the Opportunity Agenda in 2013.

Accomplishments include:

- Development of a mentor training module and facilitation of five training sessions for three employers.
- Launch of high school group mentoring with Con Ed, National Grid and New York Presbyterian.
- Creation of internship guidelines.
- Post-program support for students who complete the program.

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>.



The NYS Office of General Services provides information on how to get certified as a Service-Disabled Veteran-Owned Business (SDVOB).

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.

Regional Council

2018 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 Three
- Submit an outline of the strategic investment plan in the Annual Report
- Identify and support downtown projects from the 2016 and 2017 DRI communities and throughout the region

Identify Workforce Development Strategies

- Continue to work with industries and educational institutions to identify workforce development strategies for business' workforce needs
- Identify strategies to train the workforce for today and tomorrow
- Improve regional talent pipelines

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
- Business Incubator - 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, and 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

Regional Council

2018 COMPETITION

Since 2011 the REDCs have awarded over \$5.4 billion in State funding to over 6,300 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 220,000 new or retained jobs in New York.

The Regional Councils will compete in 2018 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 \$525 million in other state agency funds.

ALL TEN REGIONS will be competing this year for designation as a Top Performer.

FIVE TOP PERFORMERS will receive awards of up to \$20 million in ESD Capital Grants.

THE REMAINING FIVE REGIONS identified as Regional Awardees will receive up to \$10 million in ESD Capital Grants.

Each region will also be eligible for 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

Progress

- Implementation of regional strategies described in previous Regional Council plans and plan updates
- Execution of strategies that address state priorities and emerging challenges and opportunities
- Success in workforce development initiatives, including 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

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
- Advancement of projects that revitalize downtowns

Participation

- Engagement of the community, public, and other stakeholders in the Regional Council process
- Regional unity and support of annual progress report

CONSOLIDATED FUNDING APPLICATION

An eighth round of the Consolidated Funding Application (CFA) will be offered in 2018. The State has invested more than \$5.4 billion through the Regional Economic Development Councils that have funded more than 6,300 projects and supports more than 220,000 jobs across the state.

The CFA is a single application for state economic development resources from numerous state agencies. It is 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 \$750 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.

| Benchmarks | 2018 Dates |
|-------------------------------|--------------------|
| Application Opens | 8:00 AM May 1 |
| Applications Due | 4:00 PM July 27 |
| Annual Reports and Scores Due | October 1 |
| Awards Announced | Late Fall |

| STATEWIDE CFA ENDORSEMENT STANDARDS | | |
|---|-------------|--------|
| Implementation of the Plan | Degree | Points |
| The proposal is identified as a priority project by the Regional Council. | Priority | 20 |
| The proposal is identified in the plan and has regional benefits. | Very Strong | 15 |
| The proposal advances the plan and has local benefits. | Strong | 10 |
| The proposal is consistent with the plan and has project level benefits. | Moderate | 5 |
| The proposal has limited relationship to the plan. | Weak | 0 |

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.

Available Resources for Regional Councils in 2018

Approximate resources available through the Consolidated Funding Application process:

Direct Assistance to Business and Other Organizations: up to \$242.37 million

Empire State Development

Up to \$150 million for ESD Grant Funds

Up to \$75 million for Excelsior Jobs Program

Up to \$1.37 million for Business Incubator Program

Up to \$1 million for the Strategic Planning and Feasibility Studies

Up to \$15 million for Market New York

Community Development: up to \$55.7 million

NYS Council on the Arts

Up to \$5 million for Arts, Culture and Heritage Projects

Up to \$5 million for Arts & Cultural Facilities

Improvement Program – Large Capital Project Fund

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 \$19.5 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)

Waterfront Revitalization: up to \$16 million

Department of State

Up to \$15 million for the Local Waterfront Revitalization Program

New York State Canal Corporation

Up to \$1 million for the Canalway Grants Program

Energy: up to \$45 million

NYS Energy Research and Development Authority

Up to \$35 million for Energy Efficiency Programs

Up to \$10 million for Net Zero Energy for Economic Development

New York State Power Authority

Up to 143 MW for ReCharge New York Program

Available Resources for Regional Councils in 2018 *cont.*

Environmental Improvements: up to \$97 million

Department of Environmental Conservation

Up to \$3 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant

Up to \$79 million for the Water Quality Improvement Projects (WQIP) Program

Environmental Facilities Corporation

Up to \$15 million for the Green Innovation Grant Program

Sustainability Planning and Implementation: up to \$12.78 million

Department of Environmental Conservation

Up to \$8.78 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 2018 Resources over \$750 million



ANNUAL REPORT

We continue to move toward more standardized and streamlined reporting in 2018. 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 100 pages, with the Implementation Agenda representing the largest portion of the report. In recognition of the significantly shorter Progress section, a brief narrative highlighting progress made since 2011 should be included, but the report focus should be on progress made in the region in the past year. Initiatives and proposed projects that will be undertaken in late 2018 and 2019 should be included in the Implementation section. Priority projects supported by the REDC should be described, as few readers will have access to project descriptions in the CFA.

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 1, 2018:

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 Status of 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 60 pages

- A. Implementation of 2018 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 Three – 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.

Show Private sector, Public Sector, and Total for Region. Include current regional average and state average (not needed for number of establishments), and percent change in regional average and state average. Percent change should be the last annual change, and the change from 2011 – 2017 (or similar timeframe based on availability of data):

- Number of Establishments
- Average Annual Private Sector Employment
- Average Annual Public Sector Employment
- Total Annual Wages
- Average Annual Wages
- Unemployment rate
- Veteran unemployment rate
- Employment data broken down by age groups, such as 18-24 year old
- Labor force participation rate
- Labor force participation rate for population 25-64 with less than a HS diploma

Show data by sector, including employment, employment as a % of all employment, and average annual wage. This information may be presented under Key Regional Indicators, if applicable.

- Advanced manufacturing sector
- Life Sciences Sector
- Food and Agriculture

Show the following data for the region:

- Gross metropolitan product
- Value of Regional Exports
- Annual 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 (percent living below the poverty level, status by age group)
- Migration (percent living in same region as previous year, percent leaving NYS)
- Commuting (percent working in region of residence average commute time)
- Estimated Visitor Spending
- High School Graduation rates (based on availability of information, such as average for region, or rates for major cities)
- Immigration or refugee data (based on availability of information, such as numbers, ages, country of origin, employment)

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 2017 Progress Report. (The commuting information is provided in a separate chart.)

**TABLE 1 / MID-HUDSON REGIONAL ECONOMIC DEVELOPMENT COUNCIL DASHBOARD:
GENERAL ECONOMIC INDICATORS¹**

| Measures | Region (2016) | New York State (2016) | Regional Progress (% Change 2015–16) | State Progress (% Change 2015–16) | Regional Progress (% Change 2011–16) | State Progress (% Change 2011–16) |
|--|------------------|--------------------------|---|--|---|--|
| ECONOMIC INDICATORS | | | | | | |
| Average Annual Employment | 906,528 | 9,154,012 | 1.20% ▲ | 1.58% | 4.93% ▲ | 8.42% |
| Average Annual Private Sector Employment | 760,320 | 7,782,316 | 1.28% ▲ | 1.77% | 7.11% ▲ | 10.40% |
| Average Annual Public Sector Employment | 146,208 | 1,371,696 | 0.81% ▲ | 0.48% | -5.13% ▼ | -1.57% |
| Number of Establishments | 76,087 | 637,534 | 1.82% ▲ | 2.58% | 4.58% ▲ | 9.32% |
| Total Annual Wages | \$52,405,726,435 | \$621,933,555,687 | 0.68% ► | 2.20% | 11.99% ▲ | 19.26% |
| Total Annual Wages Private Sector Employment | \$42,282,953,714 | \$537,748,187,773 | 0.40% ► | 2.22% | 13.38% ▲ | 20.98% |
| Total Annual Wages Public Sector Employment | \$10,122,772,721 | \$84,185,367,914 | 1.86% ▲ | 2.09% | 6.49% ▲ | 9.33% |
| Average Annual Wages | \$57,809 | \$67,941 | -0.52% ► | 0.61% | 6.73% ▲ | 9.99% |
| Average Annual Wages Private Sector Employment | \$55,612 | \$69,009 | -0.86% ► | 0.31% | 5.86% ▲ | 9.44% |
| Average Annual Wages Public Sector Employment | \$69,235 | \$61,373 | 1.03% ▲ | 1.60% | -12.25% ▲ | -11.08% |
| Average Annual Unemployment Rate | 4.30% | 4.80% | -6.52% ▲ | -9.43% | -41.89% ▲ | -42.17% |

▲ The Region shows improvement in this metric.

▼ The Region is declining in this metric.

► The Region is stable in this metric (change of less than 1%).

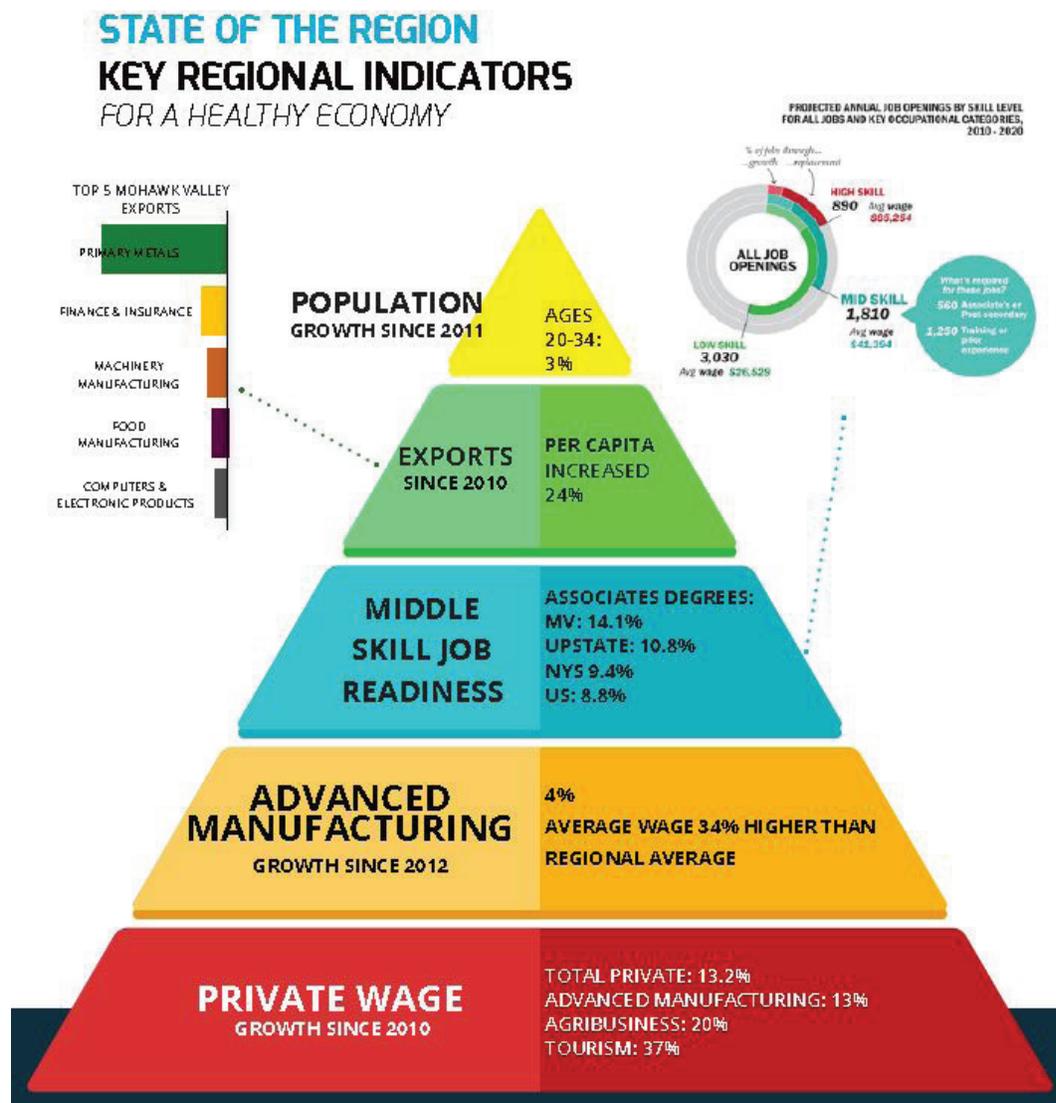
¹ Data source: Quarterly Census of Employment and Wages, developed through a cooperative program between the State of New York and the U.S. Bureau of Labor Statistics. Please note data for 2016 is preliminary and is subject to revision.

(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 2017 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.

An example is provided from the Mohawk Valley Regional Council 2017 Progress Report. A set of indicators related to population growth, exports, middle skill job readiness, advanced manufacturing, and private wage growth were provided.



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 2019.

(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 awarded priority projects. An awarded priority project is a project which has received a REDC score of 20 and received an award from a previous REDC round. Projects that have been cancelled or where funding has been declined should appear on the table. 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


PLAY PRIORITY PROJECTS

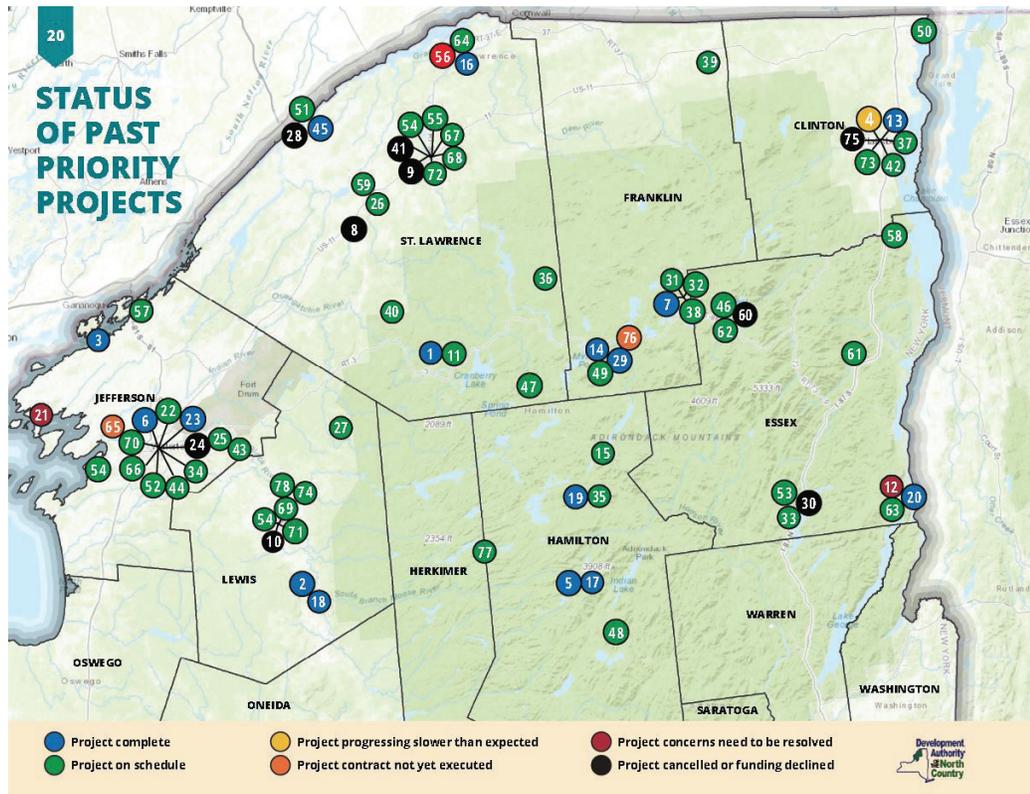
| PRIORITY PROJECTS AWARDED | CFA | Project Name | Map Pin # |
|--|--------------------------------------|--|-----------|
| IN 2012 (ROUND 2) | 17030 | Hudson Valley Food Hub – Phase 2 | 17 |
| | 19009 | Echo Bay Waterfront | 6 |
| | 19129 | Yonkers Rising Development | 7 |
| | 14734 | Hudson Landing Promenade Project | 19 |
| | 17045 | Glenwood Power Plant Restoration | 3 |
| | 14353 | Hyde Park Hotel Ventures | 8 |
| 10826 | Crown Maple Visitor Center | 10 | |
| PRIORITY PROJECTS AWARDED IN 2012 (ROUND 3) | 30713 | M-H Capital Region Local Food Distribution Hub | 25 |
| PRIORITY PROJECTS AWARDED IN 2014 (ROUND 4) | 42279 | Hepworth Farms Hudson Valley Crown Farm Hub | 42 |
| | 41937 | Sing Sing Historic Prison Museum | 32 |
| | 36762 | Equilibrium Brewery | 39 |
| | 42781 | Hudson Valley Brewery | 48 |
| | 43451 | LEGQLAND New York | 45 |
| | 40581 | Stone Ridge Orchard Hard Cider Plant/Food Hub | 40 |
| | 42428 | Hudson Valley Craft Beer, Cider, and Spirits Project | 51 |
| 40201 | Mensch Grasmere, LLC (Grasmere Farm) | 49 | |
| PRIORITY PROJECTS AWARDED IN 2015 (ROUND 5) | 51749 | Walkway Visitor Facility Improvement/Accessibility | 74 |
| | 57595 | LEGQLAND New York | 53 |
| | 50725 | Wildberry Lodge | 58 |
| | 51316 | Bellevue at Hyde Park | 59 |
| | 50577 | Black Dirt Distillery and Tourism Expansion Project | 66 |
| | 56935 | Food and Beverage Manuf. and Agritourism Center | 68 |
| | 54059 | Sullivan County Stave Mill and Coopersage | 64 |
| PRIORITY PROJECTS AWARDED IN 2016 (ROUND 6) | 57588 | LEGQLAND New York | 85 |
| | 64385 | Bellevue at Hyde Park – Phase 2 | 86 |
| | 65830 | Sing Sing Prison Museum | 87 |
| | 66871 | Yonkers Sports Event Center – Phase 1 | 88 |
| | 67671 | The Star Estate Distillery | 89 |

PROJECT STATUS GUIDE

■ Blue: Project is complete |
 ■ Green: Project is on schedule |
 ■ Yellow: Project is progressing slower than anticipated |
 ■ Orange: Project contract not yet executed |
 ■ Red: Project concerns need to be resolved |
 ■ Black: Canceled or funding declined

(4) Mapped Status of Past Priority Projects

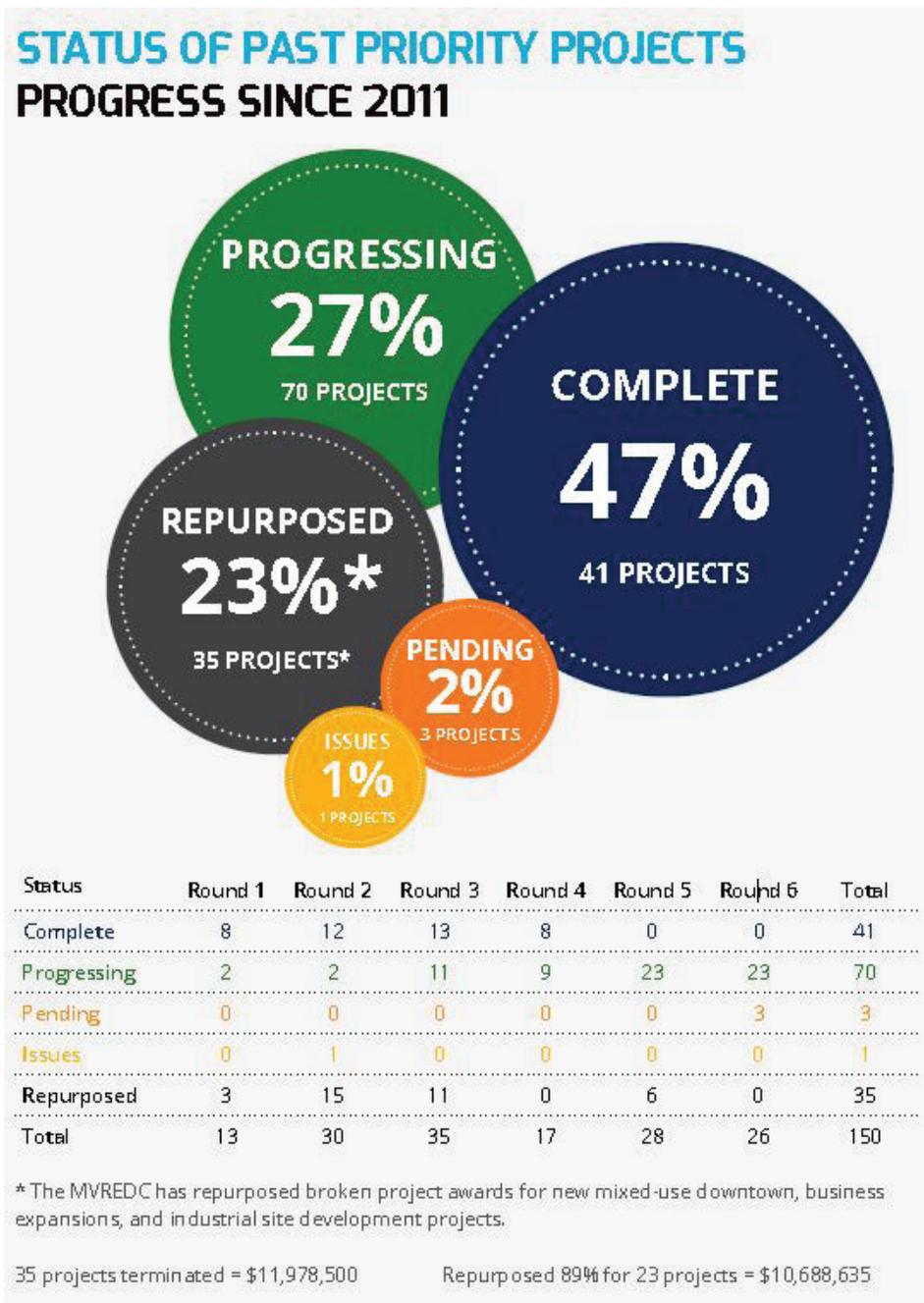
Provide a map of the region showing the location of each priority project, with the project locator/ pin color coded to show the project status. The example given is from the North Country REDC 2017 Progress Report.



(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 Mohawk Valley Regional Council 2017 Progress Report. Instead of listing projects as cancelled, the chart lists 35 projects as repurposed and explains that the project funding has been repurposed for 23 other projects.



(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 Mid-Hudson Regional Council 2017 Progress Report.

| TABLE 9 / ALL AWARDED PROJECTS JOB CREATION 2011 – 2016 | | | | |
|--|--|-------------------------------|------------------------------|----------------------|
| Round | Projected Construction/ Indirect Jobs | Projected Total Jobs Retained | Projected Total Jobs Created | Projected Jobs Total |
| 2011 | 100 | 313 | 457 | 870 |
| 2012 | 1,294 | 5,125 | 809 | 7,228 |
| 2013 | 257 | 1,858 | 2,498 | 4,613 |
| 2014 | 2,118 | 1,734 | 1,453 | 5,305 |
| 2015 | 2,385 | 1,105 | 294 | 3,784 |
| 2016 | 2,235 | 4,651 | 360 | 7,246 |
| Total | 8,389 | 14,786 | 5,871 | 29,046 |

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 – 2017, 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 2017 Progress Report..

STATUS OF ALL PROJECTS AWARDED CFA FUNDING



(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 2017 Progress Report.

LEVERAGE OF STATE INVESTMENT IN ALL CFA PROJECTS

Excluding projects that were cancelled or declined, or that received Industrial Revenue Bonds, the state invested more than \$199.5 million in 445 projects throughout the North Country, projects which leveraged over \$932.1 million and achieved a leverage ratio of \$4.70 of investment for every \$1 awarded by New York.

| ROUND | NUMBER OF CFAS | AWARD AMOUNT | TOTAL COST | RATIO |
|--------------|----------------|----------------------|----------------------|--------------|
| 1 | 66 | \$47,754,141 | \$232,743,658 | 1:4.9 |
| 2 | 83 | \$31,127,269 | \$120,791,322 | 1:3.9 |
| 3 | 71 | \$36,049,710 | \$177,391,141 | 1:4.9 |
| 4 | 66 | \$23,542,645 | \$80,882,676 | 1:3.4 |
| 5 | 81 | \$34,562,031 | \$178,559,988 | 1:5.2 |
| 6 | 78 | \$26,512,520 | \$141,797,311 | 1:5.3 |
| Total | 445 | \$199,548,316 | \$932,166,096 | 1:4.7 |

(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 Mid Hudson Regional Council 2017 Progress Report.

| Round | Projected Construction/ Indirect Jobs | Projected Total Jobs Retained | Projected Total Jobs Created | Projected Jobs Total |
|--------------|---------------------------------------|-------------------------------|------------------------------|----------------------|
| 2011 | 100 | 313 | 457 | 870 |
| 2012 | 1,294 | 5,125 | 809 | 7,228 |
| 2013 | 257 | 1,858 | 2,498 | 4,613 |
| 2014 | 2,118 | 1,734 | 1,453 | 5,305 |
| 2015 | 2,385 | 1,105 | 294 | 3,784 |
| 2016 | 2,235 | 4,651 | 360 | 7,246 |
| Total | 8,389 | 14,786 | 5,871 | 29,046 |

(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 100 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:

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

An example is provided from the Mid Hudson Regional Council 2017 Progress Report.

| CFA # | Applicant Name | Project Name | Agency | Program | Award Amount | Total Project Cost | Grant Disbursed To-Date |
|-------|-------------------------------------|---|---------|---|--------------|--------------------|-------------------------|
| 28315 | County of Orange | Sustainable Orange - Empowering Sustainability in Local Communities | NYSERDA | Cleaner Greener Communities (CGC), Phase II Implementation Grants, Category 2: Comprehensive Planning | \$217,000 | \$499,000 | \$179,220 |
| 27942 | KOLMAR LABORATORIES | Kolmar Laboratories Capital | ESD | Empire State Development Grant Funds | \$212,500 | \$1,650,000 | \$187,500 |
| 29936 | City of Kingston | Kingston Connectivity Project | Parks | Recreational Trails Program | \$200,000 | \$800,000 | \$11,573 |
| 31845 | Open Space Institute | Walkkill Valley Rail Trail Improvements | Parks | Recreational Trails Program | \$200,000 | \$342,000 | \$188 |
| 30713 | Community Housing Innovations, Inc. | HVA Local Food Distribution Hub Network Capital | ESD | Empire State Development Grant Funds | \$200,000 | \$2,139,174 | \$0 |
| 32419 | Software Consulting Associates | Software Consulting Associates | ESD | Empire State Development Grant Funds | \$200,000 | \$550,000 | \$0 |
| 30240 | City of Port Jervis | Port Jervis Main Street Revitalization | HCR | HCR - New York Main Street (NYMS) Cleaner Greener Communities (CGC), Phase II Implementation Grants, Category 2: Comprehensive Planning | \$200,000 | \$865,000 | \$0 |
| 30569 | City of New Rochelle | Comprehensive Plan Update | NYSERDA | Cleaner Greener Communities (CGC), Phase II Implementation Grants, Category 2: Comprehensive Planning | \$198,000 | \$358,000 | \$198,000 |
| 27674 | Town of Cortlandt | Comprehensive Plan Development | NYSERDA | Cleaner Greener Communities (CGC), Phase II Implementation Grants, Category 2: Comprehensive Planning | \$175,000 | \$233,333 | \$175,000 |
| 28456 | Ultra Seal Corporation | Ultra Seal Corporation | ESD | Excelsior Jobs Program | \$175,000 | \$1,142,080 | Tax Credit |
| 28589 | Peekskill (C) | Fleischmanns Pier Reconstruction Design | DOS | Local Waterfront Revitalization Program | \$175,000 | \$350,000 | \$51,750 |
| 28216 | Groundwork Hudson Valley | Adriaens Way: The Downtown Yonkers Trail | Parks | Park Acquisition, Development and Planning | \$160,244 | \$250,454 | \$144,219 |
| 31425 | Village of Sleepy Hollow | Rev Sykes Park Improvements | Parks | Park Acquisition, Development and Planning | \$157,500 | \$210,000 | \$0 |

III. Implementation Agenda (up to 60 pages)

A. IMPLEMENTATION OF 2018 STATE PRIORITIES

Describe any new strategies the region has adopted to address the main priorities identified by the State for 2018; any progress made between October of 2017 and September of 2018 on new or related strategies; and significant actions that are needed to implement the strategies in 2018-2019. 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 an excerpt from the Capital Region REDC 2017 Progress Report.

NEEDED ACTIONS AND NEW STRATEGIES

1. NEW REGIONAL STRATEGIES

VIDEO GAME HUB

Working with existing gaming companies, CREDC and ESD are working to attract additional companies to the area and to support the development of new spaces for existing companies. The video game hub, established in 2016, is reflective of the incredible talent coming out of Capital Region colleges and universities. That has produced a strong foundation for this cluster, including Vicarious Visions (Activision Inc.), Velan Ventures, Velan Studios, Agora Games (Warner Bros.) and 1st Playable Productions.

June 2017, ESD sponsored a video game summit at the Troy innovation Garage to define to grow this cluster. The result has been an ongoing discussion on state and local policies as well as opportunities for new projects, resulting in job growth and capital investment.

NEEDED ACTIONS

- Enhance state and local incentives to attract new video game companies and product development.
- Create a virtual and physical video game innovation center.
- Enhance the region's live/work/play environment in urban centers with greater access to high-speed broadband and additional parking and new or improved cultural attractions.

CAPITAL 2020 NEEDED ACTIONS

- **General:** The CREDC is in the process of reorganizing its workgroup structure to better align with Capital 2020's strategic goals.
- **Metro:** As noted in this report, this strategy's four catalyst metro projects are moving forward. ESD needs to continue assisting Glens Falls with the implementation of its Downtown Revitalization Initiative. For other projects the procurement of permits and approvals are needed for them to continue.

2. STATEWIDE PRIORITIES

LIFE SCIENCE STATE INITIATIVE

Next Tech is one of the Capital 2020 regional priorities which align with this year state priority focus on Life Sciences. As a region we have adopted a cohesive approach to work with the regional healthcare providers, HMCs, insurance carriers and regional healthcare providers to develop a shared database to assist with population health data analytics. This project is in its early stages and will be a cornerstone of the region's Next Tech and Life Science agenda.

NEEDED ACTIONS

- Intra-entity memorandum of understanding;
- Development of a proprietary data platform;
- Partnership with local/regional educational institutions; and
- Long-term location to house the new company (NewCo) whose responsibility and mission is the commercialization of collected data.

OPPORTUNITY AGENDA

The CREDC and ESD outreach related to the Downtown Revitalization Initiative (DRI) has focused on generating business activity and economic development opportunities in and around economically distressed communities and neighborhoods. ESD staff has visited and toured all likely DRI communities to promote strong DRI proposals and business-oriented CFA applications that are inclusive and address the significant factors causing distress in their communities.

THIS PROCESS INCLUDES THE FOLLOWING:

- Reviewing community plans and the DRI to assist in future rounds;
- Meeting with community leaders to provide feedback and support;
- Identifying the primary project within the community and determining the funding needs to move it forward; or
- Identifying other possible funding sources to assist each community in achieving its goals.

NEEDED ACTION

Flexible funding for smaller communities will assist in the revitalization process and make meaningful changes throughout the Capital Region.

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 or Buffalo Billion, describe the following:

- Significant progress made between September of 2017 and September of 2018, including progress made to advance the region’s key industry cluster.
- New regional strategies developed in 2018 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 an excerpt from the Mohawk Valley REDC 2017 Progress Report.

48 | MVREDC 2017
III. Implementation | 49

REGIONAL PRIORITY

PLACEMAKING & TOURISM



2017 PRIORITIES

- HOLLISTER
- 167 GENESEE
- FIRST & MAIN
- BREWERY OMMEGANG
- CHALMERS MULTI-USE
- AMSTERDAM SOUTH SIDE HOTEL
- STEVENS HARDWARE ADAPTIVE REUSE
- ONE WORLD OPPORTUNITY CENTER
- BELLAMY TERMINAL BUILD-OUT
- KEMPFF REVITALIZATION
- COBLESKILL FAIRGROUNDS
- ADIRONDACK DISTILLING
- SHARON SPRINGS INFRASTRUCTURE
- NATIONAL BASEBALL HALL OF FAME

"The evidence is everywhere. By water, by road, by bike, and by foot — you can see, touch, taste, and feel the transformation."

Activate the Waterfront | Align with Industry | Leverage Natural Resources | Create Great Places

Cities and Villages across the region are shaking off the rust and refining the rusties through inspired placemaking. Embracing the 200th anniversary of Clinton's Ditch, the cities of Amsterdam, Utica, Little Falls, Sherrill, and Rome are opening the Erie Canal to our citizens and visitors from around the globe. Glensville, Oneida, Saratoga, and Cobleskill are leveraging cultural treasures and natural beauty to boost the local economy. Cooperstown, Sharon Springs, and Old Forge are part of the international conversation as families from around the world plan their next vacations.

Much of this is directly attributable to our industry-aligned strategy. Manufacturers and exporters of home-grown products such as Heikler Diamonds and Saratoga Beer are also attracting visitors by way of camping, festivals, concerts, and tours. Our region is capitalizing on authentically Mohawk Valley brands.

When fans last gripped their glasses at the end of Game of Thrones' sixth season, the great houses of Westeros were on the brink of a epic conflict. To commemorate the Emmy® Award-winning show's epic seventh season, Brewery Ommegang and HBO Global Licensing released the next beer in their collaborative series. Paying homage to the struggle for control of the Seven Kingdoms, Bend the Knee Golden Ale marked the new season with a series of three callable 750ml bottles, each adorned with one of the three Great House sigils: Stark, Targaryen, or Lannister.

Brewery Ommegang represents the crossroads of Agribusiness, Manufacturing, Placemaking, and Global Exports. Belgium-inspired beer, farm-to-table cuisine, international festivals, and funkya jam sessions help to make summer in Cooperstown an unforgettable experience. Belgium comes to Cooperstown is an annual summer beer festival celebrating the best in Belgian-style beers which, in recent years, has grown from a modest gathering to a full-on festival with camping, live music, a VIP dinner, late night movies, recaptions and lectures. Over 100 breweries and 3,000 guests from around the world converge on an exciting, heady Cooperstown area.

This year, Brewery Ommegang proposes to expand the Tourism side of the house with a \$2 million hospitality expansion, including a new outdoor Pavilion, expanded patio, indoor seating, expanded retail store, a dedicated 'beer cave', new bathrooms, new roadway and other improvements aimed at an expanded 'shoulder season', retail sales enhanced beer tourism experiences, and visitor communion with the Upstate landscape.

This project is in perfect timing and harmony with the National Baseball Hall of Fame's proposed event-based marketing program.

Just down the road, Sharon Springs is riding the lifestyle wave of Beekman 1802 by recapturing the magic of the natural springs, culinary craft, and historic hotels to attract \$10+ million in foreign direct investment and millions more in visitor spending. Proposed infrastructure modernization is absolutely critical to realizing the dream in the water-intensive local economy.

All this, while nice spots are becoming great places along the towpath. Next-phase build-out of the Bellamy Harbor Terminal, Fonda CanalSide Park, Sykes Beach Visitor Center, and unprecedented South Side revitalization in Amsterdam are all strategic components of this year's implementation strategy, totaling greater than \$8 million in canal-side investment. That's more than the entire canal cost to construct in 1817.

We've got something special, and the world knows it.

| | | | |
|--|------------------------------------|---------------------------------|---------------------------------|
| Round for round, our region has outpaced every other region since the creation of the REDCs. | \$2.1 B | +26% | +37% |
| VISITOR SPENDING 2016 | VISITOR SPENDING GROWTH SINCE 2011 | TOURISM WAGES GROWTH SINCE 2011 | TOURISM WAGES GROWTH SINCE 2010 |

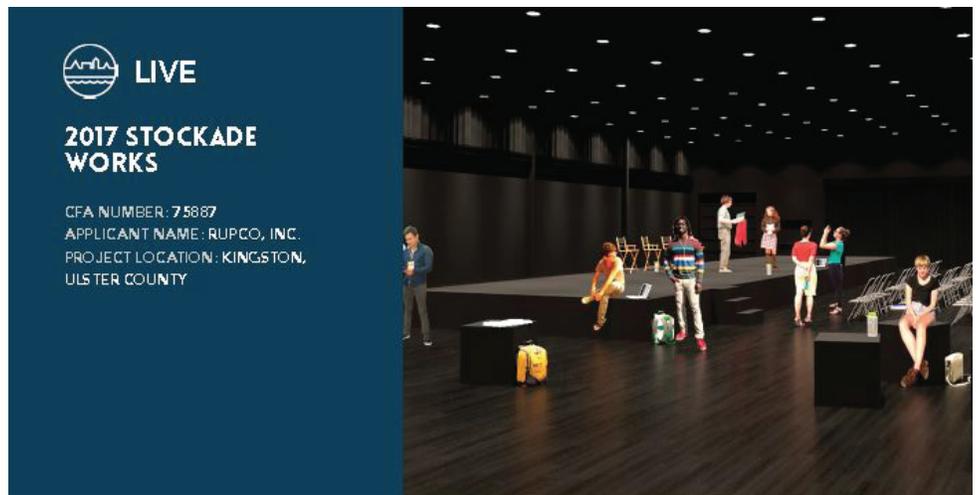
C. PROPOSED PRIORITY PROJECTS

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. An Example is provided from the Mid Hudson REDC 2017 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



RUPCO and Stockade Works are creating a state-of-the-art Media, Arts, and Technology Center at The Metro in Midtown Kingston. This community hub will provide an immersive learning environment, connect media-makers and technologists, and attract quality jobs to the region. Based on models like the The Jacob Burns Film Center & Media Arts Lab, the space will serve incoming professionals and locals alike. A Key to Kingston's Downtown Revitalization Initiative (DRI) strategy is promoting the redevelopment of vacant and distressed properties and removing blight and impediments to revitalization. The vacant Metro Building was named as a signature project for DRI funding. In June 2017, RUPCO acquired this downtown anchor, which includes the Metro Building and the Barmann Park which is maintained and operated by the city of Kingston. The property acquisition was part of Phase 1 of the project, which was identified by the Mid-Hudson REDC as a 2016 Priority Project.

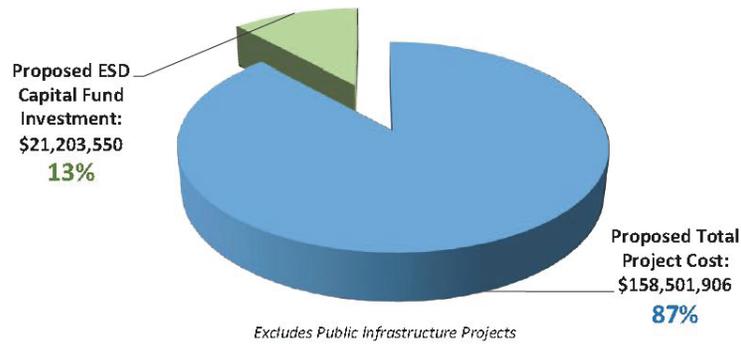
TOTAL FUNDS REQUESTED: \$242,526
 TOTAL PROJECT COST: \$1,285,472
 PROJECTED DIRECT/PERMANENT JOBS: 2
 PROJECTED INDIRECT/CONSTRUCTION JOBS CREATED: 1,265
 PROJECTED JOBS RETAINED: 0
 PREVIOUS CFA AWARDS: ROUND 6 - CFA 65071: \$1,000,000 ESD CAPITAL GRANT
 STATE/REGIONAL INITIATIVES: GLOBAL NY, VETERANS, OA, DOWNTOWN REVITALIZATION, MHREDC LIVE STRATEGY

| SOURCE & USE OF FUNDS | | |
|-------------------------|-----------|--|
| Use | Amount | Source |
| Construction/Renovation | \$567,786 | ESD Grant: \$40,000; Cash Equity: \$27,786; Private Funding: \$500,000 |
| Machinery & Equipment | \$450,150 | ESD Grant: \$60,000; Private Funding: \$360,150; Cash Equity: \$30,000 |
| Furniture & Fixtures | \$267,536 | ESD Grant: \$142,536; Cash Equity: \$125,000 |

(2) Overall Investment Ratio for Proposed Priority Projects

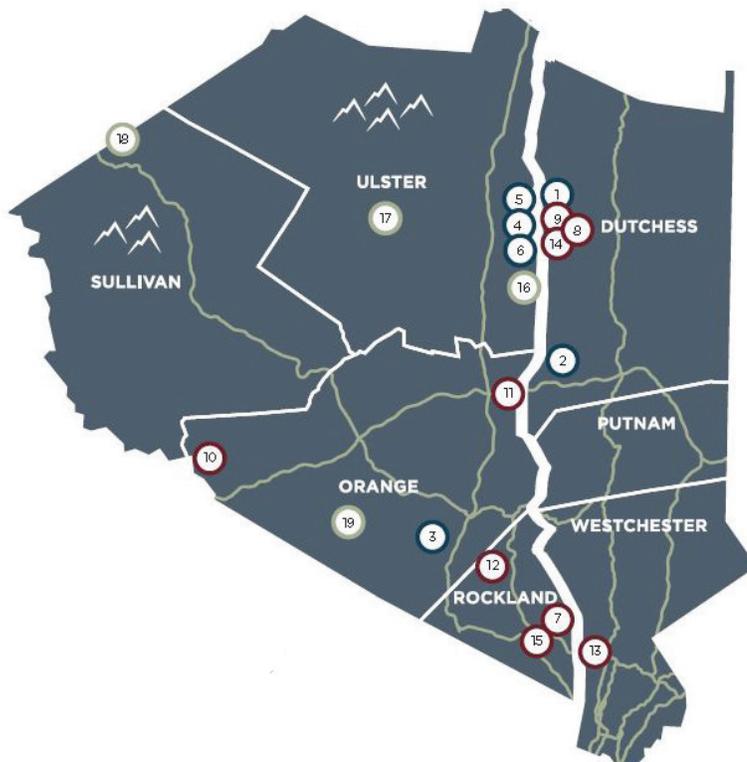
Provide an investment ratio for the total of all proposed 2018 priority projects, excluding public infrastructure projects, comparing the proposed total project cost to total proposed ESD Capital Fund investment. An example is provided from the Central New York REDC 2017 Progress Report.

Round 7 Overall Investment Ratio for Proposed Priority Projects: 13.38%



(3) Map of Proposed Priority Projects

Provide a graphic that illustrates the geographic distribution of the proposed priority projects for 2018. An example is provided from the Mid Hudson REDC 2017 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:

- Downtown Revitalization
- Life Sciences Cluster
- Workforce Training
- Regional Cluster Plan
- Opportunity Agenda
- Veterans

The example is provided from the Finger Lakes REDC 2017 Progress Report, which also includes total project costs and recommended funding amounts.

Proposed Priority Projects Relating to State Priorities

| Rank | CFA# | Priority Project | Total Cost | \$20M Rec | Regional Cluster Plan | Opportunity Agenda | Life Sciences Cluster | Workforce Training | Veterans | Downtown Revitalization |
|------|-------|---|--------------|-------------|-----------------------|--------------------|-----------------------|--------------------|----------|-------------------------|
| 1 | 76550 | OptiPro Expansion | \$9,250,000 | \$1,000,000 | | | | • | • | |
| 2 | 62896 | Youth Jobs in Neighborhood Development | \$2,986,800 | \$590,000 | | • | | • | | • |
| 3 | 77181 | URMC 3D Organ Printing and Surgical Simulation | \$4,000,000 | \$500,000 | | | • | • | | |
| 4 | 76730 | Cell and Tissue Technologies Laboratory | \$569,229 | \$110,000 | | | • | • | | |
| 5 | 74405 | Discovery Center @ EBP | \$4,078,124 | \$800,000 | | • | | • | • | • |
| 6 | 74789 | Former Medley Redevelop Phase I | \$11,450,000 | \$2,000,000 | | | | | • | |
| 7 | 77246 | Vigneri Chocolate Expansion | \$4,000,000 | \$800,000 | | • | | | • | • |
| 8 | 73148 | El Camino Community Center | \$1,650,602 | \$330,000 | | • | | • | • | • |
| 9 | 74387 | First Light Farm Creamery Expansion | \$909,265 | \$180,000 | | | | • | • | |
| 10 | 76675 | Opalux Manufacturing Facility | \$2,093,200 | \$400,000 | • | | | | | |
| 11 | 75816 | Howlett Soy Barley Grain Center | \$8,125,015 | \$2,000,000 | | | | | • | |
| 12 | 76150 | The Perfect Granola Facility | \$2,500,000 | \$500,000 | | | | • | • | |
| 13 | 75834 | Organic Specialty Mushroom Production | \$700,000 | \$210,000 | | | | • | • | |
| 14 | 73591 | Downtown Center for Entrepreneurship | \$847,000 | \$250,000 | | | | • | | • |
| 15 | 76900 | RIT Food Waste Utilization and Upcycling Testbed Phase 1 | \$408,227 | \$50,000 | | | | • | | |
| 16 | 76559 | Tompkins Metal Finishing Expansion | \$1,000,000 | \$300,000 | | | | | • | |
| 17 | 77199 | Lean Life Mfg. | \$250,000 | \$250,000 | | • | | • | • | |
| 18 | 74482 | New York Wine & Culinary Center Facility and Programmatic Expansion | \$1,406,448 | \$50,000 | | | | • | | • |

(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 Southern Tier REDC 2017 Progress Report.

| SUMMARY OF OTHER PROJECTS RELATING TO STATE PRIORITIES | | | | Downtown | Life Sciences | Workforce | Regional Cluster | Opportunity Agenda | Veterans |
|--|-----------------------------|--|---|----------|---------------|-----------|------------------|--------------------|----------|
| CFA# | PROGRAM NAME | PROJECT NAME | APPLICANT BUSINESS NAME | | | | | | |
| 73860 | HCR - NYMS | Bloomville | Delaware County Local Development Corp. | ● | | ● | | ● | |
| 74505 | HCR - CDBG - Planning | Village of Addison CDBG | Larson Design Group | ● | | ● | | ● | |
| 72822 | HCR - CDBG - Infrastructure | Woodhull Municipal Wastewater Collection System WWTP | Town of Woodhull | ● | | ● | | ● | ● |
| 72182 | HCR - CDBG - Infrastructure | Tioga Mobile Dental Services | Tioga County | | | ● | | ● | ● |
| 72675 | Parks - Grant | Nasser Civic Center Ice Rink | City of Corning | ● | | ● | | ● | ● |
| 72290 | Parks - Trails | Tanglewood Nature Center | Tanglewood Community Nature Center Inc. | | ● | | | ● | |
| 72824 | ESD - MNY | GlassBarge State Wide Tour | Corning Museum of Glass | ● | | | | | ● |
| 73060 | DOS - Waterfront | Town of Urbana Waterfront Revitalization | Town of Urbana | ● | | | | ● | ● |
| 73612 | DEC - Climate | Creating a Climate Smart Community The Big Flats Model | Southern Tier Central Regional Planning and Development Board | | ● | | | | |
| 73034 | EFC - Green Grants | Government Plaza Green Infrastructure Project | Broome County Planning and Economic Development | ● | | ● | | ● | |
| 72518 | DOS - LG | Town of Erwin WWTP and Disinfection 2017 | Town of Erwin-Town of Addison | ● | | ● | | ● | ● |
| 74318 | ESD - SPFS | Airport Corporate Park Planning | Broome County | | | | | | |
| 75568 | DEC - WQIP | Roxbury Grand Gorge Water Districts | Lamont Engineers PC | ● | | ● | | | |
| 73206 | DOL - Existing | Direct Support Professional Training | Franziska Racker Centers Inc. | | | ● | | ● | |
| 75170 | DOL - Unemployed | Regional Accelerated Machinist Partnership Program | Pro Action of Steuben and Yates Inc. | ● | | ● | ● | ● | ● |
| 77131 | DEC - Planning | Town of Southport Fairway-Phoenix Area Sewer | Fagan Engineers & Land Surveyors PC | | | ● | | ● | |

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 2018.

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 Western New York REDC 2017 Progress Report.



Tourism WORK GROUPS

Tourism, Arts, and Cultural Score Group

Reviews and scores all tourism CFA applications.

Regional Marketing and Branding Study Consortium

Oversees the eight-county regional marketing and branding effort and implementation of the plan.

Crystal Abers, *Cattaraugus County*

Katherine Conway Turner, *SUNY Buffalo State*

Gretchen Hanchett, *Greater Allegany County Chamber of Commerce*

Patrick Kaler, *Visit Buffalo Niagara*

Thomas Kucharski, *Invest Buffalo Niagara*

Brian McFadden, *Ellicottville Chamber of Commerce*

Lynne Menz, *Orleans County*

Andrew Nixon, *Chautauqua County Visitors' Bureau*

Jennifer Parker, *Black Capital Network/Jackson Parker Communications LLC*

John Percy, *Niagara Tourism and Convention Corporation*

Kelly Rapone, *Genesee County Chamber of Commerce*

Eric Szucs, *Wyoming County Chamber of Commerce*

Mark Zupan, *Alfred University*

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 Three (up to 5 pages)

Use up to five pages to provide information about the region's DRI Round Three 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

REGIONAL COUNCIL MEMBERS

Capital Region

Regional Co-Chairs

Ruth Mahoney
Market President and Regional Retail
Leader, Key Bank

Havidan Rodriguez
President, University at Albany

General Members

Melissa Auf der Maur
Co-Founder and Director, Basillica Hudson

James Barba
President and CEO, Albany Medical Center

Robert Blackman
Vice President, Realty USA

Dennis Brobston
President, Saratoga Economic Development
Corporation

David Brown
President and CEO, Capital District YMCA

David Buicko
Chief Operating Officer, Galesi Group

Joseph Dragone, Ph.D.
Senior Executive Officer, Capital Region
BOCES

Todd Erling
Executive Director, Hudson Valley
Agribusiness Development Corporation

Bill Hart
Controller, Irving Tissue

Michael Hickey
Chief Executive Officer, Monolith Solar

Drew Matonak
President, Hudson Valley Community
College

Linda MacFarlane
Executive Director, Community Loan Fund
of the Capital Region

Andrew Meader
Director of Corporate Alliances, Six Flags

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, Inc.

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

Regional Co-Chairs

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

Randall Wolken
President, MACNY – Manufacturers
Association of Central New York

General Members

Tony Baird
President & CEO, Tony Baird Electronics

Cohn Currier
President, Currier Plastics

Chedy Hampson
President & CEO, TCGPlayer.com

Kipp Hicks
Director, Madison County IDA

Michael Johnson
General Manager and Owner, Johnson
Brothers Lumber Company

Greg Larioni
Vice President, LeMoyne College

Cornelius B. Murphy
Senior Fellow for Environmental and
Sustainable Systems, SUNY ESF

Rita Paniagua
Executive Director, Spanish Action League

Timothy Penix
Vice President/Director, SUNY Syracuse
Educational Opportunity Center

Robert Simpson
President and CEO, CenterState
Corporation for Economic Opportunity

Deborah F. Stanley
President, SUNY Oswego

Michael Szidat
President, Felix Schoeller
North American, Inc.

Ann Marie Talierno
President, UNITE HERE Local 150, AFL-CIO

L. Michael Treadwell
Executive Director, Operation Oswego
County, Inc.

Garry VanGorder
Executive Director, Cortland County IDA

Tracy Verrier
Executive Director, Cayuga Economic
Development Agency

Nancy Weber
President, Oswego County Farm Bureau

Hon. William Magnarelli
New York State Assembly, 129th District

Hon. John DeFrancisco
New York State Senator, 50th District

REGIONAL COUNCIL MEMBERS

Finger Lakes

Regional Co-Chairs

Dr. Anne M. Kress
President, Monroe Community College

Robert Duffy
President and CEO, Greater Rochester Chamber of Commerce

General Members

Ginny Clark
Senior VP of Public Affairs, Constellation Brands, Inc.

Matthew Cole
Vice President, Commodity Resource Corporation

Paul Fortin
Plant Controller, Precision Packaging Products

Steve Griffin
CEO, Finger Lakes Economic Development Center

Matt Hurlbutt
President and CEO, Greater Rochester Enterprise

Steve Hyde
President and CEO, Genesee County Economic Development Center

Tony Jackson
President, Panther Graphics

Theresa B. Mazzullo
CEO, Excell Partners, Inc.

Augustin Melendez
President, Rochester Institute of Technology

David Munson
President, Rochester Institute of Technology

John Noble
President & Owner, Synergy, LLC

Wade Norwood
Chief Strategy Officer, Finger Lakes Health Systems Agency

Peter Robinson
VP Government Relations, University of Rochester Medical Center

Hilda Rosario Escher
President & CEO, Ibero American Action League

Bill Strassburg
Vice President of Strategic Planning, Wegmans Food Markets

Erin Tolefree
Executive VP, Baldwin Richardson Foods

Dave Young, Jr.
President, Rochester Building and Construction Trades Council

Hon. Joseph Morelle
Majority Leader, New York State Assembly, 132nd District

Hon. Joseph Robach
Senator, New York State Senate, 56th District

Long Island

Regional Co-Chairs

Kevin Law
President, Long Island Association

Stuart Rabinowitz
President, Hofstra University

General Members

Linda Armyn
Senior VP, Corporate Affairs, Bethpage Federal Credit Union

Noreen Carro
Vice President – New York Division, LMN Printing Co., Inc.

Resi Cooper
President, Cooper Hill Consulting

John DeCelle
President & CEO, Nassau Financial Federal Credit Union

John R. Durso
President, Long Island Federation of Labor

Lutricia (Pat) Edwards
Vice President, Citi Community Development

Tracey Edwards
Region President, Verizon Communications

Doon Gibbs
Interim Director, Brookhaven National Laboratory

V. Elaine Gross
President, 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
Co-Owner, Satur Farms, LLC

Anne D. Shybunko-Moore
President/Owner, GSE Dynamics, Inc.

Samuel L. Stanley Jr.
M.D., President, Stony Brook University

Hon. Phil Boyle
New York State Senator, 4th District

REGIONAL COUNCIL MEMBERS

Mid-Hudson

Regional Co-Chair

Dr. Donald P. Christian
President, SUNY New Paltz

General Members

Thomas J. Carey
President, Westchester Putnam Central
Labor Body

Vincent Cozzolino
Partner, Galileo Technology Group; Executive
Vice President, Ceres Technologies

Reinaldo (Ron) Diaz
President, Hudson Valley Area Labor
Federation

Jonathan Drapkin
President and CEO, Hudson Valley
Pattern for Progress

Carol Fitzgerald
Vice Chair and Executive Vice President,
Life Medical Technologies, Inc

Aleida Frederico
Senior Vice President, TD Bank

Dr. 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

Kimberlie Jacobs
Executive Director, Community Capital
New York

Harold King
Executive Vice President, Council of
Industry of Southeastern New York

Ken Kleinpeter
Vice President of Operations, Glynwood

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

Kristine Young, Jr.
President, SUNY Orange

Hon. John J. Bonacic
New York State Senator, 42nd District

Hon. J. Gary Pretlow
New York State Assembly, 89th District

Mohawk Valley

Regional Co-Chairs

Lawrence T. Gilroy III
President, Gilroy, Kernan & Gilroy, Insurance

Dr. Dustin Swanger
President, Fulton-Montgomery
Community College

General Members

Ladan Alomar
Executive Director of Centro Civico of
Amsterdam

Juanita Bass
Owner, Juanita's Soul Classics Inc.

Shelly Callahan
Executive Director, Mohawk Valley
Resource for Refugees

Laura Casamento
President, Utica College

Kevin Crosley
President and CEO, Herkimer ARC

Rich Creedon
CEO, Utica National Insurance Group

Laura Cueva
President, Interior Innovations

Steve DiMeo
President, Mohawk Valley Edge

Sarah Goodrich
Director, Schoharie Area Long Term

Charles Green
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
Regional Fund Mgr, Basset Medical Ctr

Nicholas O. Matt
Chairman & CEO, Matt Brewing Company

Ken Meifert
VP Sponsorship & Development, National
Baseball Hall of Fame and Museum

Nancy Pattarini
President & CEO, Paige Marketing
Communications Group, Inc.

Kenneth Rose
Director, Montgomery County Business
Development Center

Dr. Renee Scialdo-Shevat
President, Herkimer Diamond Mines

Dr. Marion Terenzio
President, SUNY Cobleskill

Hon. Joseph Griffo
New York State Senator, 47th District

Hon. William Magee
New York State Assembly, 121st District

REGIONAL COUNCIL MEMBERS

New York City

Regional Co-Chairs

Winston Fisher
Partner, Fisher Brothers

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

General Members

Stuart Appelbaum
President, RWDSU

Wellington Chen
Executive Director of the Chinatown Partnership

Marlene Cintron
President, Bronx Overall Economic
Development Corporation (BOEDC)

Cesar J. Claro
President & CEO, Staten Island Economic
Development Corporation

Carol Conslato
President, Queens Chamber of Commerce

Mike Fishman
Secretary-Treasurer, SEIU

Lisa Futterman
Regional Director, Workforce Development
Institute

Monique Greenwood
CEO of Akwaabe Bed & Breakfast Inns

Gail Grimmatt
President, Protravel International and Tzell Group

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

Nick Lugo
President, New York City Hispanic Chamber
of Commerce

Carlo Scissura, Esq.
President & CEO, New York Building
Congress

Douglas C. Steiner
Chairman, Steiner Studios

Marcel Van Ooyen
Executive Director, GrowNYC

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

Hon. Martin J. Golden
New York State Senate, 22nd District

North Country

Regional Co-Chairs

Anthony G. Collins, Ph.D.
President & CEO, Clarkson University

Garry Douglas
President & CEO, North Country Chamber
of Commerce

General Members

Cali Brooks
Executive Director, Adirondack Foundation

Reg Carter
Executive Director, CITEC

John R. Donoghue
Delegate, Northeast Central Labor Council

Dr. Cathy Dove
President, Paul Smith College

Manna Doyle
General Manager, Tulmar Manufacturing, Inc.

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-ann Hart
President, KPH Healthcare Services, Inc.

Michele Ledoux
Executive Director, Lewis County Cornell
Cooperative Extension

James McKenna
CEO, Regional Office of Sustainable
Tourism

Brian Murray
Owner, Washington Street Properties

Kylie Peck
President & CEO, Greater Watertown-North
Country Chamber of Commerce

Stephanie Ratcliffe
Executive Director, The Wild Center

Dr. Zvi Szafran
President, SUNY Canton

Mark E. Tryniski
President, Community Bank NA

Donna Wadsworth
Communications Director, International
Paper Company - Ticonderoga Mill

Daniel Wilt
President, Wilt Industries

James W. Wright
Executive Director, Development Authority
of the North Country

Hon. Betty Little
New York State Senate, 45th District

Hon. Addie Jenne
Assemblywoman, 116th District

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Regional Co-Chairs

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President & CEO, Corning Enterprises

Harvey Stenger
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Kathy Connerton
President & CEO, Lourdes Hospital

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Partner, Leonard & Cummings, LLC

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President, NBT Bank

Peg Ellsworth
Executive Director, MARK Project Inc.

Michael Field
President, The Raymond Corp.

Betsy Hale
President, Three Rivers Development Corp.

Ernest (Ernie) Hartman
Business Manager, IBEW Local 139

Mike Krusen
President, Southern Tier Economic Growth, Inc.

Michael Laliberte
President, SUNY Delhi

Judy McKinney Cherry
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
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President & COO, Golden Artists Colors, Inc.

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President, Shumaker Consulting

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Vice President, Lockheed Martin Systems Integration

Michael Stamm
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LeeAnn Tinney
Director, Tioga County Economic Development and Planning

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New York State Senate, 58th District

Hon. Barbara Lifton
New York State Assembly, 125th District

Western New York

Regional Co-Chairs

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President, SolEpoxy, Inc.

Virginia Horvath
President, SUNY Fredonia

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VP of Social Enterprise, YWCA of the Niagara Frontier

Robert T. Brady
Retired, Moog, Inc.

Paul Brown
President, Buffalo Building 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/Chair, RGonzalez Consulting/Erie Community College

Thomas A. Kucharski
President & CEO, Invest Buffalo Niagara

Brenda W. McDuffie
President & CEO, Buffalo Urban League, Inc.

Michael Metzger
VP for Finance and Administration, SUNY Fredonia

Jennifer J. Parker
CEO, Jackson Parker Communications, LLC

Melinda Vizcarra
Partner, Becker Farms & Vizcarra Vineyards

Mark Zupan, Ph.D.
President, Alfred University

Hon. Michael Ranzenhofer
New York State Senate, 61st District

Hon. Robin Schimminger
New York State Assembly, 140th District

CODE OF CONDUCT

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



**Regional Economic
Development Councils**