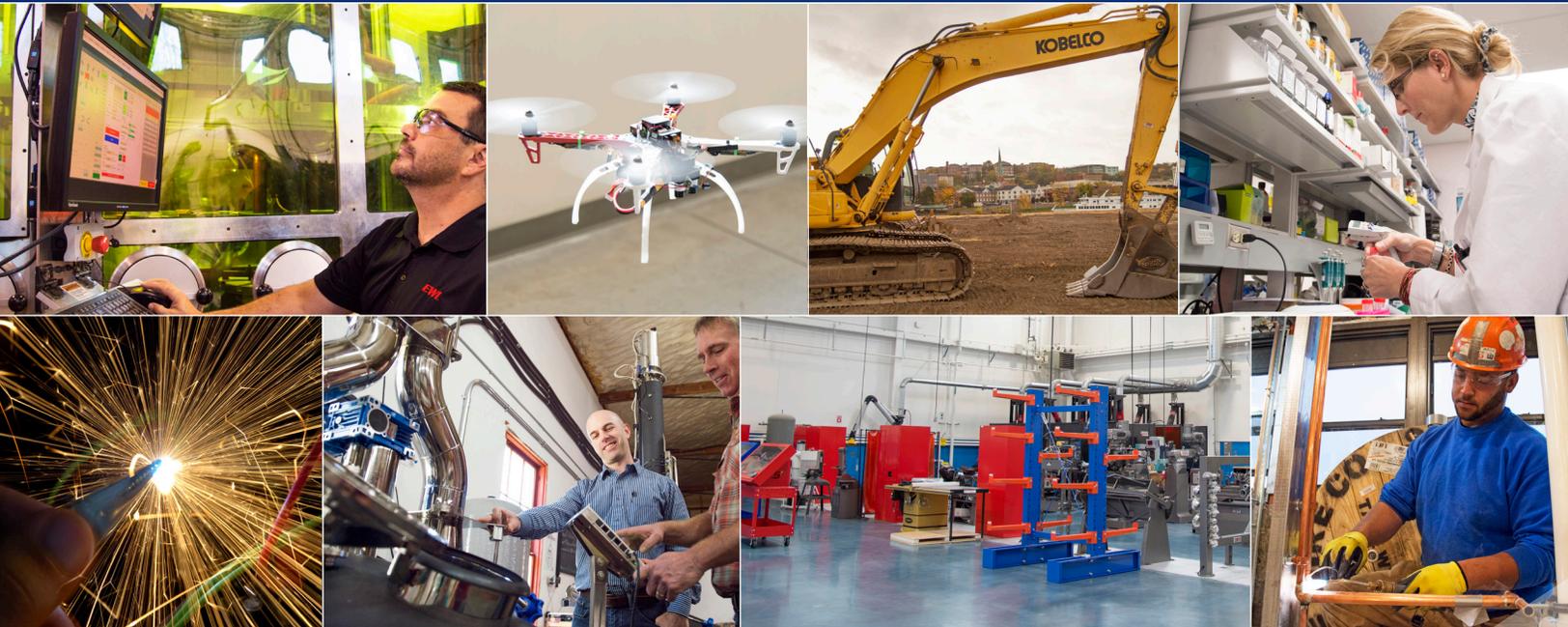




Regional Economic Development Councils



PROVIDING THE TOOLS FOR PROSPERITY



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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“We are once again empowering regions to chart their future, while providing the necessary tools to implement their vision for community and economic growth, creating a positive impact across the Empire State.”

- Governor Andrew M. Cuomo

Introduction

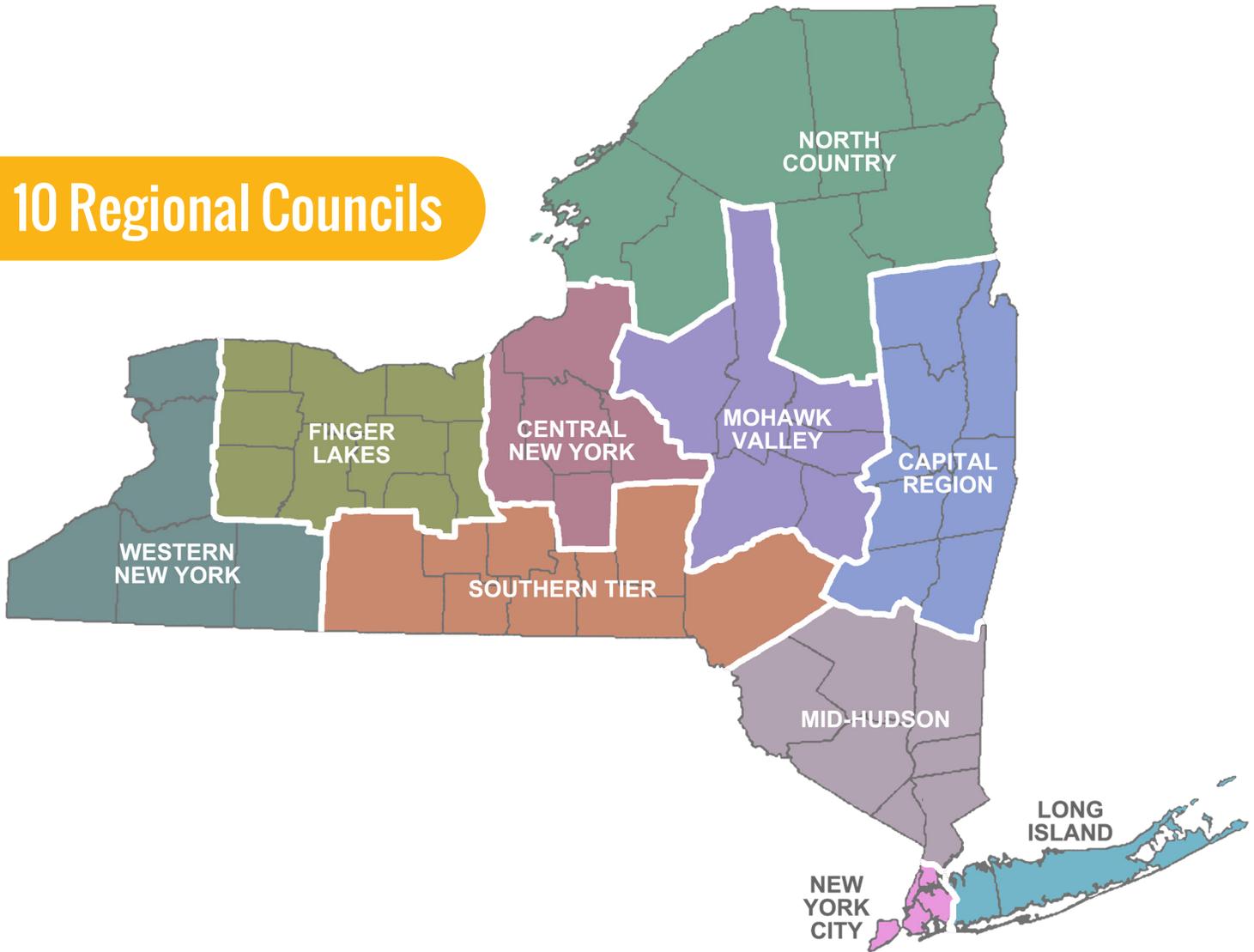
In 2011, Governor Cuomo redesigned the State’s economic development strategy through creation of the Regional Economic Development Councils (REDC). New York State’s traditional top-down development strategy was replaced with a bottom-up, innovative approach that empowers regional stakeholders to establish pathways to prosperity, mapped out in regional strategic plans. Through the REDCs, community, business, and academic leaders and members of the public in each region of the state put to work their unique knowledge and understanding of local priorities and assets to help direct state investment in support of job creation and economic growth.

Recognizing the importance of the academic community to economic prosperity, the REDCs facilitate collaboration between business and academia to ensure employer workforce needs are being met, and business support services are being provided to start-up companies seeking to commercialize academic research.

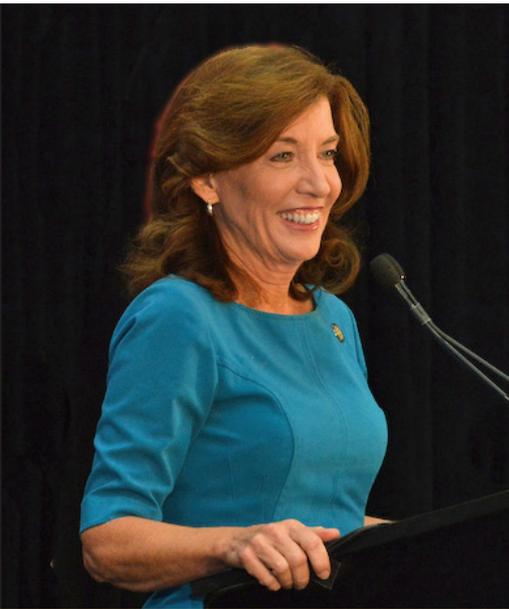
Each Regional Council has become the voice of the region, advising agencies on the programs and projects most valuable to the region. What started as an initiative focused on economic investments has blossomed into a program that invests in people and communities. This year the REDCs will prioritize child-care, environmental justice, and strategic community investment to give all New Yorkers the tools needed to improve their economic security and overcome significant barriers to career advancement.

Since its inception, the REDCs have awarded over \$6.1 billion to more than 7,300 projects. This strategy has resulted in more than 230,000 new or retained jobs in New York. The REDCs have also played a critical role in identifying where to spend \$300 million in 30 Downtown Revitalization Initiative (DRI) communities. The DRI is a community planning and implementation process where each participating community develops the key ingredients needed for successful downtown revitalization. Now entering its fourth year, REDCs will again identify the communities that will benefit from \$100 million in state investment and will appoint an REDC member to co-chair the local planning committee.

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 to create much-needed jobs, and address skills gaps to ensure that New Yorkers, particularly in distressed areas, have access to higher-paying jobs.

Regional Co-Chairs, one representing the business community and one from the academic community, lead each Regional Council. Co-Chairs also lead each Regional Council’s Executive Committee. Co-Chair terms are for two years and are renewable at the end of each term.

Regional Council Co-Chairs

Capital Region

Ruth H. Mahoney, Market President, Key Bank – Capital Region
 Havidán Rodríguez, President, University at Albany

Central New York

Randy Wolken, President, Manufacturers Association of Central NY
 Deborah Stanley, President, SUNY Oswego

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

James McKenna, CEO, Regional Office of Sustainable Tourism
 Dr. Ty Stone, President, Jefferson Community College

Southern Tier

Judy McKinney Cherry, Executive Director, Schuyler County Partnership
 for Economic Development
 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 regional 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. Council members act in a voluntary, advisory capacity to ensure that projects align with regional strategies. All Regional Council members serve a voluntary two-year term, renewable at the end of each term. Council members are expected to be active in their participation and meeting attendance.

Work Groups

Regional Councils have formed work groups comprised of volunteers to help identify and implement the strategies. Work groups allow for greater involvement of regional stakeholders from industries, communities and other groups, and provide an additional forum for sharing ideas and information that will lead to the creation or retention of jobs, and the investment of state resources in the community. Regional Councils have formed work groups to advance major goals, strategies, and tasks. Thousands of volunteers are actively engaged implementing development strategies through the work groups.

Local Government Engagement

Engagement of local elected officials is essential in supporting Regional Council strategies and identifying priority projects that will further the economic growth of not only their community but the region as a whole. Their participation is critical to implementing the Downtown Revitalization Initiative and improving the regional business climate. Local government representatives are encouraged to participate in the various work groups within their region.

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.

2018 Competition



2018 Competition

Regional Strategic Planning Process

In 2011, each Regional Council was charged with developing a five-year Strategic Economic Development Plan that emphasized their region's unique assets and provided strategies to harness local resources, both human and capital, to stimulate regional economic development and create jobs statewide. The Strategic Economic Development Plans continue today with annual updates to address emerging state and regional challenges and opportunities, as well as updates that reflect priorities identified by many regions in Upstate Revitalization Initiative Plans, and in Western NY by the Buffalo Billion Plan.

Each region has a unique set of strategies to achieve greater economic prosperity and each have identified key regional industry clusters. In 2018, Regional Councils were asked to identify projects related to strategies in their plans and their key industry clusters, as well as develop strategies and projects related to workforce development; the State life sciences cluster; downtown revitalization; regional business incubators; helping people overcome barriers to entry into the workforce in distressed regional Opportunity Areas; and veterans' participation in the workforce. The REDCs were also asked to engage local governments in the Regional Council process.

In October and November, the Regional Councils submitted their annual reports and presented their progress and plans to implement their economic development strategies to the Strategic Implementation Assessment Team (SIAT). The Regional Councils also provided updates on the ongoing Downtown Revitalization Initiative (DRI) planning process.

2018 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 2018 REDC Guidebook. The focus was on the following areas:

- Identification of workforce development strategies
- Identification of projects for the state Life Sciences Cluster
- Support for Downtown Revitalization Plans and downtown projects
- 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
 - Regional 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 hear from the Long Island REDC.

2018 Awards

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 from the Downtown Revitalization Initiative, and projects from all ten regions submitted through the CFA were eligible for over \$525 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: Central NY, Finger Lakes, Mohawk Valley, Mid-Hudson, and New York City.

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

Additionally, each region is eligible for Excelsior Jobs Program tax credits to help attract and grow businesses in the region.



REGION	PROJECTS	AMOUNT
Capital Region	95	\$67 million
Central New York	91	\$88.2 million
Finger Lakes	141	\$86.5 million
Long Island	103	\$68.3 million
Mid-Hudson	122	\$87.1 million
Mohawk Valley	77	\$85.4 million
New York City	137	\$84.4 million
North Country	70	\$64.8 million
Southern Tier	101	\$65.4 million
Western New York	118	\$66 million
TOTAL	1,055	\$763.2 million

Regional Council

PRIORITIES IN 2019

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 has identified its strengths and marshalled forces to build opportunities in those sectors of the regional economy. They are advancing projects in their regional economic clusters, supporting tradeable sectors, and growing exports. Where regions have challenges to overcome, they are coordinating their efforts through poverty reduction initiatives, workforce development, providing opportunities for veterans to participate in the workforce and grant programs, and seeking ways to provide opportunities for hard-to-place workers. These values have been integrated into the operations of the Regional Councils.

This year, the Regional Councils will focus on tools that enable prosperity, such as placemaking and investment in community infrastructure. Placemaking is the notion that *where* investment occurs matters. Our built environment must emphasize accessible job centers, sustainable infrastructure, and livable communities in order to attract a talented workforce.

In 2019, Regional Councils are asked to address the following priorities:

- work with local businesses and communities to identify childcare needs and develop potential solutions;
- develop an economic and environmental justice strategy for the region;
- support community investment in placemaking and downtown revitalization;
- support the Workforce Development Initiative; and
- track the progress of the strategic economic development plan and projects funded through the Consolidated Funding Application (CFA).

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 CFA to implement those strategies.



Identify Childcare Needs and Develop Potential Solutions

Child care is a \$4.3 billion industry in New York, with an economic impact of nearly \$8.6 billion and 172,000 jobs, but its significance for the economy is considerably broader. Affordable, high-quality child care represents key workforce development infrastructure that: increases labor force participation by enabling parents to enter and succeed in the workforce; eases the acquisition of education/skills training which contribute to higher lifetime earnings; and encourages state and regional economic growth.

The quality and accessibility of child care also affect the productivity of parent employees and, in turn, impact local employment and business development. Without reliable, high-quality child care, parents may be distracted at work or absent. These issues affect the bottom line of businesses: absenteeism, productivity reductions, and turnover due to child care breakdowns are estimated to cost U.S. businesses more than \$3 billion annually.

Despite the value of high-quality child care to families and businesses, there are several interrelated barriers to parents accessing child care services, including a lack of supply, issues regarding program quality, unpredictable job schedules for low-wage workers, limited access to public subsidies, and relatively high costs.

Governor Andrew M. Cuomo and the State Legislature have formed a Child Care Availability Task Force that is examining many factors related to increasing the quality of child care and making it more accessible and affordable for New Yorkers across the State. The task force is expected to share interim recommendations later in 2019 and finalize its report by the end of 2020.

State-level initiatives to expand the availability of high-quality child care are essential, but these efforts must be informed and complemented by insights from local context and expertise. Regional Councils are asked to consider the needs of families to have access to affordable, high-quality child care and the implications for businesses in their quest to recruit and retain a skilled and reliable workforce.

This year, Regional Councils should develop strategies to address child care needs in their region. Strategies should identify community needs and examine the gap between these needs and the current resources available. Councils are encouraged to leverage and maximize existing resources, both within and outside the CFA, explore new and creative funding streams to support the childcare infrastructure which address the region's child care needs, and are encouraged to develop innovative child care business development, workforce development techniques, Deliverables can include strategies targeted for implementation beyond Round 9 of the REDC.

Working together, Community Economic Development and Environmental Justice leaders can improve the quality of life of local residents, bringing sustainable and healthy economic development to distressed communities.



Students in Buffalo Niagara Riverkeeper's Young Environmental Leaders Program sample water from Buffalo Creek Buffalo. Niagara Waterkeeper is grant recipient from the NYS Office of Environmental Justice.

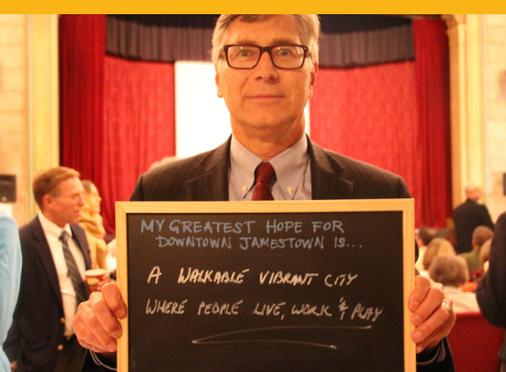
Develop an Economic and Environmental Justice Strategy

Environmental justice means the fair treatment and meaningful involvement of all people regardless of race, color, national origin, or income with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. As New York State transitions to a greener economy, it is imperative that no subset of the population be marginalized or left behind.

The way neighborhoods, cities, and regions are planned, built, and developed has an important influence on public health and the environment. Many of the challenges low-income, minority, and tribal communities face can be related to development decisions.

Each Regional Council should form a work group tasked with examining the environmental justice concerns of communities in the region; the current level of Regional Council engagement with environmental justice communities in support of existing priorities (such as Opportunity Agenda communities and workforce development); and identifying gaps in support for state directives like Executive Order 187 which seeks to ensure diversity and inclusion and combat harassment and discrimination in the workplace. The workgroup will deliver its findings to the full Council for inclusion in the 2019 Progress Report.

This understanding will help each Regional Council establish a baseline from which to develop a strategy that will have a positive impact in environmental justice communities. Each Regional Council can then develop a regional environmental justice strategy that seeks to achieve more equitable development and guide investment decision-making during future rounds of funding.



Support Downtown Revitalization and Community Investment in Place Making

Downtown Revitalization Initiative

Support for downtown revitalization and placemaking serves a broader agenda for revitalization, growth, and transformation in ways that reflect the collective reimagining of the downtown and provides funding to help achieve that vision with a higher quality of life, amenities, and connection of place and community.

Worldwide, business and development leaders recognize that vibrant downtowns with attractive public amenities and a high quality-of-life provide a catalyst for increased economic development, re-population (particularly by young professionals), and urban redevelopment. Recognizing this potential, Governor Andrew Cuomo launched a major new initiative in the spring of 2016 – the Downtown Revitalization Initiative (DRI).

Each year of the DRI program, the State invests \$100 million - \$10 million in each of 10 communities representing all 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.

Downtown Revitalization Initiative Communities



The DRI process involves an innovative combination of community-based strategic planning, interagency project support and strategic leveraging of outside investments. The process starts with a Strategic Investment Plan that develops the key ingredients needed for successful downtown revitalization: a clear vision for the downtown; goals and strategies to accomplish the vision; and catalytic projects identified in the plan. A member of the Regional Council co-chairs each DRI Local Planning Committee and a second member serves on the committee. Additional details about the Downtown Revitalization Initiative may be found at www.ny.gov/DRI.

Strategic Investment Plans and projects are intended to leverage additional public and private investments within and near the downtown, building upon growth supported by the Regional Councils. In evaluating projects submitted through the Consolidated Funding Application (CFA), Regional Councils should support downtown projects that appear in DRI Strategic Investment Plans, as well as projects that promote placemaking in other communities and support the general principles of smart growth and sustainable development.

Identify Strategic Community Development Strategies

Building upon the success of the Downtown Revitalization Initiative, Regional Councils are tasked this year with identifying best practices for impactful community development. Best practices are actions that experience has proven to lead to viable, dependable results. These practices will be unique to your region and may be informed by success stories in prior DRI winning communities, stand-alone projects that have achieved milestones, or external examples of results-driven strategies.

In addition to identifying these best practices, strategies should be developed to implement those best practices in the region and projects should be identified that further these strategies. Strategies and projects should reflect the general principles of smart growth and sustainable development.



Support the Workforce Development Initiative

The Enacted Budget supports a \$175 million investment and a new Consolidated Funding Application for workforce investments that will support strategic regional efforts that meet businesses’ short-term workforce needs, improve regional talent pipelines, enhance the flexibility and adaptability of local workforce entities, expand apprenticeships, and address the long-term needs of growing industries — with a particular focus on emerging fields with growing demand for jobs like clean energy, health technology, and computer science. These funds will also support efforts to improve the economic security of women, youth, and other populations that face significant barriers to career advancement.

Regional Councils are asked to support the Workforce Development Initiative (WDI) through a Workforce Development workgroup and through continuing to include workforce issues as a central tenet of regional economic planning processes.

Track the Progress of the Strategic Plan and CFA Projects

Measuring progress is an important way to determine over time whether a region is meeting its goals.

Regional Councils are asked to continue reporting on the projects funded through the Consolidated Funding Application (CFA). Regional Annual Reports should continue to include the status of all projects that received capital awards from the Empire State Development Grant Program through the CFA. They should also include the aggregated status of the hundreds of projects that have received funding through the CFA since 2011 and provide highlights of significant progress made on those projects.

Regional Council

2019 COMPETITION

Since 2011 the REDCs have awarded over \$6.1 billion in State funding to over 7,300 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 230,000 new or retained jobs in New York.

The Regional Councils will compete in 2019 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 PERFORMING REGIONS
will be awarded a share of \$100 million
in ESD Capital grants.

THE REMAINING FIVE REGIONS
will be awarded a share of \$50 million
in ESD Capital grants.

Each region will also be eligible for up to \$75 million in Excelsior Tax Credits to help attract and grow business in the region.

Evaluation Criteria

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

PERFORMANCE

- Impact on job creation and retention
- Business growth and leverage of private sector investments
- Economic activity as a result of regional strategies

PROJECTS

- Identification of projects to advance state and regional priorities
- Identification of projects in the region that would revitalize downtowns

PROGRESS

- Implementation of regional strategies
- Execution of strategies addressing emerging state and regional challenges and opportunities
- Advancement of prior round priority projects

PLANNING

- Ability to take the next steps in growing the regional economy
- Collaboration with local governments

PARTICIPATION

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

CONSOLIDATED FUNDING APPLICATION

A ninth round of the Consolidated Funding Application (CFA) will be offered in 2019. 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 \$525 million. A separate Workforce Development CFA will consist of \$175 million in additional resources.

The CFA will open on May 1, 2019 at 9:00 AM. Applications will be accepted through 4:00 PM on July 26, 2019. Award announcements will be made in December.

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.

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

Each Regional Council will use statewide endorsement standards when reviewing CFAs submitted to their region, considering the degree to which the application helps implement the regional strategic plan and aligns with regional priorities. A Regional Council score of 20 represents a priority endorsement by the Council but does not guarantee funding.

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. Regional Council scores are due by October 1, 2019.

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 2019

Approximate resources available through the Consolidated Funding Application process:

Empire State Development: Up to \$242 million

- Up to \$150 million for ESD Grant Funds
- Up to \$75 million for Excelsior Jobs Program
- Up to \$2 million for Strategic Planning and Feasibility Studies
- Up to \$15 million for Market New York

New York State Council on the Arts: Up to \$6.75 million

- Up to \$5 million for Arts and Cultural Initiatives
- Up to \$1.75 million for Arts & Cultural Facilities Improvement Program – Mid-Size Capital Project Fund

Homes and Community Renewal: Up to \$26.2 million

- Up to \$20 million for New York State 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 \$21.4 million

- Up to \$19.5 million for Environmental Protection Fund Grants Program for Parks, Preservation and Heritage (EPF)
- Up to \$1.9 million for Recreational Trails Program

Department of State: Up to \$21 million

- Up to \$15 million for the Local Waterfront Revitalization Program
- Up to \$2 million for the Brownfield Opportunity Area Program
- Up to \$4 million for Local Government Efficiency Program

New York State Canal Corporation: Up to \$1 million

- Up to \$1 million for the Canalway Grants Program

Available Resources for Regional Councils in 2019 *cont.*

New York State Energy Research and Development Authority: Up to \$40 million

- Up to \$10 million for Energy Efficiency Programs
- Up to \$15 million for Net Zero Energy for Economic Development
- Up to \$15 million for Commercial and Industrial Carbon Challenge

New York State Power Authority: Up to 144 Megawatts

- Up to 144MW for the ReCharge NY Program

Department of Environmental Conservation: Up to \$85.7 million

- Up to \$11.7 million for the Climate Smart Communities Grant Program
- Up to \$70 million for the Water Quality Improvement Project (WQIP) Program
- Up to \$1 million for the Non-Agricultural Nonpoint Source Planning Grant Program
- Up to \$3 million for NYS DEC/EFC Wastewater Infrastructure Engineering Planning Grant Program

Environmental Facilities Corporation: Up to \$15 million

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

Federal Industrial Development Bond Cap: Up to \$300 million

- Up to \$300 million for Industrial Development Bond Cap (IDBC)

Total 2019 Resources over \$750 million

ANNUAL REPORT

As the Regional Council Initiative approaches its tenth anniversary, it is time to begin cataloguing the wide-ranging impact of the program on economic development in the state. In the past, we have asked the Regional Councils to report on the projects that were funded through the CFA, or recommended for funding, and to report on initiatives with which their members were directly involved. However, the goals and strategies identified by the Regional Councils influence state investment throughout the year, and REDC investments over time are being compounded by private investments.

To better capture the influence of the REDCs over the past year, the format of the annual report is changing. The new template will continue to allow Regional Councils to provide informative, high quality, online reports.

Priority projects supported by the REDC for funding in 2019 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, 2019.

I. Executive Summary – up to 5 pages

II. Progress – up to 10 pages

- A. General Progress in the Region
- B. Status of Past Priority Projects
- C. Status of All Projects Awarded CFA Funding

III. Implementation Agenda – up to 20 pages

- A. Strategies and Actions Related to State Priorities
- B. Implementation of Key Regional Priorities

IV. Projects – up to 30 pages

- A. Priority Project Descriptions
- B. Crosswalk Chart
- C. Geographic Distribution of Proposed Priority Projects
- D. Crosswalk Chart of Other Projects Relating to State Priorities

V. Participation – up to 5 pages

- A. Work Groups
- B. Public Outreach and Engagement

VI. Downtown Revitalization Plan Round Four - up to 5 pages

VII. Appendix with List of All Funded CFA Projects

I. Executive Summary

Provide a brief summary of the Annual Report. This section should also include the regional vision and a message from the co-chairs.

II. Progress

A. GENERAL PROGRESS IN THE REGION

This section should consist of a narrative describing the region's economic health, including any significant changes in the region in the past year. It may also include general economic and quality of life indicators.

B. STATUS OF PAST PRIORITY PROJECTS

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

(1) Narrative Highlighting Progress on Past Priority Projects

The Annual Report should contain a narrative highlighting the progress made on priority projects, with an emphasis on progress made in the past year. 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) 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.

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

(3) Geographic Distribution of Past Priority Projects

Provide a graphic that illustrates the geographic distribution of each past priority project.

(4) Summary 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.

(5) 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 Funds awarded to Priority Projects.
- 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.

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. A full list of all funded CFA projects will be presented in the appendix.

(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 that received CFA awards from 2011 to 2018, 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.

(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.

(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.

III. Implementation Agenda**A. STRATEGIES AND ACTIONS RELATED TO STATE PRIORITIES**

Describe any new strategies the region has adopted to address the main priorities identified by the State for 2019. The priorities include:

- (1) Childcare needs and potential solutions
- (2) Economic and environmental justice strategy
- (3) Support for community investment in placemaking and downtown revitalization
- (4) Support for the Workforce Development Initiative

Annual reports may also address the implementation and progress of past state priorities including Veterans Participation in the Workforce, Regional Opportunity Agendas, and Life Sciences. It is not necessary to report on all past state priorities.

As appropriate, please include a comprehensive overview of progress and implementation of these strategies and significant actions that are needed to implement the 2019 strategies in 2019-2020. A proposed priority project can be referenced here but will be described in a separate section of the report.

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 to advance the region’s key industry cluster and other regional priorities. This should include a comprehensive overview of progress as it relates to the regional strategies.
- New regional strategies developed in 2019 and significant actions needed to implement them.
- A comprehensive overview of projects that advance the Upstate Revitalization Initiative or other region-specific initiative, as applicable.

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

IV. Projects

A. 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.

- CFA number
- Applicant and project name
- Project location (county/borough)
- Brief project description
- Total project cost
- Amount of award requested by the applicant
- Past CFA awards received for project (if applicable)
- Link to goal or strategy being implemented

B. CROSSWALK CHART

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

- Childcare needs and potential solutions
- Environmental justice strategy
- Placemaking and downtown revitalization
- Workforce Development Initiative

C. GEOGRAPHIC DISTRIBUTION OF PROPOSED PRIORITY PROJECTS

Provide a graphic of the region that illustrates the geographic distribution of proposed priority projects for 2019.

D. CROSSWALK CHART OF OTHER PROJECTS RELATING TO STATE PRIORITIES

Provide a crosswalk chart 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.

V. Participation

A. WORK GROUPS

Describe the work groups engaged in Regional Council activities in 2019. Recognize the members of each work group in a list by name and affiliation.

B. PUBLIC OUTREACH AND ENGAGEMENT

Describe how stakeholder and other members of the public were engaged in the Regional Council process.

VI. Downtown Revitalization Initiative Round Four

Provide information about the region's DRI Round Four 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

VII. Appendix with List of all Funded CFA projects

Include a list of all CFA projects funded in the past eight rounds. 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)

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. Acknowledgment

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

