

REQUEST FOR PROPOSALS

Summit Reservoir Area Revitalization Plan

As Step 2 of the Village of Philmont Brownfield Opportunity Area program

For the purpose of creating a Summit Reservoir Area Nomination

July 2013

The Village of Philmont is requesting proposals from four pre-qualified consultant firms for the preparation of a Summit Reservoir Area Revitalization Plan for the purpose of establishing a pathway for revitalization that will create a community-based revitalization strategy with an emphasis on the reuse potential of strategic brownfield sites for new uses such as housing, retail, commercial, and public amenities such as the restoration of Summit Reservoir and lake-side parks to improve the quality of life and economic development for the community.

Background

The Village of Philmont received a Brownfield Opportunity Area Program Grant from the Department of State to prepare a Brownfield Opportunity Nomination Step 2 Strategy for the Summit Reservoir Area in the Village of Philmont, Columbia County. This Nomination builds on the 2003 Village of Philmont Comprehensive Plan submitted as the Pre-Nomination study.

The Village of Philmont published a Request for Qualifications (RFQ) on 01/04/13 setting out the project objectives and selection criteria. Several qualified firms submitted responses to the RFQ. On 04/13/13 the Summit Reservoir Area Revitalization Plan Executive Steering Committee selected four consultant firms and project teams to receive a Stage 2 / Request for Proposals.

Successful candidate consultant teams will be invited to interview with the Executive Steering Committee and representatives from the NYS Department of State Office of Communities and Waterfronts.

This Request for Proposals is being released prior to the execution of the Village of Philmont project contract with the NYS Department of State Office of Communities and Waterfronts which may affect the anticipated date for final selection for consultant services.

Project Description

The Village of Philmont intends to complete a Nomination Strategy for an area with two potential brownfield sites that are located within the Summit Reservoir Revitalization Area. The area includes the Summit Reservoir, a 21 acre, publicly owned body of water,

a critical public amenity, and as such a center catalyst for the area as a natural resource.

The primary community revitalization objectives to be achieved by this project include, among other objectives: creating a sustainable community in Philmont and the Summit Reservoir Area, to minimize immediate and long-term impacts on the environment.

This community has the potential to harness micro-hydro to decrease the ecological footprint through sustainable energy sources, waste-water management through sustainable parks, sidewalks, parking lots, and energy-efficient building restorations to a predominately historic building stock, and design practices and clean energy generation; creating a community-based informed revitalization blue print for the area to include a thorough and in-depth analysis of existing conditions in the area; an economic trends analysis that recognizes current trends in Philmont, such as, local farming, farm based education, alternative health care and practitioners, and the resurgence of fine craft based enterprises; and a plan for the reuse potential for properties located in the area with an emphasis on the identification and reuse potential of strategic brownfield sites as catalysts for revitalization.

Anticipated community benefits resulting from this project include the reversal of the cycle of disinvestment and decay currently experienced in the area by creating a plan for a livable neighborhood which will assist with the attraction of future investments aimed at new uses such as housing stock restoration, retail, commercial and public amenities such as the restoration of Summit Reservoir and lake-side parks to improve the quality of life and economic development for the community.

The Village of Philmont is seeking a project team comprising of consultants proposed for this project who can fully address the complexities of this challenging area by applying a multidisciplinary approach to several project tasks and create a viable, innovative, and robust strategy.

The team will be required to work with multiple constituencies, including, the Mayor of Philmont and the Village Board of Trustees; the Summit Reservoir Area Revitalization Executive Steering Committee; project management of Philmont Beautification, Inc.; and engage community participation through visioning sessions. Proven success with community-based stakeholders is paramount.

In order to address the technical requirements, possible team consultants may include representatives with expertise in Community and regenerative Land-use Planning, Land Development, Real Estate, Architecture, Landscape Architecture, Hydrological Engineering, Civil Engineering, Human Use Potential, Ecology, and Marketing.

Submittal Deadline

Interested respondents must submit eight (8) paper bound copies of their proposals no later than 2:00pm on Friday 23, August, 2013.

Sealed proposals submissions, plainly marked Request for Proposals: Summit Reservoir Area Revitalization Plan on the outside of the mailing envelope should be addressed to:

The Village of Philmont
Village Office
124 Main Street,
Philmont, NY 12565

Additional Information

Questions regarding the project may be directed to Sally Baker, Executive Director, Philmont Beautification, Inc., by sending an email containing the question(s) to info@pbinc.org by Friday 19 July, 2013.

Answers to questions received will be included in a *Questions and Answers* document to be published at <http://pbinc.org/summit/> by Friday 26 July, 2013.

Submittal Content

For the purpose of clarifying your firms **Project Approach** previously outlined in materials submitted by your firm and team in response to the RFQ, this Request for Proposals (RFP) is seeking additional material and information to address the following questions:

1.) How does your firm and team's approach translate into a scope of work that fulfills the requirements of the NYS/DOS Work Plan components and sub-category tasks attached as **Exhibit A** on page 12, including:

Component 1: Project Start-up

Tasks 1.6 through 1.7

Component 2: Capacity Building and Training

Task 2.2

Component 3: Community Participation and Techniques to Enlist Partners

Tasks 3.1 through 3.2

Component 4: Draft Nomination Study

Tasks 4.1 through 4.4

Component 5: Completion, Approval and Distribution of the draft Nomination

Tasks 5.1 through 5.4

Component 6: Final Nomination and Advancing to Step 3

Tasks 6.1 through 6.2

Component 7: NYS Environmental Quality Review

Tasks 7.1 through 7.4

Component 8: Project Reporting

Tasks 8.1 through 8.3

Budget Summary

- 2.) Break down your project approach into the Work Plan components and sub-category tasks clearly identifying the persons, including firm affiliation, that are assigned to undertake and complete specific tasks that are in the work plan.
- 3.) Provide a proposed project budget up to \$181,000 to complete the identified components and sub-category tasks. Clearly identify the proposed cost of each component and sub-category task utilizing a lump sum as the identification of the proposed cost.
- 4.) As one of the intentions of the BOA program is to engage community participation, please indicate which components and sub-category tasks could be undertaken as an in-house scope of work engaging community participation to complete specific tasks.
- 5.) **Project Schedule:** Building on your firm and team's *Project Approach* included in your firm and team's response to the Request for Qualifications, please complete the Project Schedule on pages 10 -11.
 - a.) Clearly indicate the anticipated time-line for the project components including which of the firm's team will be performing the Work Plan tasks.
 - b.) Include all anticipated community participation meetings and visioning sessions in the Project Schedule and which of your team's firm(s) will be conducting the presentations.
- 6.) **Community Participation Plan:** Fully articulate your approach and budget cost to prepare a Community Participation Plan included in the NYS/DOS Work Plan as Component 3 Task 3.1
- 7.) Provide a description of IT communications systems and planning design software proposed to be used for community participation presentations which would enhance the Philmont community's ability to visually understand various alternatives to a proposed plan when conducting visioning sessions, including market analysis trends findings and how those finding may effect a BOA Nomination for the area.
- 8.) **Project Outcomes:** Provide a description of up to 3 examples where your firm or members of your project team have completed a BOA Nomination Step 2, or a similar scale community-based planning project within the last five years that enabled a client community to implement affordable short-term and implementation of longer term objectives recommended in your firm or team's completed plan. List additional public funding that was achieved by the community or the firm to implement short term projects resulting from your firm or team's recommendations.

Inclusive of the NYS/DOS/Work Plan Components and sub-category Tasks, the scope of work is to include the following objectives:

1. Identifying and providing a clear description and justification of a manageable study area and associated boundaries.
2. Completing a comprehensive land use assessment and analysis of existing conditions in the study area with input from project partners, including identifying strategic sites that represent key redevelopment opportunities and are catalysts for revitalization. The analysis of existing conditions, may include, but not be limited to:
 - Ownership/Grant/Lease Status; Tax Lien Properties Analysis; Assessment and Condition of Structures, Buildings or Facilities; Physical Inventories of Sites and Building Inventories;
 - Water and Sediment testing at Easterly creek inlet to Summit Reservoir;
 - Bathymetric Measurements of Summit Reservoir;
 - Engineering assessment of silt and hydrology of Summit Reservoir;
 - Summit Mill structural engineer assessment of foundation / south supporting wall;
 - Engineering assessment for the use of micro-hydro along waterway of Summit Dam, and Agawamuck Creek drops, and holding ponds.
 - Phase 1 Environmental Site Assessments (ESA) of two (2) potential brownfield sites; Each of these analyses will be based on information collected throughout the BOA process in addition to any information collected by the *Village of Philmont*.
3. Contribute towards a community participation process, including a clear description of a community vision and associated goals and objectives for the study area, and techniques to enlist partners.
4. Public outreach will include a public informational meeting to publicize the project, visioning sessions and preliminary design charrettes, including the draft and final Nomination, Executive Summary, advancing to BOA Step 3.
5. Based on the analysis, a description of key findings and recommendations for future uses and other actions for redevelopment and community revitalization, including maps, and schematics, and a final Nomination.

6. Providing a series of key recommendations to serve as the basis for the Implementation.
7. Completing an economic and market trends analysis to determine the range of realistic future uses and types of redevelopment projects to revitalize the study area inclusive of current trends found in Philmont, including, human use potential, local farming, farm based education, alternative health care and practitioners, the resurgence of fine craft based enterprises. The consultant will contribute to the creation of a timely and relevant Economic and Market Trends Analysis for the entire Brownfield Opportunity Area in relation to the village downtown, existing amenities and local businesses.
8. Recommend necessary public (infrastructure) or private measures to stimulate the economy. Based on all the collected information, the consultant project team will recommend the necessary infrastructure improvements necessary to stimulate investment, promote revitalization, enhance community health, and improve environmental conditions.

BOA Study Area

The Summit Reservoir Area is bounded approximately by Martindale Road to the east, the Columbia County Land Conservancy High Falls to the west, the Main Street (Rt. 217) to the north (to Elm Street leading to Canal Street), and the Summit Heights to the south.

Expected Outcomes

The Summit Reservoir Area Nomination Step 2 Strategy will create a blue print for an integrated community which is compact, diverse and walkable, connecting the Summit Reservoir Area to the Philmont village downtown. The Nomination Strategy will inform an area which is ecologically sustainable as well as a vibrant and livable place - an innovative project for a bold new direction in the Philmont's revitalization planning.

It is anticipated that the Nomination Step 2 Strategy will act as a catalyst for development of the Summit Reservoir Area, resulting in a positive economic and environmental impact on the area and the village as a whole.

Development in this area is inherently sustainable, due to the areas assets, including natural resources, a DEC conservation district and buffer zone surrounding the Summit Reservoir, and additional open space and trails potential.

There is the potential to create a vibrant, mixed-use neighborhood within easy walking distance to the downtown, Pine Haven Nursing Home, the Columbia County Land Conservancy High Falls, Village amenities, and the future location of the Hudson Valley Rail Trail.

The project will demonstrate excellence in sustainable and/ or regenerative planning using the principle of the triple bottom-line, in which the success is measured through ecological, economic and social needs of the community.

Funding Sources:

Funding sources for this project will include *NYS grant funds and local match*. The successful consultant team will be required to comply with *the Standard Clauses for NYS Contracts and the Agency Specific Clauses*. *The Village of Philmont* anticipates a total project cost of *approximately \$ 181,000.00*

Professional Standards

Consultants must meet the requirements of the relevant professional association for working within the jurisdiction of New York State. Prior relevant experience of Brownfield Opportunity Area projects is not a requirement, but may affect the scoring of submittals in response to the RFP.

Selection Process

Following review of materials received in response to this RFP, the Executive Steering Committee will rank firms and project teams according to the following evaluation ranking criteria:

- **Work Plan Component Tasks:** 40 points
- **Project Schedule:** 20 points
- **Proposed Project Budget:** 20 points
- **Community Participation Plan:** 5 points
- **Project Outcomes:** 5 points
- **Executive Committee Discretionary Recommendation:** 10 points

The Executive Steering Committee will assist with project team evaluations for ranking and make recommendations to the *Village of Philmont* for the final selection of one consultant firm/team.

The *Village of Philmont* will seek to negotiate a contract, a detailed scope of work, fee, schedule, etc. with the preferred lead firm. If unable to reach agreement, *The Village of Philmont* will terminate negotiations, and commence negotiations with the second-ranked lead firm, and so forth.

Successful candidate consultant teams will be invited to interview with the Executive Steering Committee and representatives from the NYS Department of State Office of Communities and Waterfronts.

Brief Project Background

The need for a Nomination Step 2 for the Summit Reservoir Area is motivated by the numerous Main St. revitalization projects completed from 2006-2012 in the village downtown, including several new businesses opening. These include, among others, a successful farm-to-table restaurant, a public house providing organic pub fare and vibrant local music scene, a 6-bedroom hotel providing a bar, dining room, and lakeside outdoor dining continuing a 150 year tradition of this recently restored historic establishment built by the Harlem Railroad Vanderbilt family, a historic waterway constructed in 1848 to provide hydro-power to several mills situated within the village in the nineteenth century, the Columbia County Land Conservancy High Falls featuring a 150ft waterfall and trails opened in 2009, and an active NYS funded Main Street Program utilizing placemaking strategies and gateway projects to enhance and create a vibrant downtown. These assets are all related to each other in a larger portfolio of revitalization strategies and are located within walking distance to the Summit Reservoir Area. A Nomination Step 2 Strategy is needed to address the re-use of potential brownfields located in the Summit Reservoir area, the potential of rediscovering hydro-power using the existing historic watercourse, connecting the area to the downtown and the Columbia County Land Conservancy High Falls, and creating the Summit Reservoir Area as a catalyst for continued revitalization, including the Summit Reservoir, the historic Harlem Railroad Trestle, and surrounding land use.

The work will be informed by the 2003 Philmont Comprehensive Plan objectives and community suggestions for the Summit Reservoir area which included creating local zoning to create the Mill Districts for mixed-use, commercial, and residential use.

Community Visioning Informing the Nomination Strategy

Extensive visioning connected to revitalization has been conducted within the community from 2003-2012. Sessions include visioning held during the compilation of the 2003 Comprehensive Plan, Placemaking workshops, technical assistance received for Main St visioning, streetscape, signage, zoning, and economic development held in the village from 2006-2011. The visioning session results create an overarching framework and rationale to proceed, and yet they are general enough to avoid being prescriptive and inhibit innovation or economic success of the area.

Community Visioning have included, among other suggestions:

- 1) Create a sustainable community in Philmont and the Summit Reservoir Area, to minimize immediate and long-term impacts on the environment. This community has the potential to harness micro-hydro to decrease the ecological footprint through sustainable energy sources, waste-water management through sustainable parks, sidewalks, parking lots, and energy-efficient building restorations to a predominately historic housing stock, and design practices and clean energy generation.
- 2) Create an approach for land use that is fully integrated with revitalization strategies connecting to the downtown and outwards to the rest of the village.
- 3) Create an active hub for living and working and recreation that contributes toward the natural resources found in the Summit Reservoir Area through sustainable and/or

regenerative planning, and by linking the area to the downtown through re-use of potential brownfield sites.

4) Through attractive and interconnected street networks in the area and linking to the downtown create a neighborhood that encourages walking and cycling and makes it easier for all modes of pedestrian transportation to move around and through the site area including wheelchair accessibility.

5) Expand the possibility of creating a more cohesive network of parks, public spaces, and gardens, creating and allowing new gathering spaces for diverse communities and new opportunities for community placemaking.

6) Incorporate cultural awareness into the neighborhood's built environment, ensuring the creation of a place which is unique and like no other in the world. Respect the site heritage and celebrate built and social history, while promoting new cultural initiatives and community arts.

7) Create an attractive environment for a broad variety of people of all ages. It is an inclusive environment for all abilities and economic groups.

8) Create a revitalization strategy which enables residents to pursue sustainable lifestyle choices, and which will attract people to visit, live and work in the village and downtown by its economic opportunity, environmental sustainability, and quality of life. Through the triple bottom line, a revitalization strategy that demonstrates how a progressive environmental agenda pays off from an ecological, economic and social perspective.

Task Description													Expected Products	
	Mo	Mo	Mo	Mo	Mo	Mo	Mo	Mo	Mo	Mo	Mo	Mo		
Component 1: Project Start-up Task 1.1: to 1.5														
Task 1.6: Project Scoping with Consultant														Meeting summary prepared.
Task 1.7: Project Outline														Approved project outline completed.
Component 2: Capacity Building and Training Task 2.1: Training														Attendance in, and completion of, training, as available.
Task 2.2: Interagency Workshops														Workshop participation and preparation.
Task 2.3: Local Provider Workshop														Workshops presented
Component 3: Community Participation Task 3.1: Community Participation Summary														
Task 3.2: Techniques to Enlist Partners														Approved techniques to enlist partners.
Component 4: Draft Nomination Task 4.1: Description of Project and Boundary														Complete description of project and boundary
Task 4.2: Community Participation and Partners														Community Participation and Partners
Task 4.3: Analysis of Proposed BOA														Complete Analysis of the BOA and maps.

Task 4.4: Review of Strategic Brownfield Sites						List of candidate sites for Site Assessments.
Component 5: Completion and Distribution Task 5.1: Initial Draft Nomination						Initial Draft Nomination and Executive Summary
Task 5.2: Draft Nomination and Exec. Summary						Draft Nomination and Executive Summary
Task 5.3: Interagency Briefing Package						Briefing Package distributed for review.
Task 5.4: Interagency Roundtable						Letter summarizing agreement on necessary actions.
Component 6: Final Nomination Task 6.1: Preparation of Final Nomination						Final Nomination.
Task 6.2: Advancement and Interim Designation						Completed application for project advancement.
Task 6.3: Site Assessment Information Forms						Site Information Form for each strategic site.
Component 7: SEQR Task 7.1: Environmental Assessment Form						Completed Part 1 of the Full EAF
Task 7.2: Lead Agency						Full EAF, letter requesting Lead Agency status.
Task 7.3: Determination of Significance						SEQR documents, Determination of Significance.
Task 7.4: Scoping Session						Written scope of issues to be addressed.
Component 8: Project Reporting Task 8.1 Project Summary Task 8.2 Semi-annual Reports						Completed Project Summary Completed Semi-annual Reports.

EXHIBIT A

7/25/12

Village of Philmont-Summit Reservoir Revitalization Plan Brownfield Opportunity Areas Program

The following components will result in a BOA Nomination.

Step 2: Village of Philmont – Step 2 Workplan

Project Description

Project Components

Component 1: Project Start-up / **completed in-house / 2012**

Component 2: Capacity and Partnership Building / **completed in-house / 2012**

Component 3: Community Participation and Techniques to Enlist Partners / **partially completed / 2013**

Component 4: Draft Nomination Study

Component 5: Completion, Approval and Distribution of the draft Nomination

Component 6: Final Nomination and Advancing to Step 3

Component 7: NYS Environmental Quality Review

Component 8: Project Reporting

Budget Summary

NOMINATION WORK PLAN

Village of Philmont – Step 2

1. Project Description

The Village of Philmont intends to complete a Nomination Strategy for an area with two potential brownfield sites that are located within the Summit Reservoir Revitalization Area. The area includes the Summit Reservoir, a 21 acre, publicly owned body of water, a critical public amenity, and as such a center catalyst for the area as a natural resource. The primary community revitalization objectives to be achieved by this project include: creating a community based informed revitalization blue-print for the area to include a thorough and in-depth analysis of existing conditions in the area, an economic trends analysis, a plan for the reuse potential for properties located in the area with an emphasis on the identification and reuse potential of strategic brownfield sites as catalysts for revitalization. Anticipated community benefits resulting from this project include the reversal of the cycle of disinvestment and decay currently experienced in the area by creating a plan for a livable neighborhood which will assist with the attraction of future investments aimed at new uses such as housing stock restoration, retail, commercial and public amenities such as the restoration of Summit Reservoir and lake-side parks to improve the quality of life and economic development for the community.

The Nomination will provide an in-depth and thorough description and analysis of existing conditions, opportunities, and reuse potential for properties located in the proposed Brownfield Opportunity Area with an emphasis on the identification and reuse potential of strategic sites that are catalysts for revitalization.

Key project objectives include:

- Identifying and providing a clear description and justification of a manageable study area and associated boundaries;
- Establishing a community participation process, including a clear description of a community vision and associated goals and objectives for the study area, and techniques to enlist partners;
- Completing a comprehensive land use assessment and analysis of existing conditions in the study area, including an economic and market trends analysis, to determine the range of realistic future uses and types of redevelopment projects to revitalize the study area;
- Identifying strategic sites that represent key redevelopment opportunities and are catalysts for revitalization;
- Based on the analysis, a description of key findings and recommendations for future uses and other actions for redevelopment and community revitalization; and,
- Providing a series of key recommendations to serve as the basis for the Implementation Strategy.

2. Project Attribution and Number of Copies

The contractor must ensure that all materials printed, constructed, and/or produced acknowledge the contributions of the NYS Department of State, Office of Coastal, Local Government and Community Sustainability to the project. The materials must include the following acknowledgment:

“This (document, report, map, etc.) was prepared for (insert grantee name) and the New York State Department of State with state funds provided through the Brownfield Opportunity Areas Program.”

In each of the following components and tasks, the NYS Department of State, Office of Coastal, Local Government and Community Sustainability is referred to as the "DOS" and the NYS Department of Environmental Conservation, Division of Environmental Remediation is referred to as "DEC".

The contractor shall ensure that all materials printed, constructed and/or produced with funding provided by the Brownfield Opportunity Areas Program form a unified and coherent report and include the components and products described in this work plan. Submission of pre-existing and stand alone data and reports are not acceptable as substitutes.

The contractor shall prepare, or cause to be prepared, the following project components, tasks, and associated products.

3. Project Components

Component 1: Project Start-up (**completed in-house 2012 / summary notes available at <http://pbinc.org/summit/>**)

Task 1.1: Initial Organization Meeting

The contractor and DOS shall conduct an initial meeting with key project participants. The DEC may attend this meeting. The purpose of the meeting is to discuss the scope of the project, SEQRA requirements, the type of services that are most appropriate, the subcontractor procurement process, and how the budget should be directed. In addition, the composition of a project advisory committee and other public participation techniques shall be discussed as well as any other information which would assist in project completion. A copy of the work plan and budget will be made available at the meeting. The contractor shall complete and distribute a meeting summary.

Product: Meeting summary prepared and distributed to meeting participants.

Task 1.2: Establishment of a Project Steering Committee (**completed in-house 2012 / summary notes available at <http://pbinc.org/summit/>**)

The contractor shall establish a steering committee to oversee the process in cooperation with the contractor and the subcontractor. If a steering committee was assembled for the preparation of the Pre-Nomination Study, the contractor may decide to use that same body or an alternative form to guide the preparation of the Nomination.

The committee shall be comprised of a range of interests that are representative of the community, and may include, but are not limited to: local municipal officials from the community in which the project is located; community-based organizations or not-for-profit organizations; regional planning entities or other regional groups; appropriate state and/or federal agencies; private or business interests; property owners; other non-governmental entities; environmental groups or organizations; other civic groups; area residents;

and the public at large. To the extent necessary to achieve broad public participation, additional representatives may be identified in consultation with the DOS. The contractor shall complete and distribute a list of the steering committee members.

Product: List of steering committee members prepared and distributed.

Task 1.3: Solicitation of Consulting Services **(completed in-house 2013 / summary notes available at <http://pbinc.org/summit/>)**

Should the contractor require the services of a consultant, there are two approaches that may be used to select a consulting firm:

- Request for Proposals (RFP) process can be used to select a consultant based on the submission of a full project proposal by a consultant.

- OR -

- Request for Qualifications (RFQ) process can be used to identify qualified consultants to receive a RFP. The RFP process can then be used to select a consultant based on the submission of a full project proposal in response to the RFP.

A. Request for Qualifications

If the contractor elects to use the RPQ approach, the contractor shall prepare a *request for qualifications* (RFQ) to solicit responses from qualified consultants for the project. After the DOS has reviewed and approved the *request for qualifications*, the contractor shall advertise the *request for qualifications* in the NY State Contract Reporter, a regional newspaper, or appropriate trade publication. In addition, the contractor may directly notify, through e-mail or regular mail, potentially qualified consultants of the *request for qualifications*.

Product: An approved RFQ released and issued through appropriate means as described above.

B. Review Consultant Responses

If an RFQ has been advertised, the contractor shall, in consultation with the DOS, review subcontractor responses to the request for qualifications and identify consultants most qualified to undertake the project.

Product: List of qualified consultants as prepared and distributed by the contractor.

C. Request for Proposals

The contractor shall draft a request for proposals (RFP), including a complete project description with site conditions, expected final results, and criteria for selecting a preferred proposal. The RFP shall be

submitted to the DOS for review and approval prior to release for solicitation of proposals. After the DOS has reviewed and approved the request for proposals, the contractor may directly notify, through e-mail or regular mail, potentially qualified consultants of the request for proposals. In addition, if no RFQ was advertised, the contract shall also advertise the request for proposals in the NY State Contract Reporter, a regional newspaper, or an appropriate trade publication.

Product: An approved RFP sent to qualified subcontractors. (completed in-house 2013 / summary notes available at <http://pbinc.org/summit/>)

Task 1.4: Consultant Selection

In consultation with DOS, the contractor shall review all proposals received as a result of the RFP. Based on the reviews of the consultant proposals, the contractor shall organize and conduct interviews of the top-ranked candidate consultants. The DOS may participate in the interview process.

At a minimum, the following criteria are suggested for use in evaluating consultant responses:

- Quality and completeness of the response;
- Understanding of the proposed scope of work;
- Applicability of proposed alternatives or enhancements to information requested;
- Cost-effectiveness of the proposal;
- Qualifications and relevant experience with respect to the tasks to be performed;
- Reputation among previous clients; and,
- Ability to complete all project tasks within the allotted time and budget.

Incomplete proposals that do not address all of the requested components should not be accepted for review and consideration. The consultant selected is subject to approval by the DOS.

If the contractor is a municipality, the municipal attorney, chief legal officer, or financial administrator for the municipality (contractor) shall certify to the Department of State that the procedures of the municipality, established pursuant to General Municipal Law, Section 104-b, were fully complied with for all contracts for professional services. (See Attachment 4)

If the contractor is a community based organization, the chief legal officer or financial administrator for the community based organization (contractor) shall certify to the Department of State that alternative proposals and quotations for professional services were secured by use of written requests for proposals through a publicly advertised process to ensure the prudent and economical use of public funds for professional services of maximum quality at reasonable cost. (See Attachment 4)

Product: List of top-ranked candidates and letter from the contractor to DOS indicating the selected consultant, and appropriate certification.

Task 1.5: Subcontract Preparation and Execution

The contractor shall prepare a draft subcontract to conduct the work with the selected consultant. The contract shall contain a detailed work plan with adequate opportunity to review stages in completion of the study, a payment schedule (payments must be tied to receipt of acceptable products in the work plan), and a project cost.

The consultant must specify:

- The professionals from the firm that will be directly involved in the project;
- The composition of the entire team, including firm name and area of responsibility/expertise;
- The persons, including firm affiliation, that are assigned to undertake and complete specific tasks that are in the work plan;
- The contractor shall submit the draft subcontract to the DOS for review and approval. A copy of the final subcontract, incorporating DOS's comments on the draft, shall be provided to DOS.

Product: Executed subcontract.

Task 1.6: Project Scoping Session with the Selected Consultant

The contractor, the DOS and the consultant shall hold an initial meeting to review project and contract requirements, site conditions and to transfer any information to the consultant which would assist in completing the project. The DEC may, and is encouraged to, attend this meeting.

Topics shall include but are not limited to the following:

- project scope;
- study area boundary;
- community participation and visioning process;
- project goal and objectives;
- existing relevant information (maps, reports, etc.);
- access to information on past or current projects related to the NYS Brownfield Cleanup Program, the Environmental Restoration Program, the Volunteer Cleanup Program, Superfund, and petroleum spills, including DEC's on-line databases, GIS maps, site summary sheets on key projects, etc.;
- responsibilities of the participants (contractor, consultant, DOS and DEC);
- time frames and deadlines;
- SEQRA requirements; and,
- expected products.

The contractor shall prepare, or cause to be prepared, a brief meeting summary to clearly indicate the agreements/understandings reached at the meeting.

Product: Meeting summary prepared, with note of agreements/understandings reached, and distributed to scoping session participants.

Task 1.7: Project Outline

The contractor shall provide, or cause to be provided, to the DOS, a project outline that reflects the outcome of the project scoping meeting and guides the preparation of the Brownfield Opportunity Areas

Program report. The DOS shall review the project outline and comment. The contractor shall revise, or cause to be revised, the project outline to reflect the comments made by the DOS.

Product: Approved project outline completed and distributed to scoping participants.

Component 2: Capacity Building and Training (to be completed in-house – Philmont)

Task 2.1: NYS Community Seminar Series

The contractor shall participate in training sessions provided by the Brownfield Opportunity Area Program. The contractor shall, in consultation with the DOS project manager, provide a list of appropriate training sessions to be attended throughout the course of the project.

The training program is designed to inform and educate grantees about community leadership, planning and development, brownfields and associated challenges and opportunities, community revitalization, remedial programs to clean-up brownfields, the tasks associated with each BOA program step and deliverables specified in the BOA contract work plan, and grant administrative and management. Specific objectives are to: enhance understanding of brownfields and community revitalization; enhance local capacity to administer and manage grants; ensure timely completion of planning and site assessment report products; and ensure effective implementation of BOA plans.

Training is available for up to three individuals per contract. Registration fees are waived for BOA grantees and travel costs associated with the Community Seminar Series are an eligible contract expense.

Product: List of training sessions that the grantee will attend. Attendance in, and completion of, available training.

Task 2.2: Interagency Workshops (to be completed in-house – Philmont)

The contractor may be requested to prepare for and participate in interagency workshops with appropriate local, county, state, and federal agencies. Interagency workshops/meetings may be conducted to: improve communication and understanding among the agencies about the contractor's community vision, and project objectives and needs; gain an improved understanding by the contractor of various government programs, services, and potential financing (grants and loans) that could be beneficial to advancing the contractor's plan; obtain support from government agencies for permitting, technical assistance, and financing; coordinate government agency actions; and foster the redevelopment process.

Product: Workshop participation and associated preparation.

Task 2.3: Local Provider Workshops: (to be completed in-house – Philmont)

To assist with local resident and stakeholder understanding of project processes, elements and possible outcomes, up to six (6) provider workshops will be planned and presented to participants in the planning process. Topics to be covered include but are not limited to: brownfield redevelopment, placemaking, local conservation, watershed planning and area history.

Product: Workshops held and documented.

Component 3: Community Participation and Techniques to Enlist Partners

Task 3.1: Community Participation Summary

The public outreach methods and techniques that will be used to ensure public participation throughout the course of preparing the Nomination.

Methods and techniques may include, but are not limited to:

- public informational or outreach meetings;
- visioning sessions;
- design charrettes;
- workshops;
- discussion groups;
- surveys; and,
- public meetings and hearings.

Public participation should occur early and consistently in the process through visioning workshops, informational meetings, project presentations, and public education. The contractor shall provide DOS and DEC with a minimum of two (2) weeks' advanced notice of all public proceedings relative to the public participation process.

Public participation shall include, at a minimum:

- the use of a local steering committee to guide the plan's preparation;
- the preparation, update and maintenance of a community contact list that includes the names, addresses, telephone numbers, and e-mail addresses of individuals and organizations with a stake in the proposed action to be used on a regular basis to keep the contacts informed of progress on the plan;
- the initial kick-off meeting to explain the Brownfield Opportunity Area Program and the project's intent and scope, and to solicit initial public input to develop, refine, or confirm the community's vision for the study area, project goals and objectives, opportunities and constraints;
- the presentation/review of current conditions, and the review, revision or update of the vision statement and goals and objectives;
- the review of the economic and market trends analysis and an exploration of alternative approaches to redevelopment and revitalization; and,
- a public presentation and informational meeting on the draft Nomination that describes, and allows feedback on the vision for the study area, existing conditions, strategic sites, and the study area analysis, findings, and recommendations.

Public outreach should serve to inform the public about the project and serve as a means for the public to participate in forming the plan, thus ensuring community understanding and support. The public participation outline and summary description shall be subject to review and approval by the DOS.

Product: Approved outline and summary description of the community participation plan for the Nomination.

Task 3.2: Techniques to Enlist Partners

The techniques that will be used to identify and advise potential partners about the plan and to enlist their assistance. This task differs from the Community Participation task above as this task is designed to seek assistance from a variety of potential partners in formulating and implementing the plan. Partners may include but are not limited to: local, county, state or federal government agencies; property owners; private sector interests; not-for-profit organizations; academic institutions; and other stakeholders.

Consultation methods and techniques used to identify and inform project partners about the plan's status and progress, and to enlist their assistance in the process, including, but not limited to: written correspondence; phone contact; and meetings and workshops involving local, county, state or federal government agencies, property owners, private sector interests, not-for-profit organizations, and academic institutions. Consultation shall include, at a minimum, a presentation to partners on the Nomination (Sections 1- 3) that describes existing conditions, strategic sites, and the study area analysis, findings, and recommendations.

The purpose of this task is to:

- Improve communication and understanding about project objectives and needs;
- Gain information about the status of on-going remedial activities and the environmental condition of brownfield sites in the study area;
- Gain information about funding opportunities available from government programs and private-sector or not-for-profit organizations to facilitate clean-ups, foster appropriate redevelopment, rehabilitate existing infrastructure or provide new infrastructure;
- Gain support from government agencies for permitting and financing; and,
- Coordinate government agency and private-sector actions.

The techniques to enlist partners shall be subject to review and approval by DOS.

Product: Approved outline and summary description of the techniques to enlist partners for the Nomination.

Component 4: Draft Nomination

The contractor shall prepare the following tasks that comprise the draft Nomination (Sections 1 - 3).

The Nomination shall provide an in-depth and thorough description and analysis of the study area, including an economic and market trends analysis, for properties located in the proposed Brownfield Opportunity Area, with an emphasis on the identification and reuse potential of strategic sites that are catalysts for revitalization.

The contractor shall describe the following:

Task 4.1: Description of the Project and Boundary (to be presented as Section 1)

Lead Project Sponsors

The relationship and organizational structure between the sponsoring municipality and involved community-based organizations or the relationship and organizational structure between the sponsoring community-based organization and the municipality.

A. Project Overview and Description

The project, including: the relationship of the study area to the community and region; acreage in the study area; and the number and size of brownfield sites and other abandoned, vacant, or partially developed sites located in the proposed Brownfield Opportunity Area (BOA). The description shall include the area's potential in terms of opportunities for: new uses and businesses; creating new employment and generating additional revenues; new public amenities or recreational opportunities; and restoring environmental quality. The description shall include the relationship of the BOA to any existing comprehensive plans and/or economic development reports or strategies.

Map Requirements - The description shall include: a *Community Context Map* that shows the location and relationship of the community (in which the proposed Brownfield Opportunity Area is located) to the surrounding municipality, county and region; and a *Study Area Context Map* that shows the location of the proposed BOA in relation to the community and entire municipality.

B. Community Vision and Goals and Objectives

A vision statement and the specific goals and objectives to be achieved relative to community redevelopment and revitalization as shaped and expressed by the community. Goals and objectives may be expressed in terms of: opportunities for new development projects that are desired by the community and will fulfill community development needs; providing new housing opportunities; improving economic conditions; addressing environmental justice issues; providing new recreational opportunities; improving quality of life and environmental quality; or other goals and objectives relevant to the redevelopment of brownfields and the surrounding area.

Such goals and objectives shall, where practicable, reflect, to the degree appropriate, the principles of sustainable community development, including, but not limited to:

- strengthening and directing development towards existing communities centers;
- fostering distinctive, attractive communities with a strong sense of place;
- mixing land uses;
- taking advantage of compact building design;
- creating a range of housing opportunities and choices, including affordable housing;
- reusing historic buildings and preserving historic sites;
- preserving open space, farmland, natural beauty, and critical environmental areas;
- providing a variety of transportation choices (public transit, pedestrian, bicycle, etc.);
- creating walkable neighborhoods;
- using best management practices for stormwater management;
- making development decisions predictable, fair and cost effective; and,

- encouraging community and stakeholder collaboration in development decisions.

A description will also be provided that explains the relationship of the proposed project vision, goals, and objectives to any existing community vision, revitalization strategies, and or comprehensive plans.

C. Brownfield Opportunity Area Boundary Description and Justification

The proposed Brownfield Opportunity Area and a justification of the proposed boundary. The borders should follow recognizable natural or cultural resources such as, but not limited to: highways, local streets, rail lines, municipal jurisdictions or borders, or water bodies. The project study area should be between 50-500 acres.

The borders must be justified in terms of, land uses that affect or are affected by identified potential brownfields natural or cultural resources with a physical, social, visual or economic relationship to identified potential brownfields and areas necessary for the achievement of the expressed goals of the BOA.

Map Requirement - The description shall also include a *Brownfield Opportunity Area Boundary Map* that clearly shows and identifies the location and boundaries of the study area.

Product: A complete narrative Description of the Project and Boundary, and all required maps, as described in Task 4.1 above. This narrative and associated maps will be presented in the draft Nomination as Section 1.

SEQRA - Section 1 shall satisfy Generic Environmental Impact Statement content requirements by including a concise description of the proposed action, its purpose, public need and benefits, including social and economic considerations [6 NYCRR Section 617.9 (b)(5)(i)]. This description shall be included in the Project Overview and Description (item B. above).

Task 4.2: Community Participation Plan and Techniques to Enlist Partners
(to be presented as Section 2)

A. Community Participation Plan

The community outreach methods and techniques that have been and will be used to ensure community and public participation throughout the course of preparing the Nomination, as outlined in Component 3.

B. Techniques to Enlist Partners

The meetings or workshops that have occurred, and will occur, at appropriate and key stages during the preparation of the Nomination, as outlined in Component 3.

Product: A complete narrative description of the Community Participation Plan and Techniques to Enlist Partners as described in Task 4.2 above. This narrative shall be presented in the draft Nomination as Section 2.

Task 4.3: Analysis of the Proposed Brownfield Opportunity Area (to be presented as Section 3)

A. Community and Regional Setting

A summary description and analysis of the contextual relationship of the proposed Brownfield Opportunity Area to the community, municipality and region that includes, but is not limited to: community size, population, and location in relation to the county and region; key demographic information and trends; housing trends and needs; the area's economic history and current condition including income, dominant employment sectors, and unemployment figures; land use history and current status; transportation systems; infrastructure; and natural features. This summary may rely primarily upon existing reports and plans.

B. Inventory and Analysis

An inventory and analysis for the entire Brownfield Opportunity Area, including an in-depth and thorough description and analysis of existing conditions, opportunities, and reuse potential for properties located in the proposed Brownfield Opportunity Area, with an emphasis on the identification and reuse potential of strategic sites that are identified by the community as catalysts for revitalization.

The inventory and analysis must include the information needed to develop specific and realistic recommendations for the use of land and groundwater, and for recommended implementation projects, in the proposed Brownfield Opportunity Area.

The Brownfield Opportunity Area may be divided into logical sectors or subareas to organize, facilitate, and clearly present the inventory and analysis. The study area, sectors, or subareas must be described in terms such as: total acres; acres developed and vacant, including strategic sites for redevelopment; and percent of the total area or sector developed with specific land use types and percent of land area vacant. The inventory and analysis shall include, but not be limited to, a description of the following:

Existing Land Use and Zoning - A description and analysis of the existing land use pattern and zoning districts within the Brownfield Opportunity Area, including:

- location of study area as it relates to the community;
- total land area in acres and area of each sector or subarea in acres of the proposed Brownfield Opportunity Area;
- existing and adjacent land and water uses including, but not limited to, residential, retail, commercial, mixed use, water-dependent, industrial and manufacturing, publicly or privately owned vacant or underused sites, dedicated parks and dedicated open space, and institutional uses, and cultural uses;
- land area committed to each land use category;
- brownfield sites and all underused, abandoned, or vacant properties that are publicly and privately owned;
- known data about the environmental conditions of the properties in the area;
- existing zoning districts and other relevant local laws or development controls guiding land use including but not limited to historic districts; and,

- local, county, state or federal economic development designations or zones (such as Empire Zones, Environmental Zones, Urban Renewal Areas, Federal Enterprise Business Zones, Business Improvement Districts, Special Assessment Districts, etc.).

Map Requirements - The description and analysis of the existing land use pattern and zoning must include: an *Existing Land Use Map* that shows the pattern of existing land use; and an *Existing Zoning Map* that shows the location and type of zoning districts and economic designations or zones.

Brownfield, Abandoned, and Vacant Sites - A complete summary of relevant brownfield, abandoned, and vacant sites, including size and condition, current ground water conditions, and potential contamination issues based on: review of existing or historical records and reports, aerial or regular site photographs, and existing remedial investigations, studies and reports; field observations from locations adjacent to or near the site, or, if permission is granted, from being present on the site; interviews with people that are familiar with the land use history of the site; and/or any other known data about the environmental conditions of the properties in the proposed Brownfield Opportunity Area, as needed.

For each relevant brownfield and abandoned or vacant site, complete descriptive profiles (see Attachment C) shall be provided and shall include, but not be limited to:

- site name and location, including owner, site address, and size in acres;
- location on the *Underutilized Sites Location Map*;
- current use or status and zoning;
- existing infrastructure, utilities, and site access points;
- proximity to existing transportation networks;
- natural and cultural resources or features;
- adjacent uses;
- environmental and land use history, including previous owners and operators;
- known or suspected contaminants, and the media which are known or suspected to have been affected (soil, groundwater, surface water, sediment, soil gas) based on existing environmental reports and other available information; and,
- use potential (residential, commercial, industrial, recreational) including potential redevelopment opportunities.

A list of potential information sources is provided in Attachment B. A description of the information sources used to create the site profiles shall be included within this section of the Nomination report.

Strategic Sites - A description of the process and factors used to determine strategic sites for redevelopment. Factors that may be used to identify strategic sites can include but are not limited to: overall importance to the community and the revitalization effort; location; ownership and owner willingness; on-site structures; level of contamination; property size and capacity for redevelopment; potential to spur additional economic development or positive change in the community; potential to improve quality of life or to site new public amenities; community support for proposed projects for the site; adequacy of supporting or nearby infrastructure, utilities and transportation systems; and other factors as may be determined by the community.

Map Requirement - The description shall include a *Underutilized Sites Location Map* that clearly shows the location, borders and size of each brownfield site and other underutilized, abandoned or vacant sites that are privately or publically owned, with an identifying reference to the attached profiles. Strategic sites that have been identified through the planning process shall be shown on this map.

Land Ownership Pattern - A description and analysis of the private and public land ownership pattern including: land and acres held in public ownership (municipal, county, state, and federal); land held in private ownership; brownfields held in private or public ownership; and land committed to road/rights-of-way.

Map Requirement - The description shall include a *Land Ownership Map* that shows the primary public and private land ownership patterns.

Parks and Open Space - A description of all public (municipal, county, state, and federal) and privately owned lands that have been dedicated for or committed to parks or open space use.

Map Requirement - The description shall include a *Parks and Open Space Map* that shows lands that have been dedicated or committed for park or open space use.

Building Inventory - A description and analysis of key buildings in the area, including: building name, levels, gross square footage, original use, current use, condition, and ownership. A structural assessment of the Summit Mill shall be undertaken and a report of the findings provided. A Summary of report findings shall be included in the final BOA Nomination and a separate deliverable included as an appendix as appropriate.

Map Requirement - The description shall include a *Building Inventory Map* that shows the location of key buildings.

Historic or Archeologically Significant Areas - A description and analysis of historic or archeologically areas, sites, districts, or structures that are of local, state or federal significance.

Map Requirement - The description shall include a *Historic or Archeologically Significant Areas Map* that shows resources of historic significance (may be shown as part of the Building Inventory Map).

Transportation Systems - A description and analysis of the types of transportation systems (vehicular, rail, subways, air, navigable waterways, esplanades) in the study area and the types of users (truck, car, bus, ferry, train, subway, recreational and commercial vessels, pedestrian, bicyclists, etc.).

Map Requirement - The description shall include a *Transportation Systems Map* that shows primary transportation networks and systems.

Infrastructure - A description and analysis of the area's infrastructure (water, sewer, stormwater, etc.) and utilities including location, extent, condition and capacity. This description and analysis will also include parking lots and garages.

Map Requirement - The description will include an *Infrastructure and Utilities Map* that shows the areas primary infrastructure.

Natural Resources and Environmental Features - A description and analysis of the area's natural resource base and environmental features and current conditions including, but not limited to: upland natural resources and open space; geologic, soil and topographic resources; surface waters and tributaries, groundwater resources and use; wetlands; flood plains; erosion hazard areas; fish and wildlife habitats; air

quality maintenance areas; visual quality; agricultural lands; and locally, state, or federally designated resources. Specifically, water and sediment testing and bathymetric measurements of Summit Reservoir shall be undertaken and provided in order to define existing conditions within the lake in the event that future response actions. The bathymetric measurements are critical to determining lake depths which will be used in determining the need for and extent of any dredging/sediment removal work necessary to re-establish lake vitality. Water testing is warranted to establish baseline water chemistries prior to lake improvement activities. Finally, sediment testing is necessary to document the chemical characteristics of the prospective dredge spoils, which in turn will determine the options for their management/reuse. An engineering assessment of silt shall also be provided. A Summary of report findings shall be included in the final BOA Nomination and a separate deliverable included as an appendix as appropriate.

Map Requirement - The description shall include a *Natural Resources and Environmental Features Map* that shows the location of primary natural resources and environmental features.

C. Economic and Market Trends Analysis

An economic conditions and market trends analysis that, when combined with the inventory and analysis, will sufficiently and thoroughly justify a range of realistic future land uses to occupy the study area and strategic sites that are targeted for redevelopment; as well as the future land uses that are economically viable, compatible, and appropriate for the area targeted for redevelopment.

The economic analysis shall include existing and projected socio-economic conditions within the municipality and the region, and consider the following: population; labor force and earnings; employment (public and private); transportation factors; land available for development; types of potential future land uses most appropriate for the study area; development impacts; and a description of benefits such as employment, impact on the area targeted for redevelopment, municipal tax revenues, economic benefits from construction and subsequent business operations, and economic multipliers to the municipality and region from desired end land uses.

The economic and market trends analysis may consist of a macro (state and regional) and micro (neighborhood, street, block) analysis. If a macro analysis is conducted, the contractor shall consult with the NYS Empire State Development Corporation and the NYS Department of Labor and other sources identified below to obtain the most up to date and relevant information on macro-economic issues, such as national, state and regional business, labor and employment trends. The analysis shall include a micro-economic and real estate trends analysis that addresses issues and opportunities at the municipal, neighborhood and block levels relevant to the proposed Brownfield Opportunity Area.

Additional sources upon which the economic analysis will be prepared may include but not be limited to:

- telephone surveys and interviews with local business owners, chamber of commerce, appropriate civic groups, and municipal officials
- local, county, regional planning boards
- county or regional economic reports and assessments
- local or regional visitors and convention bureaus
- local, county, state, or metropolitan transportation bureaus or councils
- recreational and commercial boating organizations and reports
- maritime trade organizations and associations

- county assessors office
- New York State Department of Labor, Division of Research and Statistics
- New York State Division of Equalization and Assessment
- New York State Department of Commerce
- American Planning Association
- U.S. Bureau of the Census
- U.S. Census Transportation Planning Package
- U.S. Census of Retail Trade
- U.S. Immigration and Naturalization Service
- U.S. Department of Commerce, Bureau of Economic Analysis; Metropolitan Statistical Area Projections; Patterns of Metropolitan Area and County Population Growth; RIMS-II economic multipliers for specific counties
- U.S. Army Corps of Engineers, Waterborne Commerce of the United States

D. Key Findings and Recommendations

A thorough description and analysis of opportunities, and reuse potentials for properties located in the proposed Brownfield Opportunity Area. Emphasis is to be placed on the identification and reuse potential of strategic brownfield sites that may be catalysts for revitalization.

E. Summary Analysis, Findings, and Recommendations

A summary analysis and subsequent findings shall be prepared based on the more thorough analysis produced as a result of the tasks described above, including a review of existing comprehensive plans and/or economic development reports or strategies, and shall include, but is not limited to, the following:

- an analysis and findings based in part on the economic and market trends analysis, that provides an in-depth and thorough description of existing conditions, including an assessment and summary of existing land use and zoning;
- an analysis and findings of reuse and development opportunities and needs for properties located in the proposed Brownfield Opportunity Area, with an emphasis on the identification and description of reuse and redevelopment opportunities, for strategic sites that have been identified by the community as catalysts for revitalization;
- an identification of strategic brownfield sites that are potential candidates for site assessment;
- an analysis and findings that shall include anticipated end or future land uses including residential, commercial, industrial, recreational or cultural, and a clear comparison of proposed uses and necessary or desired zoning changes to existing land use and zoning;
- an analysis and findings regarding publicly controlled and other lands and buildings which are or could be made available for development or for public purposes;
- an analysis and findings regarding potential interim land uses for strategic brownfield sites that have been identified by the community as catalysts for revitalization;
- anticipated future use of groundwater; and,
- an analysis and findings of necessary infrastructure improvements and other public or private measures needed to stimulate investment, promote revitalization, and enhance community health and environmental conditions.

Providing a series of key recommendations to serve as the basis for the Implementation Strategy.

Product: A complete narrative of the Analysis of the Brownfield Opportunity Area, and all required maps and appendices, as described in Task 4.3 above. This narrative and associated maps will be presented in the draft Nomination as Section 3. Appendices shall include but are not limited to: 1.) Summit Mill structural report and 2.) Water and sediment testing, bathymetric measurements and engineering assessment of silt in Summit Reservoir.

SEQRA - Section 3 shall satisfy Generic Environmental Impact Statement content requirements by including a concise description of the environmental setting of the areas to be affected, sufficient to understand the impacts of the proposed action and alternatives [6 NYCRR Section 617.9 (b)(5)(ii)]. This description shall be included in the description of the Community and Regional Setting and Inventory and Analysis (items A. and B. above).

Task 4.4: Review of Strategic Brownfield Sites

Prior to completion of the summary analysis and findings, the contractor shall hold discussions with DEC and DOS regarding the identified strategic brownfield sites that may be candidates for site assessment funding. The recommended discussions will serve to aid in prioritizing the sites that may be eligible for Site Assessment funding or technical assistance under BOA, the State's remedial programs (i.e., Environmental Restoration Program, or Brownfield Cleanup Program), or other programs.

Product: List of candidate sites to be considered for Site Assessment funding.

Component 5: Completion and Distribution of the draft Nomination

Task 5.1: Draft Nomination and Executive Summary

The contractor shall prepare, or cause to be prepared, the initial draft Nomination and Executive Summary, reflecting the ideas and views expressed during the community participation process. The document shall include, if necessary, a revised vision statement, goals and objectives, and provide a description of development and community revitalization opportunities to address the identified goals and objectives.

The Executive Summary shall include, in no more than fifteen (15) pages, the following:

- Community and project overview and description, including the study area boundary;
- The community's vision for the area and major goals and objectives;
- Public participation process;
- Conditions in the study area and key natural resources;
- An economic niche or opportunities based in part on the economic and market trends;
- Strategic sites and associated redevelopment opportunities; and,
- Key findings and recommendations.

The draft document shall be submitted to DOS for review and comment. The contractor must submit five copies of the draft Nomination, including three paper copies and two electronic copies, consistent with Attachment A. No additional copies of the draft Nomination will be printed or distributed without the approval of the DOS.

Product: Draft Nomination.

Task 5.2: Draft Nomination and Executive Summary

The contractor shall prepare, or cause to be prepared, a draft Nomination and Executive Summary, reflecting the comments received by the grant recipient and the DOS.

Product: Draft Nomination and Executive Summary.

Task 5.3: Print and Distribute Interagency Briefing Package

Upon review and acceptance of the draft Nomination, the contractor shall provide, or cause to be provided, a briefing package for use in an interagency meeting that may include representatives from local, State, and federal agencies. Such package shall be designed to prepare meeting participants for an interagency meeting to advance implementation of the BOA Plan.

To facilitate review by multiple agencies, the project summary will follow the format and content provided, and shall include, but is not limited to:

- Community Context, including a brief history of the community's development and a description of current conditions;
- Project Description, a description of the study area in terms of size and character, number of brownfields, and specific issues being addressed;
- Key Redevelopment Objectives, described in terms of redevelopment, community revitalization, job creation, public infrastructure, amenities, and natural resource protection or enhancement, as appropriate; and,
- Revitalization Needs, a list of specific revitalization needs to advance redevelopment on strategic sites and area-wide revitalization including but not limited to: assistance to foster redevelopment to provide housing, retail, mixed use, industrial, recreational, or cultural uses and supporting infrastructure; site assessment and environmental remediation; publicly controlled and other lands and buildings which are, or could be, made available for development or for public purposes; public or private measures needed to stimulate investment, promote revitalization, and enhance community health and environmental conditions. The summary may be derived from, or serve as, the Executive Summary for the Nomination.

The contractor shall submit to the DOS up to five (5) paper copies, and no fewer than 50 and no more than 100 electronic copies of the package. The exact number of copies required shall be determined by the DOS in consultation with the contractor. Paper copies and electronic copies shall be submitted consistent with Attachment A. All entities shall have 30 days to review the package prior to scheduling any discussion.

Product: Briefing Package distributed for review by local, state, and federal agencies, and relevant private entities.

Task 5.4: Interagency Roundtable

Upon review, the contractor and the DOS may convene a roundtable discussion of program opportunities for implementation of the BOA. Such discussion will serve as a basis for developing a realistic implementation strategy in Step 3 of the BOA planning process.

Product: Report summarizing points of agreement regarding necessary actions for the successful implementation of the BOA Plan.

Component 6: Final Nomination and Advancing to BOA Program Step 3

Task 6.1: Preparation of Final Nomination

Based on comments received during the review period, the contractor shall prepare, or cause to be prepared, a final Nomination. The final Nomination shall be submitted, along with a "redline/strikeout" version for comparison purposes, to DOS for review and comment, consistent with Attachment A. No additional copies of the Nomination will be printed or distributed without approval by the DOS.

Product: Final Nomination

Task 6.2: Application for Project Advancement

Upon completion of all tasks and receipt of acceptable report products, the contractor may submit an application to complete an Implementation Strategy for the Brownfield Opportunity Area and, as appropriate, an Application for Site Assessment. If site assessment funding is sought, the contractor shall complete, or cause to be completed, a Site Assessment Form for each strategic brownfield site. Conceptual approval is recommended on the strategic brownfield sites selected prior to completing the form(s). A completed Site Assessment Form should be included (one for each strategic brownfield site that site assessment funding is being sought for) with the application to advance to Step 3.

Product: Completed application to continue work under the Brownfield Opportunity Area Program and Site Assessment Form completed for each strategic brownfield.

Component 7: NYS Environmental Quality Review

Task 7.1: Environmental Assessment Form

As early in the process as practicable, but no later than completion of the Summary Analysis in the Nomination, the contractor shall complete Part 1 of the full Environmental Assessment Form (EAF). If the contractor is not a municipality, the contractor shall submit Part 1 of the full EAF to the appropriate municipality.

Product: Completed Part 1 of the full Environmental Assessment Form.

Task 7.2: Lead Agency

The municipality shall circulate the completed Part 1 of the full EAF and request lead agency status under the State Environmental Quality Review Act (SEQRA). With regard to SEQRA, the municipality and DOS are involved agencies, since the Brownfield Opportunity Area will be designated by the New York State Secretary of State, and may be locally adopted. The DEC is a potential involved agency since Site Assessments undertaken through the Brownfield Opportunity Areas Program will be funded and administered by the DEC.

Product: Completed Environmental Assessment Form and letter requesting lead agency status.

Task 7.3: Determine Significance

Within twenty (20) days of designation of lead agency, or within twenty (20) days of receipt of sufficient information, the lead agency shall make a Determination of Significance. If determined by the Lead Agency that the proposed BOA will have a significant adverse environmental impact, a Positive Declaration must be prepared and a Generic Environmental Impact Statement will be required **OR** if determined by the Lead Agency that the proposed BOA will not have a significant adverse environmental impact, a Negative Declaration must be prepared. If a Negative Declaration is prepared and filed, then a Draft Generic Environmental Impact Statement will not be necessary.

Product: State Environmental Quality Review Act Determination of Significance filed.

Task 7.4: Scoping Session

If a positive determination is made, the lead agency shall initiate a scoping session by providing a draft scope to all involved agencies, and, based on comments received during the scoping session, shall, within sixty (60) days of the scoping session, provide a final scope of issues to be addressed in the draft GEIS.

Product: Written scope of issues to be addressed in the draft GEIS.

Component 8: Project Reporting

Task 8.1 Project Summary

The contractor shall draft a brief, one- or two-page summary of the project to be used in presentations to various stakeholders. The project summary shall follow the format and content provided by the DOS to be consistent with other such summaries produced by other participating communities, and shall include:

Community Context and Project Description -- a one- to three-paragraph description, including a brief history of the community's development and a description of current conditions, the size and character of the study area, primary redevelopment objectives and specific issues being addressed in terms of redevelopment, community revitalization, job creation, public infrastructure, amenities, and natural resources protection or enhancement;

Accomplishments – a description of significant projects undertaken to advance implementation of the revitalization strategy, and associated public and private investments;

Next Steps: a list of activities to advance the development and/or implementation of the BOA revitalization strategy including, but not limited to: housing, retail, mixed use, industrial, recreational, cultural, infrastructure, public amenities.

Product: Completed project summary in a format provided by the DOS.

Task 8.2 Semi-annual Reports

The contractor shall submit to the DOS semi-annual reports on the form provided and will include the extent of work accomplished, any problems encountered, and any assistance needed. If a payment request is submitted, the semi-annual report may be submitted as part of the payment request.

Product: Semi-annual reports during the life of the contract.

Task 8.3: Progress Report on Actions Taken to Advance Redevelopment and Revitalization

In order to gauge the impact of the BOA project on revitalization efforts, grantee shall complete a progress report (Attachment 5) at or near the completion of the Nomination. This report will describe significant projects undertaken to advance the implementation of the BOA Plan, and document the associated public and private investments to advance or achieve BOA Plan goals, objectives and recommendations.

Projects and associated investments may consist of a range of site specific redevelopment activities, infrastructure improvements, new/enhanced public amenities or natural resource restoration or enhancements. All public and private funds used for such activities should be identified and described as outlined in the report form instructions.

Product: Progress Report

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