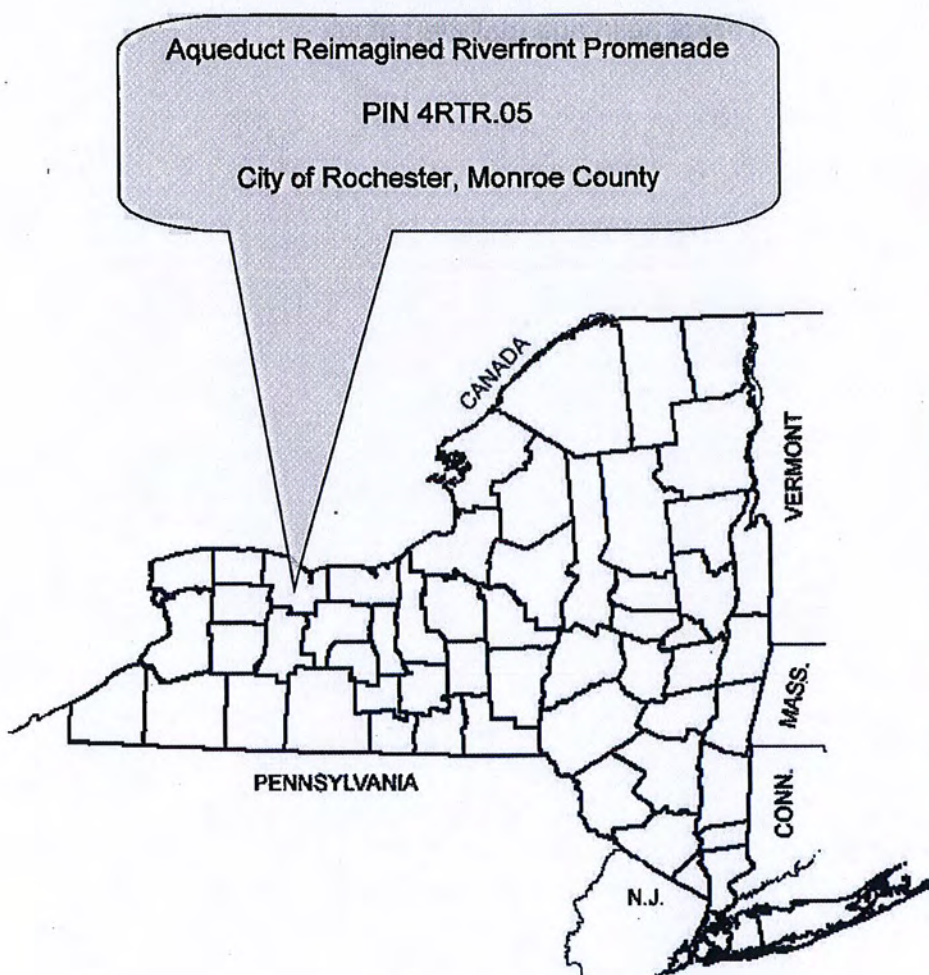


TRANSPORTATION

INITIAL PROJECT PROPOSAL

May 2019



PROJECT AREA



Department of
Transportation

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PROJECT APPROVAL SHEET


Milestones

Signatures

Dates

A. Recommendation for
IPP Approval:

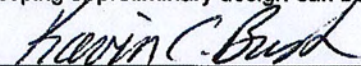
The project cost and schedule are consistent with the Regional Capital Program.


Christopher T. Reeve, PE, Regional Program Manager

5/29/19

B. IPP Approval:

The project is ready to be added to the Regional Capital Program and project
scoping or preliminary design can begin.


Kevin C. Bush, PE, Regional Director

5/29/19

May 2019

Initial Project Proposal

PIN 4RTR.05

PIN: 4RTR.05

PROJECT NAME: Aqueduct ReImagined Riverfront Promenade

MUNICIPALITY: City of Rochester

COUNTY: Monroe

ROUTE/SH #: State Touring Route 31/Broad Street

BIN(s): 2256077, 2256078, 2256080

LIMITS: Erie Canal Aqueduct

PROJECT LENGTH: 0.12 Miles

FEDERAL AID SYSTEM: N/A

FUNCTIONAL CLASS: (16) Urban minor arterial

EXISTING AADT: 7,500 vpd

EXISTING CHARACTERISTICS OF CONCERN: The Historic Erie Canal Aqueduct over the Genesee River in Downtown Rochester (1842) is an engineering marvel. The structure currently carries Broad Street on its upper deck and hosts a former subway tunnel below in the space that once carried the Erie Canal through Rochester. The Subway ceased operation in 1956 and the space has largely been vacant and unused since. Many studies have been completed and proposals made with respect to re-use of the structure and tunnel.

PROJECT OBJECTIVE(S): The project aids in advancing the City's Local Waterfront Revitalization Program in collaboration with Rochester's Roc the Riverway initiative. The general objectives and needs of the project are to produce seamless and accessible pedestrian and bicycle connections along both sides of the Genesee River, create dynamic public spaces, provide a massive boost to the ongoing resurgence of Downtown Rochester, leverage private development and investment, repair and maintain critical infrastructure, and establish a framework for active and sustained programming.

PROJECT ELEMENT(S) TO BE ADDRESSED:

- | | |
|-----------------------------------------------------------------------|--------------------------------------------------|
| <input type="checkbox"/> Highway Element-Specific | <input type="checkbox"/> Operational Maintenance |
| <input checked="" type="checkbox"/> Bridge | <input type="checkbox"/> Where & When |
| <input checked="" type="checkbox"/> Other – Waterfront Revitalization | |

DESCRIPTION OF PROPOSED WORK: With Roc the Riverway, the City will move forward with the vision recommended in the award-winning 2009 Historic Erie Canal Aqueduct and Broad Street Corridor Master Plan, which calls for removal of the upper deck carrying Broad Street and restoration of the Aqueduct as a central public gathering place. The new Aqueduct Terrace will connect new riverfront promenades on both sides of the river and will be fully integrated with major public venues, including the Rundel Library, Riverside Convention Center, and Blue Cross Arena. The first phase of the project is to complete preliminary and final design for the Aqueduct and adjacent riverfront promenades, thereby positioning the project for construction.

PRIORITY RESULTS:

<input checked="" type="checkbox"/> Mobility & Reliability	<input checked="" type="checkbox"/> Safety	<input type="checkbox"/> Security
<input type="checkbox"/> Economic Competitiveness	<input type="checkbox"/> Environmental Stewardship	

FUNDING SOURCE: ☒ 100% State ☐ Federal

PROJECTED ENVIRONMENTAL PROCESS:

SEQRA Type: ☐ Exempt
☒ Type II ☐ EA or ☐ EIS
☐ Non-Type II

NEPA Class: ☐ Class II – Categorical Exclusion (CE)
☐ Class III – EA
☐ Class I – EIS
☒ N/A – Project phases are 100% State funded

ATTACHMENTS:

The following Checklist(s) will be completed during preliminary design:

- ☐ Federal Environmental Approvals Worksheet (FEAW)
☒ Regional Environmental Scoping Checklist

MPO INVOLVEMENT: ☒ No ☐ Yes
TIP Name/No.: N/A

TIP AMENDMENT REQUIRED: ☒ No ☐ Yes; Needed by:

STIP STATUS: ☐ On STIP ☒ Not on STIP

NOTES ON SPECIAL CIRCUMSTANCES:

Scoping, design, and construction are to be administered by the City of Rochester. The sponsor's project manager is Jeff Mroczek, Senior Landscape Architect, 585-428-7124.

SPECIAL TECHNICAL ACTIVITIES REQUIRED:

A State-Local agreement will be required to allow for reimbursement of sponsor expenditures consistent with the applicable Federal Aid Program. A safety screening will be conducted during preliminary engineering.

PLANNED PUBLIC INVOLVEMENT: A Public Involvement Plan will be developed during the preliminary design phase and will be implemented throughout final design and construction.

WORKZONE SAFETY & MOBILITY:

The Region has determined that this project not significant per 23 CFR 630.1010.

A Transportation Management Plan (TMP) will be prepared for the project consistent with 23 CFR 630.1012. The TMP will consist of a Temporary Traffic Control (TTC) plan. Transportation Operations (TO) and Public Information (PI) components of a TMP will be considered during final design.

PROBABLE SCHEDULE AND COST: The current schedule is to have Scoping/Preliminary engineering begin in September 2019. Final Design to begin in March 2021. The PS&E would be in March 2022 for a bid opening in June 2022. The contract award would be in July, 2022 with construction completed in October 2024.

DESIRED LETTING: 7/2022

DESIRED CONSTRUCTION COMPLETION: 10/2024

SCHEDULE ISSUES:

- ☒ Public Meetings
☐ Permits
☐ Other –

- ☒ 4(f)/106 FHWA sign-off
☒ Consultant(s) for: Scoping, PE

Table B – Schedule and Cost				
Project Phase	Activity Duration	Estimated Cost	Fund Source	Obligation Date
Scoping	6 mo	\$750,000	NYS Funded	9/2019
Design I-IV	12 mo	\$3,750,000	NYS Funded	9/2019
Design V-VI	12 mo	\$1,500,000	TBD	3/2021
Construction	*	*	*	*
Construction Inspection	*	*	*	*
TOTAL ESTIMATED COST		\$6,000,000		

*Project includes scoping and preliminary design with State funding of \$4.5M. Future phases, including final design and construction are not part of this project phase.

BASIS OF ESTIMATE: Sponsor's NYS Consolidated Funding Application

PROGRAM DISPOSITION: Scheduled for letting in SFY 2022.

PROJECT CATEGORY: ☐ Simple ☐ Moderate ☒ Complex

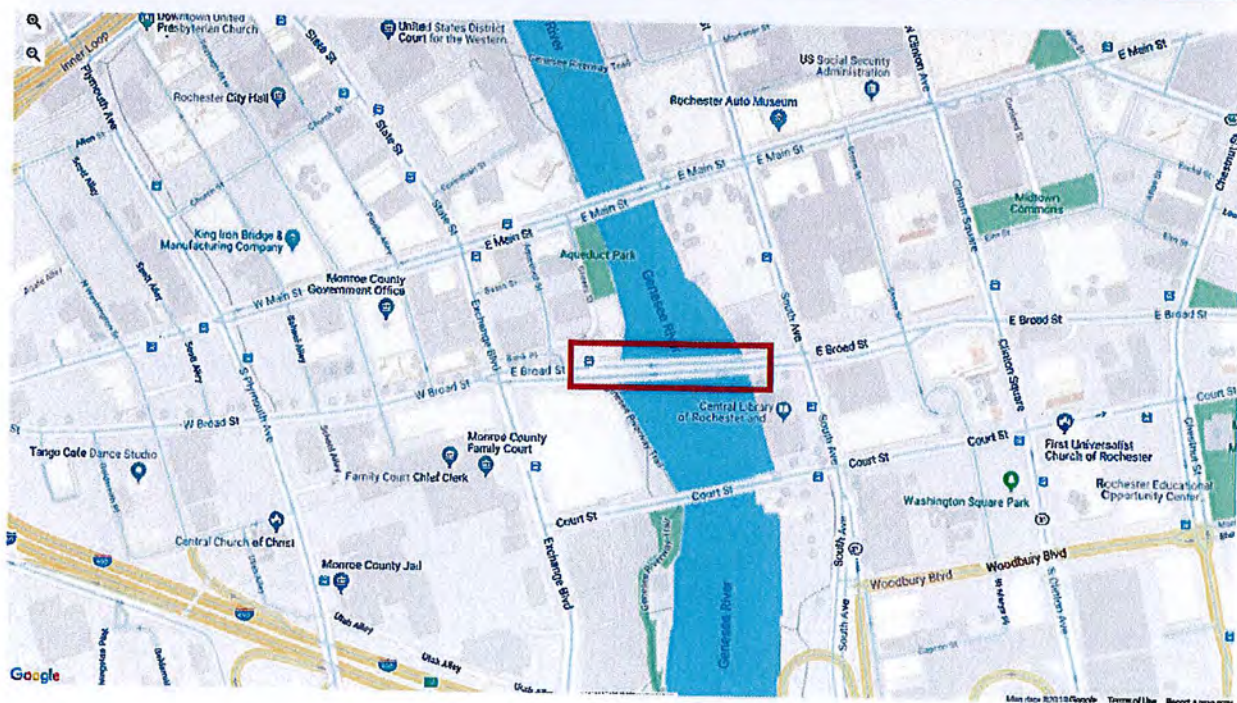
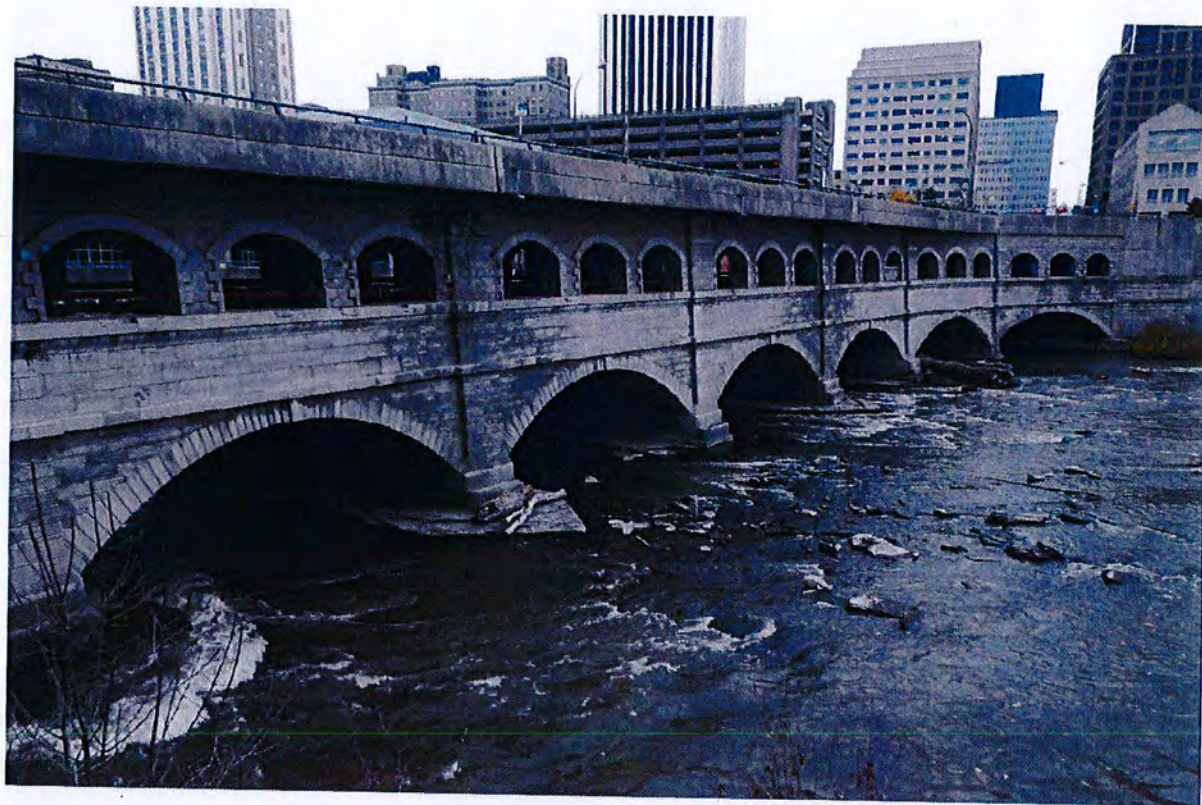
STATEWIDE SIGNIFICANCE: ☒ No ☐ Yes

PUBLIC FRIENDLY DESCRIPTION OF PROJECT: This project involves improvements to the Historic Erie Canal Aqueduct over the Genesee River in Downtown of the City of Rochester, Monroe County. The structure currently carries Broad Street on its upper deck and hosts a former subway tunnel below in the space that once carried the Erie Canal through Rochester. This project is a component of Governor Cuomo's Roc the Riverway Initiative (RTR). As part of this project, the City will remove the upper deck carrying Broad Street and restore the Aqueduct as a central public gathering place. The new Aqueduct Terrace will connect new riverfront promenades on both sides of the river and will be fully integrated with major public venues, including the Rundel Library, Riverside Convention Center, and Blue Cross Arena. The first phase of the project is to complete preliminary and final design for the Aqueduct and adjacent riverfront promenades, thereby positioning the project for construction.


































PROJECT MANAGER/JOB MANAGER: Rick Papaj
FUNCTIONAL AREA(S): Local Projects Unit
PHONE(S): 585-272-3410

IPP PREPARED BY: Region 4 Planning Office

DATE: 05/29/19



4RTR05-Aqueduct Reimagined Riverfront Promenade

Activity ID	Activity Name	BL Project Start	Start	BL Project Finish
 626	Consultant Selection	12-3-18 A	12-3-18 A	4-15-19 A
 627	Designate Consultant (Consultant Start)	4-15-19 A	4-15-19 A	4-15-19 A
 092	Prepare IPP	2-4-19 A	2-4-19 A	5-29-19 A
 099	IPP APPROVED	5-29-19 A	5-29-19 A	5-29-19 A
 309	DETAILED DESIGN AUTHORIZED	3-26-21	5-30-19 A	3-26-21
 109	Scoping Phase Authorized	4-1-19 A	4-1-19 A	5-30-19 A
 209	PRELIMINARY DESIGN AUTHORIZED	5-30-19 A	5-30-19 A	5-30-19 A
 645	Local Agreement Sent to Sponsor	10-1-19	12-2-19	10-15-19
 647	Signed Local Agreement sent to M.O.	10-16-19	12-16-19	10-22-19
 651	LOCAL AGREEMENT EXECUTED (Comptroller)	10-22-19	12-20-19	10-22-19
 240	Develop Design Alternatives/Preliminary Plans and Dr...	10-1-19	12-2-19	2-22-21
 263	Resolve Draft DAD Comments, Prepare Final Draft D...	2-23-21	2-22-21	3-13-21
 289	DESIGN APPROVAL GRANTED	3-15-21	3-15-21	3-15-21
 340	Prepare ADPs	3-26-21	3-26-21	7-25-22
 350	Conduct ADP Review	7-26-22	7-26-22	8-4-22
 359	ADP COMPLETED	8-5-22	8-5-22	8-5-22
 589	ROW CLEARANCE CERTIFICATION	9-6-22	9-6-22	9-6-22
 376	Develop PS&E Package/Contract Bid Docs	8-6-22	8-6-22	12-19-22
 375	Conduct Regional PS&E Review	12-20-22	12-20-22	1-3-23
 379	PS&E SUBMITTED	1-3-23	1-3-23	1-3-23
 369	CONSTRUCTION PHASE AUTHORIZED	1-23-23	1-23-23	1-23-23
 386	ADVERTISEMENT	2-12-23	2-12-23	3-4-23
 389	LETTING HELD	3-4-23	3-4-23	3-4-23
 705	Review Award Package & Recommendation	3-4-23	3-4-23	4-15-23
 719	CONTRACT AWARDED	4-15-23	4-15-23	4-15-23
 729	Preconstruction Meeting Held	4-15-23	4-15-23	4-15-23
 740	Construction Inspection	4-17-23	4-17-23	9-29-23
 749	SUBSTANTIAL COMPLETION	9-30-23	9-30-23	9-30-23
 779	CONTRACT COMPLETION DATE	9-30-23	9-30-23	9-30-23
 799	Final Payment	11-13-23	11-13-23	11-13-23
 999	Final Agreement	12-27-23	12-27-23	12-27-23
 1000	Prepare Final Closeout	12-27-23	12-27-23	4-22-24
 1001	Total Project Closeout	4-23-24	4-23-24	4-23-24

Social, Economic, and Environmental Resources Checklist

PIN: 4RTR.05	TYPE FUNDING: State
DESCRIPTION: Aqueduct Reimagined Riverfront Promenade	TOWN: City of Rochester
	COUNTY: Monroe

SOCIAL, ECONOMIC AND ENVIRONMENTAL CONSIDERATIONS	N/A	RESOURCE PRESENT			RESOURCE IMPACTED		
		YES	NO	TBD	YES	NO	TBD
Social							
Land Use	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Neighborhoods and Community Cohesion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General Social Groups Benefited or Harmed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
School Districts, Rec. Areas and Places of Worship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Economic							
Regional and Local Economies	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Districts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Specific Business Impacts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environment							
Wetlands	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surface Waterbodies and Watercourses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wild, Scenic, and Recreational Rivers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Navigable Waters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Floodplains	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coastal Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Aquifers, Wells, and Reservoirs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stormwater Management	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General Ecology and Wildlife Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Critical Environmental Areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Historic and Cultural Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Parks and Recreational Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Visual Resources	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Farmlands	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Air Quality	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Energy	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Noise	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asbestos	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contaminated and Hazardous Materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Construction Effects	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Indirect (Secondary) Effects	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental Cumulative Effects	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Social, Economic, and Environmental Resources Checklist

PERMITS	APP.	N/A	TBD
NYSDEC:			
State Pollutant Discharge Elimination System (SPDES) General Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New York State Department of Environmental Conservation, Article 24-Freshwater Wetlands Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mined Land Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Floodplain Variance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wild, Scenic, Recreational Rivers Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water Quality Certification (Blanket Sec 401)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water Quality Certification (Individual Sec 401)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
USCG:			
U.S. Coast Guard Section 9 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
USACOE:			
U.S. Army Corps of Engineers, Section 404 & 10 Nationwide Permit – PCN <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
U.S. Army Corps of Engineers, Section 404 Individual Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
U.S. Army Corps of Engineers, Section 10 Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NYSDOS:			
Coastal Zone Consistency Certification Statement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EPA:			
NPDES General Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

EXECUTIVE ORDERS (Federal Aid)	APP.	N/A	TBD
EO 11990 Protection of Wetlands	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO 11988 Floodplains	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO 12372 Groundwater Assessment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO 13112 Invasive Species	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EO 12898 Environmental Justice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

OTHER APPROVALS / AUTHORIZATIONS	APP.	N/A	TBD
Section 106 (National Historic Preservation Act) – SHPO, FHWA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Section 4(f) (Park, Wildlife Refuge and Historic Sites) - Resource Agency, FHWA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Section 6(f) (Land and Water Conservation Funds)- Resource Agency, FHWA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local Waterfront Revitalization Prog. Consistency Rev. – Municipality, NYSDOS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Endangered Species Act – NYSDEC, USFWS, USACE, FHWA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Migratory Bird Act - USFWS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reg. Env. Unit Supervisor Signature _____ Date _____

Social, Economic, and Environmental Resources Checklist

Land Use

Neighborhoods and Community Cohesion

General Social Groups Benefited or Harmed

School Districts, Rec. Areas and Places of Worship

Economic

Regional and Local Economies

Business Districts

Specific Business Impacts

Regional and Local Economies

Business Districts

Specific Business Impacts

Wetlands

Surface Waterbodies and Watercourses

Wild, Scenic, and Recreational Rivers

Navigable Waters

Floodplains

Coastal Resources

Aquifers, Wells, and Reservoirs

Stormwater Management

General Ecology and Wildlife Resources

Critical Environmental Areas

Historic and Cultural Resources

Parks and Recreational Resources

Visual Resources

Farmlands

Air Quality

Energy

Noise

Asbestos

Social, Economic, and Environmental Resources Checklist

Contaminated and Hazardous Materials

Smart Growth Screening Tool

PIN 4RTR.05

Prepared By:

Smart Growth Screening Tool (STEP 1)

NYSDOT & Local Sponsors – Fill out the Smart Growth Screening Tool until the directions indicate to **STOP** for the project type under consideration. For all other projects, complete answering the questions. For any questions, refer to [Smart Growth Guidance](#) document.

Title of Proposed Project: Aqueduct Reimagined Riverfront Promenade

Location of Project: City of Rochester

Brief Description:

A. Infrastructure:

Addresses SG Law criterion a. –

(To advance projects for the use, maintenance or improvement of existing infrastructure)

1. Does this project use, maintain, or improve existing infrastructure?

Yes ☐

No ☐

N/A ☐

Explain: (use this space to expand on your answers above – the form has no limitations on the length of your narrative)

Maintenance Projects Only

a. Continue with screening tool for the four (4) types of maintenance projects listed below, as defined in **NYSDOT PDM Exhibit 7-1 and described in 7-4:**

<https://www.dot.ny.gov/divisions/engineering/design/dqab/pdm>

- Shoulder rehabilitation and/or repair;
- Upgrade sign(s) and/or traffic signals;
- Park & ride lot rehabilitation;

Smart Growth Screening Tool

- 1R projects that include single course surfacing (inlay or overlay), per Chapter 7 of the NYSDOT Highway Design Manual.
- b. For all other maintenance projects, **STOP here**. Attach this document to the programmatic [Smart Growth Impact Statement](#) and [signed Attestation](#) for Maintenance projects.

For all other projects (**other than maintenance**), continue with screening tool.

B. Sustainability:

NYSDOT defines Sustainability as follows: A sustainable society manages resources in a way that fulfills the community/social, economic and environmental needs of the present without compromising the needs and opportunities of future generations. A transportation system that supports a sustainable society is one that:

- Allows individual and societal transportation needs to be met in a manner consistent with human and ecosystem health and with equity within and between generations.
- Is safe, affordable, and accessible, operates efficiently, offers choice of transport mode, and supports a vibrant economy.
- Protects and preserves the environment by limiting transportation emissions and wastes, minimizes the consumption of resources and enhances the existing environment as practicable.

For more information on the Department's Sustainability strategy, refer to Appendix 1 of the Smart Growth Guidance and the NYSDOT web site, www.dot.ny.gov/programs/greenlites/sustainability

(Addresses SG Law criterion j : to promote sustainability by strengthening existing and creating new communities which reduce greenhouse gas emissions and do not compromise the needs of future generations, by among other means encouraging broad based public involvement in developing and implementing a community plan and ensuring the governance structure is adequate to sustain and implement.)

1. Will this project promote sustainability by strengthening existing communities?

Yes ☐ No ☐ N/A ☐

2. Will the project reduce greenhouse gas emissions?

Yes ☐ No ☐ N/A ☐

Explain: (use this space to expand on your answers above)

Smart Growth Screening Tool

C. Smart Growth Location:

Plans and investments should preserve our communities by promoting its distinct identity through a local vision created by its citizens.

(Addresses SG Law criteria b and c: to advance projects located in municipal centers; to advance projects in developed areas or areas designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan.)

1. Is this project located in a developed area?

Yes ☐ No ☐ N/A ☐

2. Is the project located in a municipal center?

Yes ☐ No ☐ N/A ☐

3. Will this project foster downtown revitalization?

Yes ☐ No ☐ N/A ☐

4. Is this project located in an area designated for concentrated infill development in a municipally approved comprehensive land use plan, waterfront revitalization plan, or Brownfield Opportunity Area plan?

Yes ☐ No ☐ N/A ☐

Explain: (use this space to expand on your answers above)

D. Mixed Use Compact Development:

Future planning and development should assure the availability of a range of choices in housing and affordability, employment, education transportation and other essential services to encourage a jobs/housing balance and vibrant community-based workforce.

(Addresses SG Law criteria e and i: to foster mixed land uses and compact development, downtown revitalization, brownfield redevelopment, the enhancement of beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial

Smart Growth Screening Tool

development and the integration of all income groups; to ensure predictability in building and land use codes.)

1. Will this project foster mixed land uses?

Yes ☐ No ☐ N/A ☐

2. Will the project foster brownfield redevelopment?

Yes ☐ No ☐ N/A ☐

3. Will this project foster enhancement of beauty in public spaces?

Yes ☐ No ☐ N/A ☐

4. Will the project foster a diversity of housing in proximity to places of employment and/or recreation?

Yes ☐ No ☐ N/A ☐

5. Will the project foster a diversity of housing in proximity to places of commercial development and/or compact development?

Yes ☐ No ☐ N/A ☐

6. Will this project foster integration of all income groups and/or age groups?

Yes ☐ No ☐ N/A ☐

7. Will the project ensure predictability in land use codes?

Yes ☐ No ☐ N/A ☐

8. Will the project ensure predictability in building codes?

Yes ☐ No ☐ N/A ☐

Explain: (use this space to expand on your answers above)

E. Transportation and Access:

NYSDOT recognizes that Smart Growth encourages communities to offer a wide range of transportation options, from walking and biking to transit and automobiles, which increase people's access to jobs, goods, services, and recreation.

(Addresses SG Law criterion f: to provide mobility through transportation choices including improved public transportation and reduced automobile dependency.)

Smart Growth Screening Tool

1. Will this project provide public transit?

Yes ☐

No ☐

N/A ☐

2. Will this project enable reduced automobile dependency?

Yes ☐

No ☐

N/A ☐

3. Will this project improve bicycle and pedestrian facilities (such as shoulder widening to provide for on-road bike lanes, lane striping, crosswalks, new or expanded sidewalks or new/improved pedestrian signals)?

Yes ☐

No ☐

N/A ☐

(Note: Question 3 is an expansion on question 2. The recently passed Complete Streets legislation requires that consideration be given to complete street design features in the planning, design, construction, reconstruction and rehabilitation, but not including resurfacing, maintenance, or pavement recycling of such projects.)

Explain: (use this space to expand on your answers above)

F. Coordinated, Community-Based Planning:

Past experience has shown that early and continuing input in the transportation planning process leads to better decisions and more effective use of limited resources. For information on community based planning efforts, the MPO may be a good resource if the project is located within the MPO planning area.

(Addresses SG Law criteria g and h: to coordinate between state and local government and inter-municipal and regional planning; to participate in community based planning and collaboration.)

1. Has there been participation in community-based planning and collaboration on the project?

Yes ☐

No ☐

N/A ☐

2. Is the project consistent with local plans?

Yes ☐

No ☐

N/A ☐

3. Is the project consistent with county, regional, and state plans?

Yes ☐

No ☐

N/A ☐

Smart Growth Screening Tool

4. Has there been coordination between inter-municipal/regional planning and state planning on the project?

Yes ☐

No ☐

N/A ☐

Explain: (use this space to expand on your answers above)

G. Stewardship of Natural and Cultural Resources:

Clean water, clean air and natural open land are essential elements of public health and quality of life for New York State residents, visitors, and future generations. Restoring and protecting natural assets, and open space, promoting energy efficiency, and green building, should be incorporated into all land use and infrastructure planning decisions.

(Addresses SG Law criterion d :To protect, preserve and enhance the State's resources, including agricultural land, forests surface and ground water, air quality, recreation and open space, scenic areas and significant historic and archeological resources.)

1. Will the project protect, preserve, and/or enhance agricultural land and/or forests?

Yes ☐

No ☐

N/A ☐

2. Will the project protect, preserve, and/or enhance surface water and/or groundwater?

Yes ☐

No ☐

N/A ☐

3. Will the project protect, preserve, and/or enhance air quality?

Yes ☐

No ☐

N/A ☐

4. Will the project protect, preserve, and/or enhance recreation and/or open space?

Yes ☐

No ☐

N/A ☐

5. Will the project protect, preserve, and/or enhance scenic areas?

Yes ☐

No ☐

N/A ☐

6. Will the project protect, preserve, and/or enhance historic and/or archeological resources?

Yes ☐

No ☐

N/A ☐

Explain: (use this space to expand on your answers above)

Smart Growth Screening Tool

Smart Growth Impact Statement (SGIS) Form

1. Project Name: _____

2. Project Location: _____

3. Project Description: _____

4. Project Goals: _____

5. Project Benefits: _____

6. Project Risks: _____

7. Project Impacts: _____

8. Project Mitigation: _____

9. Project Monitoring: _____

10. Project Evaluation: _____

Smart Growth Screening Tool

Smart Growth Impact Statement (STEP 2)

NYSDOT: Complete a Smart Growth Impact Statement (SGIS) below using the information from the Screening Tool.

Local Sponsors: The local sponsors are **not** responsible for completing a Smart Growth Impact Statement. Proceed to **Step 3**.

Smart Growth Impact Statement

PIN:

Project Name:

Pursuant to ECL Article 6, this project is compliant with the New York State Smart Growth Public Infrastructure Policy Act. This project has been determined to meet the relevant criteria, to the extent practicable, described in ECL Sec. 6-0107. Specifically, the project:



This publically supported infrastructure project complies with the state policy of maximizing the social, economic and environmental benefits from public infrastructure development. The project will not contribute to the unnecessary costs of sprawl development, including environmental degradation, disinvestment in urban and suburban communities, or loss of open space induced by sprawl.

Smart Growth Screening Tool

Review & Attestation Instructions (STEP 3)

Local Sponsors: Once the Smart Growth Screening Tool is completed, the next step is to submit the project certification statement (**Section A**) to Responsible Local Official for signature. After signing the document, the completed Screening Tool and Certification statement should be sent to NYSDOT for review as noted below.

NYSDOT: For state-let projects, the Screening Tool and SGIS is forwarded to Regional Director/ RPPM/Main Office Program Director or designee for review, and upon approval, the attestation is signed (**Section B.2**). For locally administered projects, the sponsor's submission and certification statement is reviewed by NYSDOT staff, the appropriate box (**Section B.1**) is checked, and the attestation is signed (Section B.2).

A. CERTIFICATION (LOCAL PROJECT)

I HEREBY CERTIFY, to the best of my knowledge, all of the above to be true and correct.

Preparer of this document:

Signature

Date

Title

Printed Name

Responsible Local Official (for local projects):

Signature

Date

Title

Printed Name

Smart Growth Screening Tool

B. ATTESTATION (NYSDOT)

1. I HEREBY:

- ☐ Concur with the above certification, thereby attesting that this project is in compliance with the State Smart Growth Public Infrastructure Policy Act
- ☐ Concur with the above certification, with the following conditions (information requests, confirming studies, project modifications, etc.):

(Attach additional sheets as needed)

- ☐ do not concur with the above certification, thereby deeming this project ineligible to be a recipient of State funding or a subrecipient of Federal funding in accordance with the State Smart Growth Public Infrastructure Policy Act.

2. **NOW THEREFORE**, pursuant to ECL Article 6, this project is compliant with the New York State Smart Growth Public Infrastructure Policy Act, to the extent practicable, as described in the attached Smart Growth Impact Statement.

NYSDOT Commissioner, Regional Director, MO Program Director,
Regional Planning & Programming Manager (or official designee):

Signature

Date

Title

Printed Name

PROJECT MANAGEMENT PLAN (PMP)

A.) Project Description:

NYSDOT Project Identification Number (PIN): 4RTR.05

NYSDOT Contract "D" Number: D036460

Project Title: Aqueduct Reimagined Riverfront Promenade

Location: City/ Town (s)/ County(ies) : City of Rochester, Monroe County

Sponsor: City of Rochester

Basic Description of planned work: _____

B.) Nature of Approval:

Check Phase (s) of Work for Which Reimbursement Has Been Approved:

Design ☒ , Real Estate ☐ , Construction ☐

Check Phase(s) for Which Soft Match or In-Kind Services Have Been Approved:

Design ☐ , Real Estate ☐ , Construction ☐

Describe the Nature of the Soft Match or In-Kind Services: _____

	<u>Baseline</u>	<u>Current</u>
Total Amount of Fed Funding Approved	\$ _____	\$ _____
Amount/ Value of Soft Match or In-Kind Svcs:	\$ _____	\$ _____
Amount and Source of Matching Funds:	\$ _____	\$ _____
Total Project Cost:	\$ _____	\$ _____

C.) Status of Fund Obligations:

Date/Amount/Description of Federal Fund Obligation:

Design [\$ 6,000,000 04/01/2019] Real Estate [\$ -mo/day/year], Construction [\$ - mo/day/year]
(Enter same date if combined or enter NA if there is no reimbursable activity)

D.) Job Responsibilities:

The jobs listed are expected to be inclusive of ALL work necessary to produce products, reports, permits, maps, agreements, etc. In addition to listing products and job activities, the person (group) responsible for doing the work must be identified. If consultant services are an element of the plan, be sure to account for the activities associated with properly securing those services.

It is expected that the sponsor will work cooperatively with the NYSDOT Regional Local Projects Liaison to develop this management plan. The RLPL, with the assistance of other technical staff, will be able to help identify what will be required to fully comply with all Federal and State requirements for your project.

This management plan will also identify milestones within the progression of the project where reviews and approvals are required. ***Work must not be progressed beyond these identified points PRIOR to obtaining approvals. The cost of any such work may not be reimbursed.***

1. Preliminary Design:

Itemize all Activities, Job managers: (name/location/phone), Key Products (site investigations, environmental (NEPA checklist) and historic determinations, impact assessments, ROW mapping, consultant selection, etc)

Design Approval Document (DAD) Final Product summarizes the conclusions of all activities identified through the development of the PMP with the Regional Local Project Liaisons and the municipality.

MILESTONE # 1 Local approval of the DAD

2. Detailed Design:

Itemize all activities, job managers, key products (permits, SHPO review, easements, ROW acquisitions, plan sheets, bid documents, notices, etc.)

Plans, Specifications & Estimates (PS&E) documents are the primary products of this phase. For NHS projects, these documents must be reviewed by the DOT. For Non-NHS projects sponsors request NYSDOT to process the Federal authorization for construction and proceed with fund obligation. DBE and labor rates are issues that must be addressed as well.

MILESTONE # 2 Federal Authorization for construction.

3. Bid Letting and Award:

Itemize all activities associated with letting the project: advertisement, bid opening, tabulation, review and award.

MILESTONE #3 Contract Award

4. Construction:

Itemize key activities of construction: (plan approval, authorization to proceed, earthwork, building constr., paving, etc)

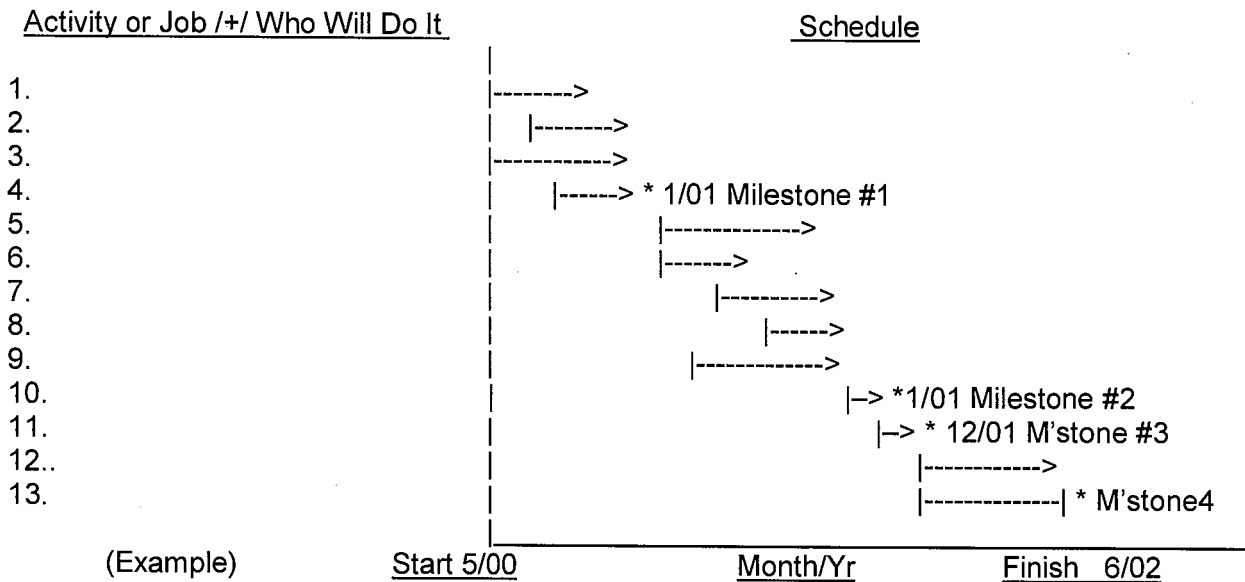
MILESTONE #4 Inspection/approval of final completion

GENERAL NOTE: Changes in scope, funding or schedule during implementation requires review and approval and may also require modification of the Master Agreement (refer to the Manual for guidance).

E.) Schedule and Relationship of Activities:

Within this section we suggest the inclusion of the activities listed in section D. above to be shown in conjunction with each other and estimated durations assigned to each. This plan will show sequential activities, dependencies, concurrent jobs, and the milestones highlighted above. All of this information will be shown in relationship to a calendar so planned and actual start and finish dates can be viewed.

There are many methods available to illustrate this information and automation software capable of doing the job. As the PMP is primarily a project management tool, NYSDOT does not specify the exact method for showing linkages and status of a project's activities. To illustrate the expectation, we have chosen to use a gantt chart format.



It is expected that the sponsor will provide the NYSDOT RLPL with periodic status updates of the project's schedule. As each project is different, the sponsor, in cooperation with the RLPL, will determine the appropriate timing for status reporting.

SAMPLE RESOLUTION BY MUNICIPALITY
(Locally Administered Project)
RESOLUTION NUMBER: _____

Authorizing the implementation and funding in the first instance of the State-aid Program eligible costs of a capital project and appropriating funds therefore.

WHEREAS, a Project for _____ Identified as
PIN _____ (the Project") is eligible for funding under a New York State Program
administered by the NYS Department of Transportation (NYSDOT); and

WHEREAS, a sum not to exceed _____ in Program funding is available to
progress the project.

WHEREAS, the _____ desires to advance the Project by making a
commitment of 100% of the State share of the costs of _____ work.

NOW, THEREFORE, the _____, duly convened does hereby

RESOLVE, that the _____ hereby approves the above-subject project;
and it is hereby further

RESOLVED, that the _____ hereby authorizes the
_____ to pay in the first instance 100% of the cost of _____
work for the Project or portions thereof; and it is further

RESOLVED, that the sum of _____ is hereby appropriated
from _____ and made available to cover the cost of participation in the above
phase of the Project; and it is further

RESOLVED, that in the event the full state share costs of the project exceeds the
amount appropriated above, the _____ shall convene as soon as possible
to appropriate said excess amount immediately upon the notification by the
_____ thereof, and it is further

RESOLVED, that the _____ be and is hereby authorized
to execute all necessary Agreements, certifications or reimbursement requests for State Aid on
behalf of the _____ with the New York State Department of Transportation in
connection with the advancement or approval of the Project and providing for the administration
of the Project and the municipality's first instance funding of project costs and permanent
funding of the local share of federal-aid and state-aid eligible Project costs and all Project costs
within appropriations therefore that are not so eligible, and it is further

RESOLVED, this Resolution shall take effect immediately.

I, _____, Clerk of the _____,
New York, do hereby certify that I have compared the foregoing copy of this Resolution with the
original on file in my office, and that the same is a true and correct transcript of said original
Resolution and of the whole thereof, as duly adopted by said _____
at a meeting duly called and held at the _____ on _____ by
the required and necessary vote of the members to approve the Resolution.

WITNESS My Hand and the Official Seal of _____, New York, this _____ day of _____, 2019.

(Clerk)

PIN
0/0/2019