Resilient Public Spaces and Communities.2
DYCD, 2 Lafayette, 14th Floor Auditorium
November 18, 2019, 8:30 a.m. to Noon

AGENDA

8:30 a.m. – 8:45 a.m.	**Sign In**
8:45 a.m. – 9:00 a.m.	**Introduction and Welcome** Terri Matthews, Town+Gown: NYC David Green, Perkins+Will, Event Moderator
9:00 a.m. – 9:45 a.m.	**Red Hook Case Study Project: BlueCityLab** Zehra Kuz, Pratt/OasisDesignLab Tim Gilman-Sevcik, RETI (Resilience Education Training Innovation) Center
9:45 a.m.—10:15 a.m.	**The Community in Planning** Lily Pollans, CUNY/Hunter
10:15 a.m.—11:15 a.m.	**The Community in Design** Ali Sutherland-Brown and Isabel Saffron, Karp Strategies Michele Moore and Onel Hilgalgo, NYCHA
11:15 a.m.—12:00 p.m.	**The Working Groups Reconvene**

Background. The first event in this series, *Resilient Public Spaces and Communities*,[1] one year ago, used a continuing series of design-related events in Town+Gown[2] as a jumping-off point to aim at accelerating the action research cycle by using a format that began with a brief academic framing presentation and followed with working group break-out sessions focusing on issues identified in the framing session to tease out what we know, what we don't know and what we need to know in a way to engage the academic community to help provide specific research addressing research gaps.

After Superstorm Sandy, the academic focus on environmental sustainability quickly pivoted to a focus on resiliency, and few other neighborhoods in the city received more intensive academic attention than Red Hook in Brooklyn. The 2018 event used Red Hook as the case study area to pull together all that has been done in Town+Gown to establish the knowledge base and move it forward by exploring and contextualizing resilience in the built environment generally and public space and communities specifically and then identifying issues for future research within the Town+Gown community.
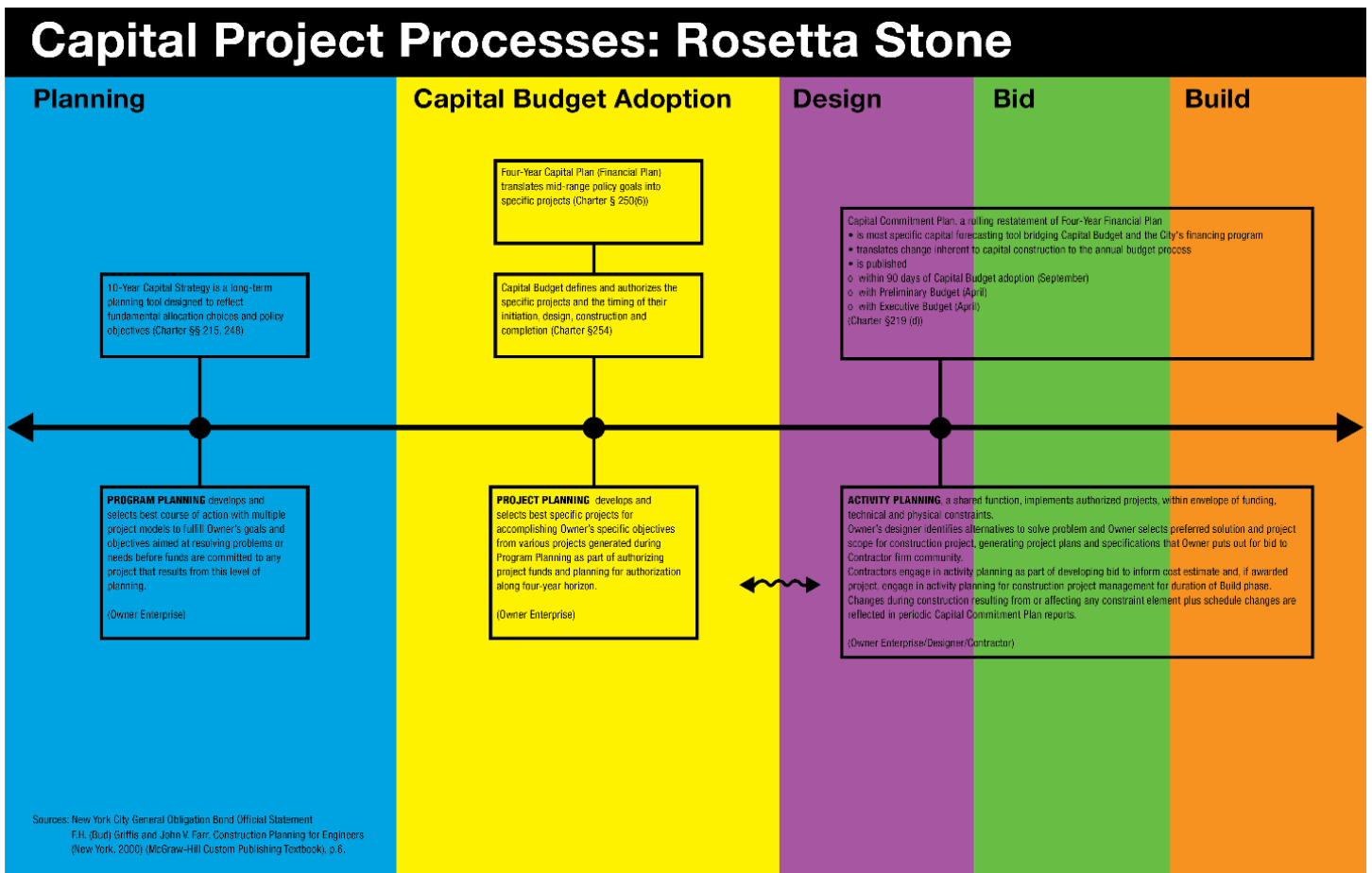
Working groups formed for the following areas:

- What Allows Public Space to Function as Community Resiliency Asset in Both Disaster and Every Day Life?
- Moving from Qualitative Data to Quantitative Data: Where is It and What Can It Tell Us?

Designing resilient public spaces within communities and with communities requires understanding how to make them good for the community (e.g., supporting community resilience) and effective as resilient designed objects. Public space, in its various forms, is the foundation for creating resilient cities, with New York as a good example. The city's outdoor public spaces—its streets and plazas and its parks—have, for two centuries, allowed it to grow and respond to acute critical events and weather longer-term chronic stressors. Now, however, projected environmentally-related climate change forces demand a deeper analysis of the trends and events that have the potential to significantly impact the functioning of the city and its neighborhoods. This challenge requires us to locate and identify critical data, understand how to use it to evaluate options moving forward, and understand how the public realm provides, to a greater or lesser degree, the lasting framework within which these efforts can progress.
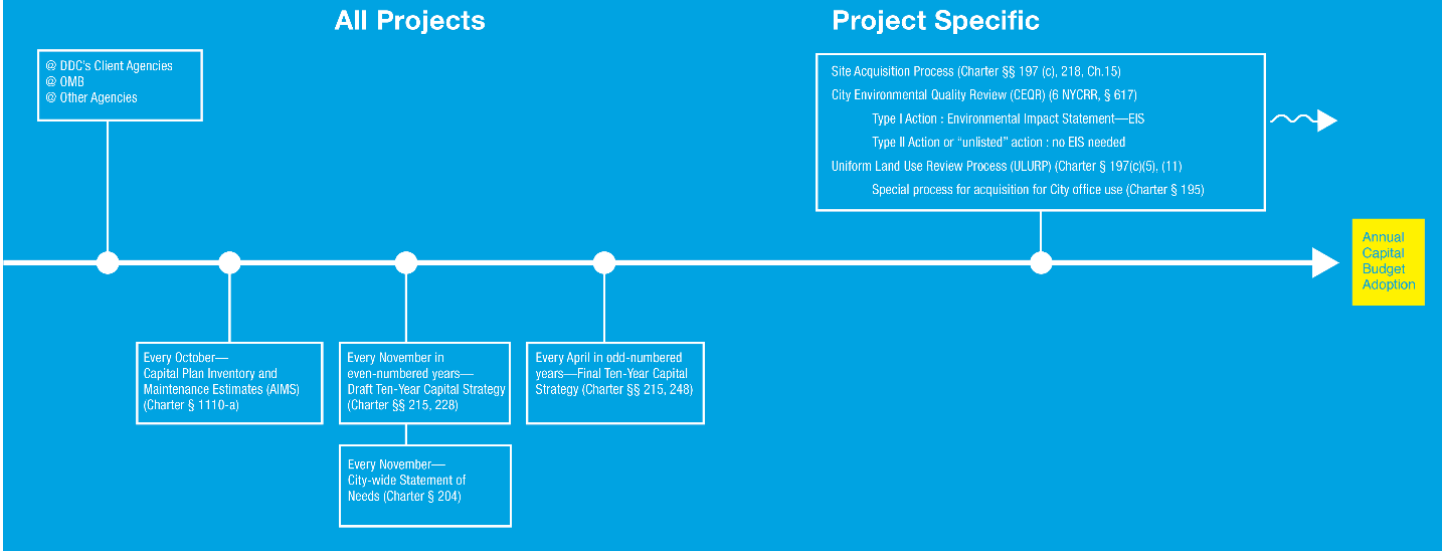
A follow-up working group meeting, on April 5, 2019, decided to identify a public capital project in Red Hook to explore the issues of community engagement and, using Hana Kassem's

methodology of leveraging capital projects to engage the community within the constraints of the city's capital program/process, to apply AREA Research's life cycle cost benefit analysis model to the explorations. Efforts to identify a capital project for this research project did not reveal an appropriate project due to timing issues. Capital projects for Red Hook in the latest capital budget documents were either underway or too far in the future, which made them unsuitable for the research project idea, as originally conceived. This experience reflects the temporal problem raised by a focus on the "community". The capital project process—from planning to construction completion and use—is long and complex.
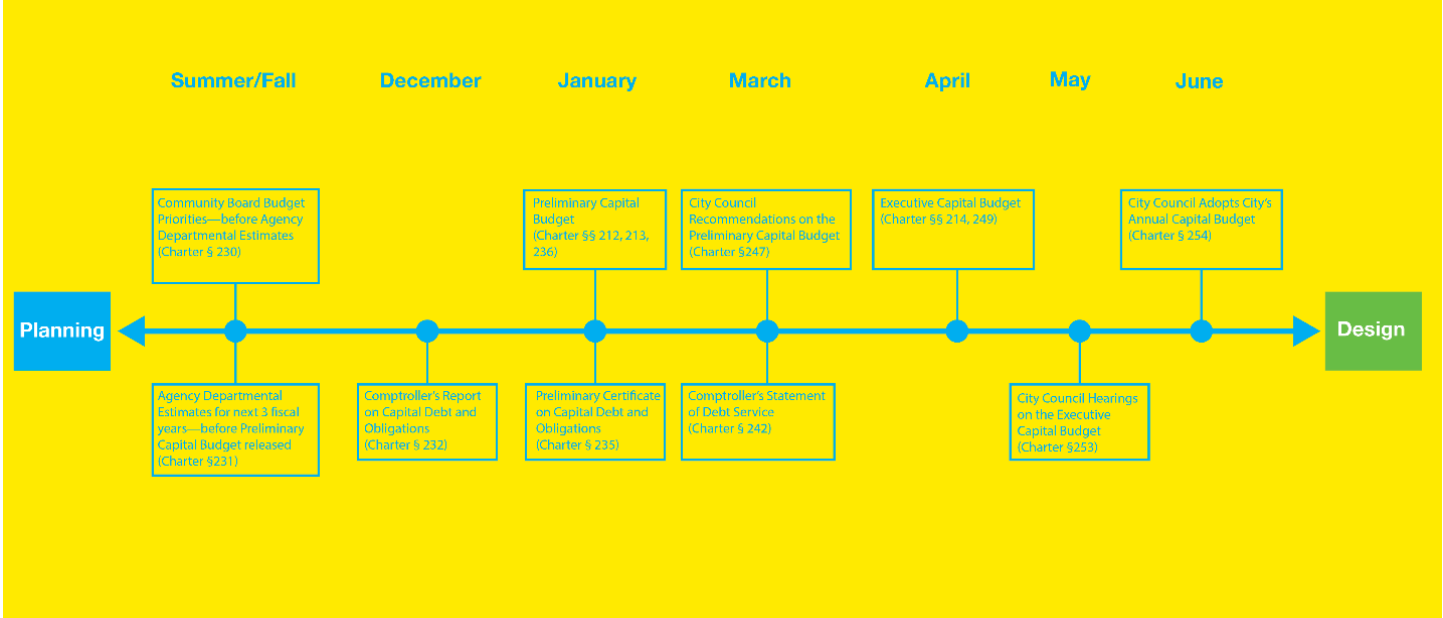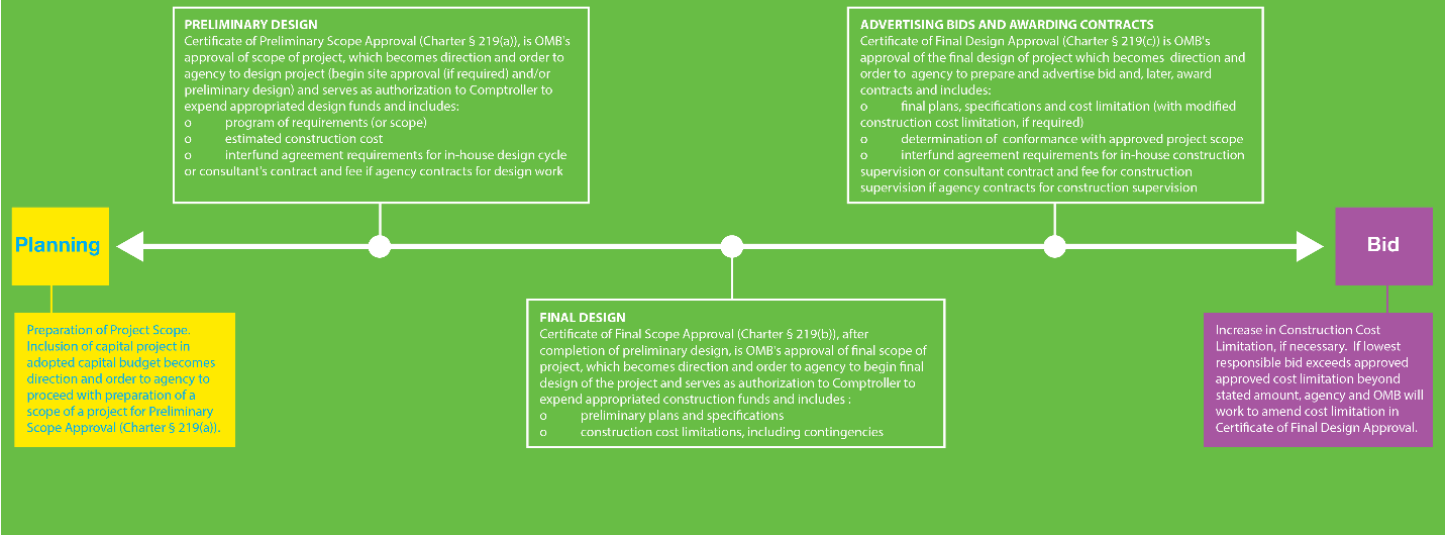
Capital Project Processes: Rosetta Stone

Planning	Capital Budget Adoption	Design	Bid	Build

Four-Year Capital Plan (Financial Plan) translates mid-range policy goals into specific projects (Charter § 250(6))

Capital Commitment Plan, a rolling restatement of Four-Year Financial Plan
• is most specific capital forecasting tool bridging Capital Budget and the City's financing program
• translates change inherent in capital construction to the annual budget process
• is published
o within 90 days of Capital Budget adoption (September)
o with Preliminary Budget (April)
o with Executive Budget (April)
(Charter §219 (d))

10-Year Capital Strategy is a long-term planning tool designed to reflect fundamental allocation choices and policy objectives (Charter §§ 215, 248)

Capital Budget defines and authorizes the specific projects and the timing of their initiation, design, construction and completion (Charter §254)

PROGRAM PLANNING develops and selects best course of action with multiple project models to fulfill Owner's goals and objectives aimed at resolving problems or needs before funds are committed to any project that results from this level of planning.

(Owner Enterprise)

PROJECT PLANNING develops and selects best specific projects for accomplishing Owner's specific objectives from various projects generated during Program Planning as part of authorizing project funds and planning for authorization along four-year horizon.

(Owner Enterprise)

ACTIVITY PLANNING, a shared function, implements authorized projects, within envelope of funding, technical and physical constraints.
Owner's designer identifies alternatives to solve problem and Owner selects preferred solution and project scope for construction project, generating project plans and specifications that Owner puts out for bid to Contractor firm community.
Contractors engage in activity planning as part of developing bid to inform cost estimate and, if awarded project, engage in activity planning for construction project management for duration of Build phase.
Changes during construction resulting from or affecting any constraint element plus schedule changes are reflected in periodic Capital Commitment Plan reports.

(Owner Enterprise/Designer/Contractor)

Sources: New York City General Obligation Bond Official Statement
F.H. (Bud) Griffis and John V. Farr, Construction Planning for Engineers (New York, 2000) (McGraw-Hill Custom Publishing Textbook), p.6.

Capital Project Processes: Planning

∿ Citywide Capital Program and Land Use Planning Processes ∿

All Projects

@ DDC's Client Agencies
@ OMB
@ Other Agencies

Project Specific

Site Acquisition Process (Charter §§ 197 (c), 218, Ch.15)
City Environmental Quality Review (CEQR) (6 NYCRR, § 617)
    Type I Action : Environmental Impact Statement—EIS
    Type II Action or "unlisted" action : no EIS needed
Uniform Land Use Review Process (ULURP) (Charter § 197(c)(5), (11)
    Special process for acquisition for City office use (Charter § 195)

Annual Capital Budget Adoption

Every October—
Capital Plan Inventory and Maintenance Estimates (AIMS) (Charter § 1110-a)

Every November in even-numbered years—Draft Ten-Year Capital Strategy (Charter §§ 215, 228)

Every April in odd-numbered years—Final Ten-Year Capital Strategy (Charter §§ 215, 248)

Every November—City-wide Statement of Needs (Charter § 204)

Capital Project Processes: Capital Budget

Summer/Fall	December	January	March	April	May	June

Planning → → → **Design**

Community Board Budget Priorities—before Agency Departmental Estimates (Charter § 230)

Preliminary Capital Budget (Charter §§ 212, 213, 236)

City Council Recommendations on the Preliminary Capital Budget (Charter §247)

Executive Capital Budget (Charter §§ 214, 249)

City Council Adopts City's Annual Capital Budget (Charter § 254)

Agency Departmental Estimates for next 3 fiscal years—before Preliminary Capital Budget released (Charter §231)

Comptroller's Report on Capital Debt and Obligations (Charter § 232)

Preliminary Certificate on Capital Debt and Obligations (Charter § 235)

Comptroller's Statement of Debt Service (Charter § 242)

City Council Hearings on the Executive Capital Budget (Charter §253)

Capital Project Processes: Design

PRELIMINARY DESIGN
Certificate of Preliminary Scope Approval (Charter § 219(a)), is OMB's approval of scope of project, which becomes direction and order to agency to design project (begin site approval (if required) and/or preliminary design) and serves as authorization to Comptroller to expend appropriated design funds and includes:
o   program of requirements (or scope)
o   estimated construction cost
o   interfund agreement requirements for in-house design cycle or consultant's contract and fee if agency contracts for design work

ADVERTISING BIDS AND AWARDING CONTRACTS
Certificate of Final Design Approval (Charter § 219(c)) is OMB's approval of the final design of project which becomes direction and order to agency to prepare and advertise bid and, later, award contracts and includes:
o   final plans, specifications and cost limitation (with modified construction cost limitation, if required)
o   determination of conformance with approved project scope
o   interfund agreement requirements for in-house construction supervision or consultant contract and fee for construction supervision if agency contracts for construction supervision

Planning

Bid

Preparation of Project Scope. Inclusion of capital project in adopted capital budget becomes direction and order to agency to proceed with preparation of a scope of a project for Preliminary Scope Approval (Charter § 219(a)).

FINAL DESIGN
Certificate of Final Scope Approval (Charter § 219(b)), after completion of preliminary design, is OMB's approval of final scope of project, which becomes direction and order to agency to begin final design of the project and serves as authorization to Comptroller to expend appropriated construction funds and includes :
o   preliminary plans and specifications
o   construction cost limitations, including contingencies

Increase in Construction Cost Limitation, if necessary. If lowest responsible bid exceeds approved approved cost limitation beyond stated amount, agency and OMB will work to amend cost limitation in Certificate of Final Design Approval.

Capital Project Processes: Build Phase Components

Build

Use

Pre-Construction
• Notice to Proceed
• Pre-Construction Meeting

Substantial Completion

Final Completion

Construction "Parade of Trades"

Project Close-Out

Post-Construction
• Operations
• Maintainance

The "community" involved during the planning stage of a particular project may be demographically different than the "community" for that project during the design and build phases after it is approved in the adopted capital budget. This realization, which initially seemed to complicate the planned research project, pointed the way forward for this event.

Introducing the Planning Discipline to this Series. The panelists at last year's event were all architects, and one of the event partners was the AIA New York Public Architects Committee. While planners can be architects by training, planning is part of the Geography discipline and is not entirely about architecture. This event brings the planning discipline's focus on community explicitly to bear on these complex issues. With both architecture and planning disciplines involved going further, research projects developed through the working group process should focus on the best ways to involve the community during the planning process and during the design process for those projects emerging from the city's capital budget, with additional focus on temporal issues (what "community" when) and connections between the two processes.

Urban planners can simultaneously act as agents of authority and of communities. Public spaces and communities share reciprocal, symbiotic relationships. Communities become resilient due to their use of public spaces, which continue to exist due to the communities' use of them. These spaces' levels of accessibility, openness, visibility, revelation, and support for community practices define their resiliency. An open, accessible space builds community, which builds support for community practices, which in turn allows for community members to become visible within the space. Visibility breeds revelation and a sharing of ideas, which leads to diversity, accommodation, and tolerance.[3]

With climate change affecting urban municipalities, resilient public spaces become an even more important area of planning for stakeholders in the built environment. Sustainability and resiliency share a close, often reciprocal relationship, which is reflected in the Envision framework that is a holistic framework for evaluating and rating the community, environmental, and economic benefits of all types and sizes of infrastructure projects and permits owners to evaluate, grade and give recognition to infrastructure projects that use transformational, collaborative approaches to assess the sustainability indicators over the course of the project's life cycle.[4] The Envision Rating System provides measurements for quality of life, leadership, resource allocation, the natural world, and climate and resilience, several of which address the importance of creating and maintaining a culture of resilience within communities. In addition to the inanimate components of infrastructure, this framework also prioritizes including communities and leveraging different data collection methods within these projects.

Throughout discussions on sustainability and resiliency, the "community" remains a key component in maintaining public spaces. Viewing sustainability as a multi-disciplinary issue reorients policy and administration goals to create the proper social context.[5] Engagement with the community begets involvement, which can then beget partnership, finally concluding with a successful and desired project. Urban planners can offer a great insight into engaging the community in these processes, as an important part of this profession involves not only communicating with this conceptual entity, but also designating who constitutes this nebulous entity. The often called-upon "community" is an object and linchpin in the precisely delineated public planning process. Urban planning can provide metrics to delineate a community and identify the best methods to engage with the identified community during planning body.

The question of how to *create* resilient and sustainable neighborhoods raises the *a priori* question of "*Who* can create?"[6] While land use planning is one of many local governmental functions that must at some point, of necessity, be performed at the city-wide executive and legislative branches of local government, New York City is physically large, consisting of perhaps as many as 336 distinct neighborhoods that are smaller geographical areas corresponding to lived reality.[7] In New York, the functions and relationships of neighborhood activities are defined by the City Charter, which creates 59 community districts and invests their boards with power to act in land use and in the budget. "[T]he average community district, however, has a population of over 100,000, which makes it comparable in size to Elizabeth, New Jersey, and Albany, New York."[8] The City's core processes—land use and budgeting—are technically complex, involving a high degree of politics, many stakeholders and reams of equally complex public data that are, at time, difficult to understand and use.

The 1989 Charter Revision Commission included, as one goal, increasing "... the participation of ... the people in the things that affect their lives", seeking to enhance the ability of community boards to participate in the land use planning process; this goal, however, is impacted by the tension between two approaches to planning—the professional and centralized approach and the community-based planning approach that is still evolving.[9] The goal embedded into the City's governance structure, in part, reflects the urban planning field's adoption of Jane Jacobs's belief that land use planners, versed in techniques, theories and services, need to know "the terms of the precise and unique places in a city with which they are dealing" by turning to "the people of the place" who "understand thoroughly" the specific place.[10] The term "locality coordination" describes a vertical communications mechanism that captures place-based expertise for "locality knowledge in planning, whether the planning is creative, coordinating or predictive."[11] While Jacobs may have elevated the neighborhood to the subject and object of urban planning and the City Charter vests the community boards with locality coordinating powers in land use and in budgeting, the history of the City's community boards reflects

impediments that have made it challenging for community boards to function and for individuals living in neighborhoods to feel they can play an effective role in planning and designing at the neighborhood level.

The community boards are the official means by which City agencies engage with communities in various public processes, especially the City's planning process.[12] Community boards also play Charter-mandated roles in the City's expense and capital budgets and consult with agencies for service provision on the cost of their needs of their respective districts' programs and they review agency departmental estimates.[13] While the Charter delineates the processes requiring the "community"—or community board—involvement and participation before final decisions on neighborhood land-use decisions, structural issues remain for community board effectiveness, such as their general lack of coterminality with other local jurisdictional sub-boundaries, which can negatively impact all governmental community outreach efforts.[14] In addition, demographic changes over time—which time frame can include the entire capital process—continue to affect the alignment of actual communities and neighborhoods with their designated community boards.

Since 1989, "horizontal networks of public, private, and non-profit organizations as a phenomenon of governance, as opposed to hierarchical organizational decision making," may be evolving into "a new type of local governance regime [and] a form of "muddling through" at major American cities and may already have produced an "evolution of a new type of local governance regime."[15] Among the three patterns some cities have successfully used to adopt environmental sustainability policies and programs, one of them, "neighborhood associations[,] demonstrate[s] surprising levels of interaction with policymakers. Despite scant resources, neighborhood associations are clearly part of the policymaking process in urban systems."[16]

The environmental sustainability agenda and the related resiliency imperative, explicitly expanded to include economic and social measures, may have helped to generate a robust community of neighborhood-based planners and other neighborhood-based nonprofits focused on economic and equity issues to succeed in the "politics of place."[17] The recent interest in U.S. cities, including New York City, in participatory budgeting, would tend to provide some additional evidence. Yet in New York, those seeking change at the neighborhood level also have a ready-made, but poorly understood, lever—the community boards—which are publicly-funded City agencies representing the smallest unit of government involved in the City's formal planning and budgeting processes. Earlier completed Town+Gown projects, such as *Making the Invisible Visible*, *Red Hook HUB: A Creative Placemaking Project*, and *Data Driven Influence: Putting Dollars to Work at the Community Board Level* suggest that planning, design and policy

can help identify ways to strengthen community board functioning in the sustainability and resiliency domains as research from this event develops.

The primary author of this precis is Brenna Hemming, Research and Communications Fellow at Town+Gown.

[1] See https://www1.nyc.gov/assets/ddc/downloads/town-and-gown/Resiliency%20Public%20Space%20Precis.Final.pdf.

[2] See https://www1.nyc.gov/site/ddc/about/town-gown-archives.page#symposia.

[3] Anthony Maniscalco "Occupy Mall Street? How the Court Conditioned Public Space Where People Go" (2014). *CUNY Academic Works.* https://academicworks.cuny.edu/cgi/viewcontent.cgi?article=1069&context=gc_etds accessed on 11/08/19 @ 4:31 p.m. The "simultaneous presence of innumerable perspectives and aspects in which the common world presents itself" in modern public life (Hannah Arendt, *The Human Condition* (Chicago: 1989, p. 57) requires "stable worldly 'furniture" that helps give us the sense that we are rooted in something permanent or that at least *feels* permanent." (Ronald Beiner, "Our Relationship to Architecture as a Mode of Shared Citizenship: Some Arendtian Thoughts", *Techné: Research in Philosophy and Technology*, Volume 11, No. 1 (Fall 2007), p. 3, http://scholar.lib.vt.edu/ejournals/SPT/v9n1/beiner.html, accessed 11/08/19 @ 4:41 p.m.). Architecture can significantly contribute to this "conception of a *grounded* citizenship-civic experience grounded in shared attachment to a built place that provides an enduring home for members of a political community extended over many generations" by creating "an ensemble of buildings as the site of civic space" or "a community as a whole as a locus of civic-architectural experience." (Beiner, p. 4) Daniel Libeskind has similarly articulated this concept of the role of architecture in the public realm as one that draws "members of the society into a stronger, more emphatic identification of what's public." (Beiner, pp. 4-5)

[4] Spiro N. Pollalis, "The Envision® Rating System for Sustainable Infrastructure Projects" presentation at Town+Gown: NYC symposium event, *CD+W.4. Envision and Impact Analyses*, October 23, 2019; not yet posted to website.
Wellbeing QL1.1 Improve Community Quality of Life, Mobility QL2.1 Improve Community Mobility & Access, Community QL2.4 Enhance Public Space & Amenities, Collaboration LD1.2 Foster Collaboration & Teamwork, Planning LD2.2 Plan for Sustainable Communities, Resilience CR2.5 Maximize Resilience.

[5] *Idem*

[6] See *Redesigning Neighborhood Change*, May 13, 2014, at https://www1.nyc.gov/assets/ddc/downloads/town-and-gown/05.13.14_precis_neighbor.pdf.

[7] *See* New York City Department of City Planning website (http://www.nyc.gov/html/dcp/html/neighbor/neigh.shtml); Anthony D. King, "Boundaries, Networks, and Cities: Playing and Replaying Diasporas and Histories", from Alev Çinar and Thomas Bender, editors, *Urban Imaginaries: Locating the Modern City* (Minneapolis: University of Minnesota Press, 2007), p. 2.

[8] Municipal Art Society Planning Center on behalf of the Community-Based Planning Task Force, *Livable Neighborhoods for a Livable City*, 2005, p. 11. (http://mas.org/presscenter/publications/).

[9] Frederick A. O. Schwarz, Jr., and Eric Lane, "The Policy and Politics of Charter Making: The Story of New York City's 1989 Charter, *New York Law School Law Review*, Volume XLII, Numbers 3 and 4, 1998, pp. 751-752, 866, 868.

[10] Jane Jacobs, *The Death and Life of Great American Cities* (New York: Random House, 1993), p. 533.

[11] *Ibid.*, pp. 543-545.

[12] Robert F. Pecorella. *Community Power in a Postreform City: Politics in New York City* (New York: M. E. Sharpe, Inc, 1994), pp. 138-150.

[13] *Ibid.,* pp. 150-160.

[14] *Ibid.,* pp. 161-169.

[15] Kent E. Portney and Jeffrey M. Berry, *Urban Advocacy Groups, City Governance , and the Pursuit of Sustainability in American Cities*, paper prepared for delivery at the 2010 Meetings of the American Political Science Association, Washington, D.C., Panel 39-3 Urban Sustainability in a Changing Climate, September 5, 2010, p. 11.

[16] *Ibid.,* abstract page.

[17] *Ibid.,* pp. 6-8.