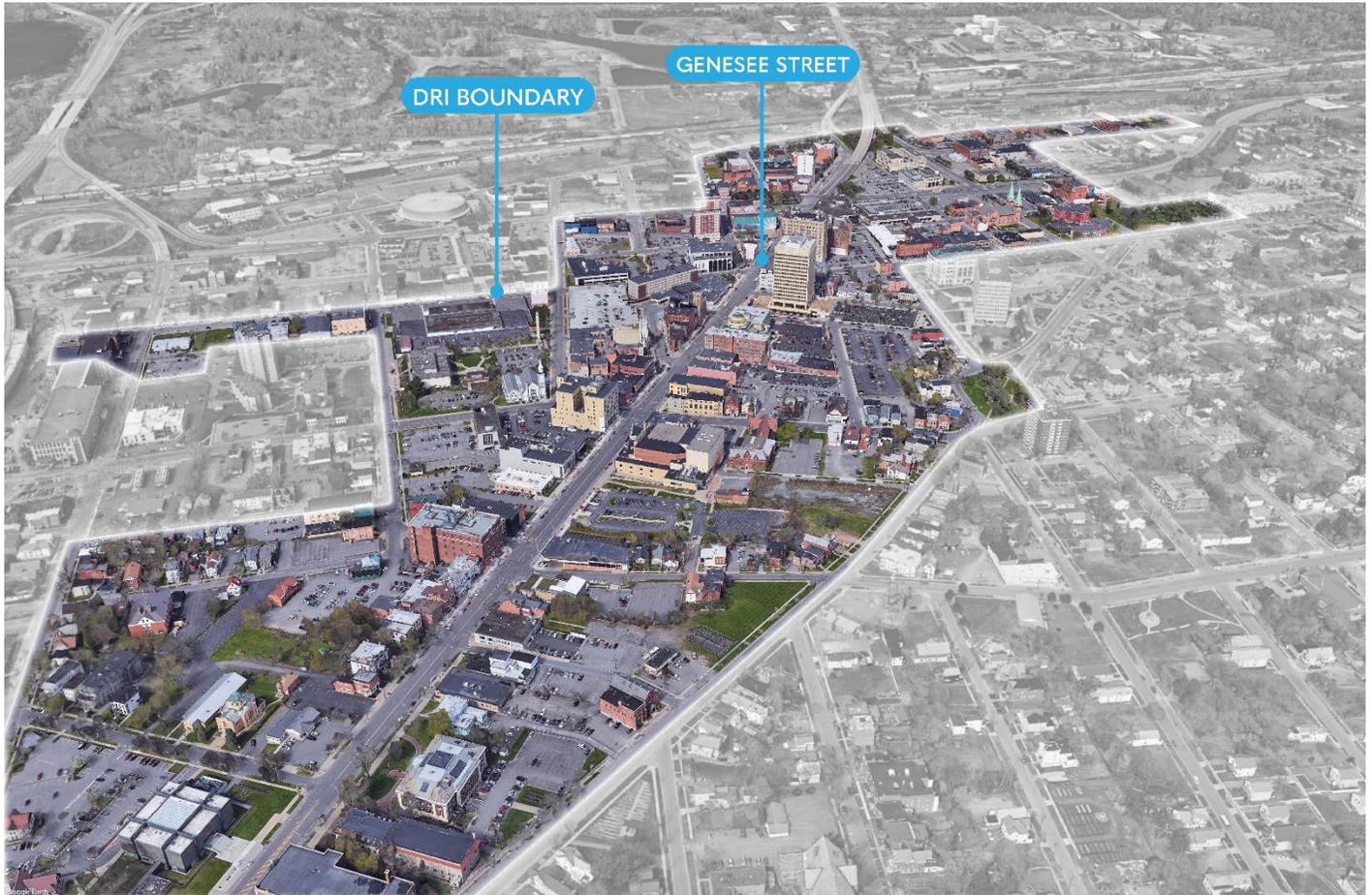




City of Utica Downtown Revitalization Initiative Business Assistance Fund Application



**APPLICATIONS MUST BE RECEIVED ON OR BEFORE:
August 31, 2022 BY 5:00 PM**

Applications may be emailed to baf@cityofutica.com or delivered to the
Department of Urban & Economic Development
Utica City Hall, 1 Kennedy Plaza, 2nd Floor, Utica, NY 13502

FUND OR APPLICATION QUESTIONS?
Contact baf@cityofutica.com or call (315) 792-0181



The City of Utica is offering Business Assistance Funds to eligible projects that enhance and strengthen the Downtown Revitalization Initiative area. Immediate goals of this investment in the DRI area include streetscape enhancements, historic preservation projects, and increased business and economic activity. Long-range goals include increased property values and property tax revenues, the creation of more job opportunities, the attraction of new businesses and residents to downtown, and ongoing, sustained vibrancy within the downtown neighborhood.

APPLICANT ELIGIBILITY - Applicants who are eligible for DRI assistance include property and business owners that are:

- Individual
- For-profit entity
- Not-for-profit entity
- Current on property taxes owed to City of Utica, City of Utica School District, and County of Oneida
- Free of open building code violations
- Property/business located within the City of Utica's DRI designated boundary
- Property is designated commercial or mixed-use (commercial & residential units)
- The applicant is able to finance the entire project and await reimbursement upon project completion

ELIGIBLE ACTIVITIES

- Purchase permanent commercial business equipment
- Complete interior and exterior building improvements
- Install new signage

ELIGIBLE COVID ACTIVITIES

- Reconfigure existing facilities to encourage reduced density;
- Redesign/install air filtering or ventilation systems;
- Equipment or software required to increase business capacity and efficiency in post-COVID climate, e.g. online sales, POS systems. One-time only purchases, subscriptions or membership fees are not eligible for reimbursement;
- Fixtures and equipment to partition customers, guide social distancing or provide contact-less sales opportunities;
- Interior and exterior improvements to support adjusted business practices, e.g. pick-up windows, outdoor seating areas;
- Personal Protective Equipment (PPE) *(PPE is considered an incidental expense. Generally, no more than 20% of the request or \$5,000, whichever is lower, can be awarded for PPE expenses).

INELIGIBLE ACTIVITIES

- Ineligible uses of funds include: acquisition costs; new construction (including in-fill buildings); improvements to structures owned by religious or private membership-based organizations; or improvements to municipally owned and municipally operated buildings; furnishings, appliances, electronics, tools, disposable supplies, non-permanent fixtures, temporary artwork.
- Funds may not be used for site work or ancillary activities on a property including but not limited to: septic systems/laterals, grading, parking lots, roofs, water/gas/electric service, boilers/furnaces,



sidewalks, patios, decks, garages, sheds, landscaping, fences, free standing signs, general maintenance or repairs.

- Ineligible COVID-related activities include: inventory, rent or lease expenses, working capital or other undefined expenses, general or disposable supplies beyond PPE as outlined above and other expenses that do not sustain business operations.

AVAILABLE FUNDING

Activity Limits and Match Requirements

The City of Utica will award up to \$70,000 in grant funds per property with a \$10,000 match from the applicant. Project funds may be used for all eligible activities as described above, with the opportunity for an additional \$25,000 per residential unit constructed or rehabilitated up to a per building maximum of \$112,500, with a \$7,500 match from the applicant. For COVID-related projects, the minimum request to be considered will be \$5,000 with a maximum of \$15,000 per property. No match is required for COVID-related projects.

Match requirements must be realized on a project-by-project basis and are calculated using the total project cost. A 12.5% match is the minimum required (or 6.25% match for mixed-use projects including a minimum of two [2] residential units), however, higher matches over will be considered more favorably during the review.

An in-kind match is not eligible.

Costs incurred prior to the effective date of the grant agreement between the City of Utica and the Project Sponsor are not eligible for reimbursement and are not eligible as a match.

COVID Expenses: In order to receive funding for COVID-related improvements, the following will be provided:

- Impact of COVID-19 on the participating business or property owner;
- Need for funding; and
- Explanation of how the investment impacts the sustainability and resiliency of the business or property. Small projects are unlikely to demonstrate long-term viability.

Soft Costs

Eligible soft costs include Architecture, Engineering, and Environmental Testing expenses. Soft costs require matching funds, and an in-kind match is not eligible. Soft costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with DRI funds. Therefore, reimbursements for soft costs may not be requested as part of a partial payment prior to project completion.

Proof of Available Financing

Project Sponsors are responsible for the total cost of the project. Grants will reimburse Project Sponsors at the conclusion of the project after all costs are paid. Proof of available financing through cash in the bank, secured loan commitments, and/or project lines of credit is required.

Payment Process

The Business Assistance Fund operates as a reimbursement grant program and the Project Sponsor is responsible for paying for all agreed-upon improvements up front. Payment of grant funds will be made



only upon satisfactory completion of the items in the approved scope of work and receipt of renovation expenses.

No reimbursement shall be paid to the Project Sponsor until periodic inspections of the work have been completed by the City of Utica or its representative. All completed work shall comply with all applicable building codes and standards.

To substantiate work costs, Project Sponsors must provide the following:

- Written contracts;
- Bank documents;
- Copies of invoices for materials and labor;
- Canceled checks;
- Lien releases;
- Signed City of Utica voucher;
- Any other documents deemed reasonably necessary by the City of Utica or required by HTFC to maintain effective internal controls.

Cash payments/cash receipts are not permitted and will not be reimbursed.

APPLICATION AND PROJECT SCORING

Applicants and projects will be evaluated in four (4) major categories to determine the impact they will have within the target area. Projects will be scored based on the following criteria:

	Total Point Value
Readiness - Projects that provide proof of overall feasibility and readiness such as proof of ownership, documentation that 100% of the financing for the project is in place, and a reasonable construction timeline.	35 Points
Physical Impact - Projects that are visually prominent downtown, have historic value, are in danger of being lost, bring existing properties into compliance with design guidelines, that are transformative beyond normal maintenance.	30 Points
Economic Impact - Projects leveraging Business Assistance Funds with private investment that with the assistance of grant funds, will reduce blight and vacancies, contribute to the economic recovery of the target area, or realize a stabilization or expansion of the downtown tax base, businesses and/or jobs.	25 Points
Quality of Life - Projects including renovation of upper floor residential units, including energy efficiency or accessibility improvements.	10 Points
TOTAL POINTS	100



APPLICATION FOR FUNDING

Eligibility Requirements:

- Current on property taxes owed to City of Utica, City of Utica School District, and County of Oneida
- Free of open building code violations
- Property located within the City of Utica’s DRI designated boundary
- Property is designated commercial or mixed-use (commercial & residential units)
- Property is not receiving additional DRI funding
- The applicant is able to finance the entire project and await reimbursement upon project completion

APPLICANT INFORMATION:

Applicant Name(s): _____

Applicant Address: _____

Daytime Phone Number: _____ Email Address: _____

Property Owner Name: _____

Property Owner Address: _____

Property Owner Phone: _____ Property Owner Email: _____

Are you:

- Individual Corporation Not-for-Profit

Do you:

- Owner of the building Lease the building Lease a portion of the building

Proposed Improvements (Select all that apply):

- Equipment Interior Improvements Exterior Improvements
 New Signage COVID-19 Adaptation

PROPERTY AND BUSINESS INFORMATION:

Property Address: _____ Tax Map # _____

This property is within the DRI Target Area (see [DRI Map](#)): YES NO

Name of Business (if applicable): _____

Business Date of Opening (if applicable): _____



Please explain how the proposed project addresses the goals of the DRI Strategic Investment Plan and project selection criteria, and how you think this project will contribute to the transformation of Downtown Utica:

EQUIPMENT

Please describe the proposed use of funds for the purchase of permanent commercial business equipment:

COVID-19 PREVENTION AND RECOVERY ACTIVITIES

Please describe the proposed use of funds to prevent and recover from the impacts of COVID-19:

PHOTOS/DRAWINGS/RENDERINGS/EXAMPLES

Please attach to the application any photos, drawings, renderings, examples, etc. of your proposed project (if available).



PROPOSED BUDGET

Please include a proposed budget for all expenses for each proposed project:

	TOTAL ACTIVITY COST	DRI AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE		DOLLAR AMOUNT	LEVERAGED FUNDS CURRENT STATUS
				1			
Architectural Fees	\$	\$	\$	1		\$	
				2		\$	
				3		\$	
Engineering Fees	\$	\$	\$	1		\$	
				2		\$	
				3		\$	
Signage	\$	\$	\$	1		\$	
				2		\$	
				3		\$	
Equipment	\$	\$	\$	1		\$	
				2		\$	
				3		\$	
Construction/ Rehabilitation	\$	\$	\$	1		\$	
				2		\$	
				3		\$	
COVID-19 Adaptation	\$	\$	\$	1		\$	
				2		\$	
				3		\$	
SUBTOTAL	\$	\$	\$	<i>Choose from: Anticipated, Committed, In-Hand, Donated or Requested</i>			
CONTINGENCY (%)	\$	\$	\$				
TOTAL CONSTRUCTION COST	\$	\$	\$				



CERTIFICATION

I certify that all of the information, statements, and representations contained in this application, and in all attachments and supporting material, are, to the best of my belief, true, accurate, and complete.

I acknowledge that all appropriate permits and approvals, site-specific environmental review, and State Historic Preservation Office (SHPO) review, as required for work on historic buildings, must be complete for eligible activities prior to the start of construction.

I acknowledge that, as part of the evaluation process, the City of Utica or its representatives will conduct a site visit to this property and may need access to the interior and exterior of the building.

Costs incurred for work on buildings that eventually prove infeasible and do not receive other investments will not be reimbursed with DRI Business Assistance Funds; therefore, reimbursements for soft costs may NOT be requested as part of a partial payment prior to project completion.

I have read and understand all City of Utica DRI Business Assistance Fund Requirements as outlined in the Program Guide.

Signature of Applicant

Date