

**Village of Herkimer  
Downtown Revitalization Initiative (DRI)  
Small Project Fund Grant Program Application**

This application collects information about you, your property, and the project you are proposing. Please answer all questions as completely as possible. If a question does not apply, write "N/A."

If you need assistance completing this application, please contact the program administrator before submitting.

Project No. 20250559  
Administered by **Herkimer County Industrial Development Agency**  
Funded through the **New York State Homes & Community Renewal**

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**SECTION 1 – Applicant Information**

Provide basic information about the person or organization applying for funding.

**1. Legal Name of Applicant**

Full legal name of the individual or organization applying for the grant.

**2. Business Name (if different)**

If you operate under a business or trade name, list it here.

**3. Business Structure**

Example: Sole Proprietor (one individual owner), LLC (Limited Liability Company), Corporation, Partnership, Nonprofit Organization, Other.

**4. Federal EIN and DUNS / UEI Number (if available)**

Please enter your organization's **Employer Identification Number (EIN)** and **DUNS or UEI number**, if applicable. These identifiers are typically used for organizations that receive public funding.

**5. Physical Project Address**

Address where the project will take place. *The project must be located within the designated DRI boundary.*

**6. Mailing Address (if different)** Where official correspondence should be sent.

**7. Primary Contact Name & Title, Phone Number, Email Address**

Provide the name, title, phone number, and email address of the person responsible for the project and available to answer questions.

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## **SECTION 2 – Property & Site Information**

Provide information about the building or property where the project will occur.

### **1. Property Owner Name**

If the applicant is not the property owner, list the owner’s name.

### **2. Is the applicant the property owner?**

Yes

No – If no, attach a **notarized owner consent form** allowing the project.

### **3. Current Use of Property**

Example: retail store, vacant commercial space, office, residential apartments, restaurant, etc.

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## **SECTION 3 – Project Description**

Describe the improvements you plan to complete with grant funding.

### **1. Project Title**

Provide a short, descriptive title (example: “Main Street Façade Restoration”).

### **2. Activity Type & Award Limits**

Select applicable category and briefly explain the project category:

- **Building Renovation (\$25,000–\$150,000):** Funds may be used to renovate façades, storefronts, and commercial interiors.
- **Minor Exterior Projects (\$10,000–\$25,000):** Eligible activities include signage, awnings, and painting.
- **Small Business Assistance (\$5,000–\$50,000):** Funds may be used for the purchase of permanent machinery and equipment.

### **3. Project Summary (250–500 words)**

Provide a clear and concise summary that explains:

- What improvements will be made
- How the building will be used after the project is completed
- How the project will benefit the downtown area
- Why the project is important to the community

### **4. Scope of Work**

Select all improvements included in the project:

Façade improvements (windows, doors, exterior repairs, storefronts)

Commercial interior renovations

- Building code compliance upgrades
- Accessibility improvements (ADA)
- Energy efficiency upgrades
- Building systems (HVAC, plumbing, electrical)
- Signage
- Streetscape elements
- Residential Unit Renovations
- Other: \_\_\_\_\_

**Detailed Description Required –**

**Ineligible Activities:**

- Funds may not be used for property acquisition; improvements to religious, private membership, or municipally owned buildings; non-permanent items (e.g., furnishings, equipment, temporary fixtures); site work (e.g., parking lots, landscaping, grading); business operating expenses (e.g., rent, inventory, working capital); or labor by the applicant, staff, family, or in-kind contributions.

**Eligible Activities:**

- Funds may be used for interior and exterior building renovations for commercial or mixed-use spaces (including façades, signage, awnings, interior fit-outs, and HVAC/MEP systems), residential unit renovations, upper-story residential improvements, and permanent building upgrades. Eligible costs also include qualifying commercial machinery and equipment, design and reuse planning, soft costs (architectural, engineering, environmental), and public art.

Provide detailed information about the proposed work, including:

- Materials used
- Approximate dimensions or quantities
- Contractors (if known)
- Construction timeline

**5. Project Readiness**

Is the project prepared to proceed? (For example: design completed, contractor estimates obtained, and required permits identified or secured.)

Yes  No

**6. Anticipated Start Date**

**7. Anticipated Completion Date**

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**SECTION 4 – Project Budget & Funding Sources**

Provide a clear estimate of project costs and funding sources.

**A. Total Project Cost**

Category	Estimated Cost
Construction	\$
Design / Engineering	\$
Equipment	\$
Contingency	\$
Other	\$
<b>TOTAL PROJECT COST</b>	<b>\$</b>

Attach **proof of funding**, such as:

- Bank letter
  - Loan commitment
  - Account statement
  - Grant award letter
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**B. DRI Small Project Grant Request**

Amount Requested: \$ \_\_\_\_\_

**Note:**

Grant funding is **reimbursement-based**, meaning project expenses must be paid upfront and will be reimbursed after approval. Up to 75% of the total eligible project costs may be reimbursed through the DRI grant.

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**C. Acknowledgement**

The applicant acknowledges that a 25% match of the total project cost is required and is not eligible for reimbursement through the DRI grant. The applicant further confirms responsibility for securing and providing these funds to complete the project.

Applicant acknowledges

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**SECTION 5 – Economic & Community Impact**

Explain how your project benefits the community.

**1. Will this project create jobs?**

Yes  No

If yes:

Full-time jobs created: \_\_\_\_\_

Part-time jobs created: \_\_\_\_\_

**2. Will the project activate currently vacant space?**

Yes  No

**3. Estimated Private Investment Leveraged**

\$ \_\_\_\_\_

**4. How does the project support DRI goals?**

Select all that apply:

- Strengthens downtown economy
- Improves building conditions
- Enhances walkability
- Supports small business growth
- Improves housing opportunities
- Other: \_\_\_\_\_

Provide a short explanation describing the project’s community impact.

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**SECTION 6 – Compliance & Certifications**

Applicants must acknowledge the following program requirements.

**1. Environmental Review (SEQRA)**

Projects cannot begin until environmental review is completed in accordance with New York State law and notice to proceed has been provided by HCR. Soft costs include environmental testing costs and require match.

Applicant acknowledges

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## 2. Procurement Requirements

All projects must comply with applicable state and/or county **competitive bidding and procurement requirements**. This includes all project costs funded with DRI funds and any costs used to meet required matching funds.

Applicant acknowledges

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## 3. Acknowledgement of Procurement Process Management

By submitting this application, the applicant acknowledges and understands that the IDA will manage and oversee the complete procurement process for any awarded project. The applicant agrees to comply with all applicable procurement requirements, procedures, and guidelines as established by the IDA.

The applicant further understands that all procurement activities related to the project must be conducted in coordination with, and as directed by, the IDA

Applicant acknowledges

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## 4. MWBE & SDVOB Participation

Applicants must make **good faith efforts** to work with:

- Minority- and Women-Owned Business Enterprises (MWBE)
- Service-Disabled Veteran-Owned Businesses (SDVOB)

Applicant acknowledges

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## 5. Insurance Requirements

Applicants may be required to maintain insurance and name **Herkimer County as additional insured**.

Applicant acknowledges

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## 6. Reimbursement-Based Funding

Applicants understand that:

- This is a **reimbursement grant**
- Work **cannot begin prior to receiving a Notice to Proceed**
- All expenses must be documented and approved

Applicant acknowledges

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## 7. Maintenance Requirements

Applicants agree to maintain project improvements for the time period specified in the grant agreement. The applicant acknowledges that repayment of funds may be required if maintenance requirements are **not** satisfied.

Applicant acknowledges

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### **SECTION 7 – Required Attachments**

Submit the following documents with your application:

- Current property photos
- Concept drawings or renderings
- Contractor estimates (minimum of two if required)
- Proof of site control (deed or lease)
- Property owner consent form (if applicable)
- Proof of funds
- Certificate of good standing (for business entities)
- Insurance certificate (if available)
- Completed W-9 form

Incomplete applications may delay review.

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### **SECTION 8 – Applicant Certification**

By signing below, the applicant certifies that all information provided is accurate and complete.

Submission of this application **does not guarantee funding**. All awards are subject to review, approval, and execution of a formal Grant Agreement.

Applicant Signature: \_\_\_\_\_

Name (Printed): \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

All projects must comply with applicable state and/or county **competitive bidding and procurement requirements**. This includes all project costs funded with DRI funds and any costs used to meet required matching funds.  Applicant acknowledges

Figure 11: DRI Boundary Village of Herkimer

