

Schedule B
Downtown Revitalization Initiative Administrative Plan
City of Plattsburgh
Fund for Downtown Residential, Retail and Hotel Improvements

SHARS ID: 20170233

Section 1. General Information

1.1 Preface

The funds in our Downtown Grant Program (DGP) originated from the one-time Downtown Revitalization Initiative (DRI) infusion, provided on behalf of Homes and Community Renewal (HCR) and the Housing Trust Fund Corporation (HTFC) of New York State.

1.2 Objectives/Statement of Purpose

The Downtown Grant Program has been developed to provide resources to stimulate investment and economic development through projects that align with the greater DRI vision.

This flexible funding mechanism enables property and business owners to make major renovations and restorations to existing retail, commercial, and residential properties Downtown and to create new Downtown destinations to spur additional Downtown visitation. It strives to increase quality, year-round occupied housing stock by creating or converting vacant or underutilized upper story space into new residential units. It also aims to improve food access for the residents of the City of Plattsburgh. Ultimately, a population of people living Downtown will help foster the revitalization of Downtown through increased spending that will come from increased foot-traffic and proximity to Downtown businesses.

All assistance provided by the DGP will be in the form of reimbursable grants.

1.3 Target Area

All properties eligible for DGP funding must be located within the defined DRI area. The DRI area boundaries include Oak Street on the west, Cornelia Street to City Hall Place on the north, Jay Street on the east, and Hamilton to Broad Street on the south in the City of Plattsburgh (see map on cover page).

Section 2. Administrative Structure

2.1 Overall Structure

The Downtown Grant Program will be administered and overseen by:

- (a) **Community Development Office** – Will be the lead administrator of the program. The CDO will review all applications for completeness and compliance with all federal, state, and local laws. Will be responsible for all transmittals to the Housing Trust Fund Corporation. Will present project applications to the Grant Review Committee and City Common Council as appropriate. Will be responsible for mediating disputes. The CDO will refer to other City departments for advice and guidance as necessary. Examples of such referrals include, but are not limited to: Building Inspector's Office, Engineering Department, and Department of Public Works.
- (b) **Grant Review Committee** – Will be responsible for merit review of all applications to the DGP and make funding recommendations to the City Council.
- (c) **City of Plattsburgh Common Council** – Will have final authority regarding local approval of all grant funding requests following review and recommendation from the Grant Review Committee.
- (d) **Housing Trust Fund Corporation** – Will review project applications to ensure completeness and eligibility for funding and provide approval to proceed with activities.

2.2 Grant Review Committee—Membership

The Grant Review Committee shall be composed of five (5) members chosen by the CDO. The Grant Review Committee shall exist and operate until DGP funds are extinguished. Members of the Grant Review Committee shall serve terms of one (1) year after which they may be reappointed to an additional term of one (1) year at the discretion of the CDO.

The committee shall seek to be comprised of individuals in the community and will strive to attract individuals from a wide range of backgrounds including but not limited to:

- (a) Banking
- (b) Business Management
- (c) Real Estate
- (d) Non-Profits
- (e) Arts
- (f) Engineering/Architecture

2.3 Grant Review Committee—Chairperson and Other Officers

The Chairperson of the Grant Review Committee shall be nominated and voted upon by the committee itself.

A Vice-Chairperson will also be nominated and voted upon by the committee to fulfill the Chairperson's duties in case of absence.

2.4 Grant Review Committee—Authority

The Grant Review Committee will review applications to the DGP, and within the policies of this document, make funding recommendations to the City of Plattsburgh Common Council.

Only the City of Plattsburgh Common Council has authority to approve or deny funding requests following a recommendation from the review committee. Funding recommendations from the Grant Review Committee shall be considered carefully but shall not be binding upon the Common Council.

In the event an application for funding is submitted by the City of Plattsburgh, the Common Council of the City of Plattsburgh shall be permitted to approve or deny that funding request without receiving a recommendation from the Grant Review Committee and the Grant Review Committee shall not be obligated to review the application.

2.5 Grant Review Committee—Voting and Quorum

Recommendations for grants should be approved by a majority of members present and voting. Quorum shall be recognized if three (3) or more members are present and voting.

2.6 Grant Review Committee—Conflicts of Interest

Minutes of all meetings of the Grant Review Committee will be taken and provided in an accessible format to the Community Development Office. Further policies and procedures on conflicts of interest shall be addressed in Section 5.4.

Section 3. Marketing Plan

3.1 Public Outreach

To ensure the success of the DGP, the Community Development Office will actively conduct outreach to the public. This outreach is to make all property owners and business owners aware of the availability of financial assistance available. Examples of such outreach may include but is not limited to:

- (a) Canvassing

- (b) Public Meetings
- (c) Social Media
- (d) Other promotional materials; i.e. brochures, pamphlets, flyers

3.2 Informational Material

Informational materials such as flyers and brochures will be produced and distributed to downtown businesses. These informational materials will be made freely available to the Downtown Small Business Association, Clinton County Chamber of Commerce, The Development Corporation, Clinton County Industrial Development Authority, and other interested parties.

3.3 Instructions and Application Availability

Instructions and applications for the program will be available in hard-copy format at the City of Plattsburgh Community Development Office. Digital versions will be posted online on the City website.

Instructions and applications will also be disbursed during canvassing and during public informational meetings.

3.4 Public Informational Meetings

The City of Plattsburgh will host public meetings to allow for the presentation of the program and to answer any questions. Examples of such meetings may include:

- (a) **Kick-Off Meeting** – Will be held once the program is finalized and applications are available. This meeting will be used as an introduction to the program and allow for Q/A session with the community.
- (b) **On-Going Assistance** – Community Development Office staff will be available, by appointment, Monday - Friday 8:00 AM - 4:00 PM in City Hall to answer any DGP questions or assist with applications.

3.5 Outreach Record Retention

The Community Development Office will retain distribution lists, public notices, and other documentation of marketing and outreach efforts in program files.

Section 4. Eligibility and Financing Structure

4.1 Eligible Applicants

Eligible applicants include owners of commercial buildings, properties, and/or businesses within the target area. Examples of such eligible applicants may include:

- (a) Retail businesses;
- (b) Commercial businesses;
- (c) Service businesses (i.e. Restaurants, Salons, etc.);
- (d) Industrial businesses;
- (e) Rental property owners;
- (f) Owner occupied housing—multi-unit residential.
- (g) City of Plattsburgh

All applicants must be non-delinquent in City tax or utility payments to qualify for funding. The property to benefit from funding must be compliant with building code or demonstrate compliance by the end of the project except in the case of an application submitted by the City of Plattsburgh.

4.1.1 Ineligible Applicants

Ineligible applicants will be defined as owners of commercial buildings and/or businesses that will not be considered for funding by the DGP. Examples of such ineligible applicants include:

- (a) Bars, Taverns, Liquor Stores, or establishments that primarily sell alcohol;
Up to the discretion of the Community Development Office
- (b) Adult entertainment establishments;
- (c) Single family dwellings;
- (d) Franchised food or retail;
- (e) Religious-based organizations;
- (f) Private membership-based organizations except those that improve food access for City of Plattsburgh residents;

4.2 Eligible Projects

Program funds may be used for construction projects, technical assistance, and necessary soft-costs. Eligible projects may include but are not limited to:

- (a) Creation of high-quality* Downtown residential, rental units in upper stories of mixed-use buildings;
**Units created need to be of superior quality, design, and functionality. The goal of the program is to create safe, high quality units with ample space and accommodations. These units are to be permanent and occupied year-round.*
- (b) Repair, rehabilitation, and conversion of existing vacant or underutilized upper-story units to meet above criteria for residential, rental units which may include but is not limited to:
 - a. Interior work to the upper stories of the structure
 - b. Window replacement or rehabilitation
 - c. Finish work and cabinetry which are permanently affixed to the unit
 - d. Sprinkler systems and fire suppression systems
- (c) Façade improvements to include, but not limited to:
 - a. Lighting
 - b. Signage
 - c. Awnings
- (d) Redevelopment and improvements to current ground-floor retail space as well as to underutilized properties and sites, particularly these sites that will improve food access and spur additional downtown visitation;
- (e) Technical Assistance Projects* to:
 - a. Increase an applicant's readiness to apply for Downtown Grant Program or other similar building renovation funding.
**Technical Assistance projects must be well-defined, discrete projects. Applicants will not be able to apply for a technical assistance project and a construction project concurrently.*
- (f) Soft costs such as: planning, build permit, engineering fees, architectural, or design work.

4.2.1 Ineligible Projects

Ineligible projects will be defined as projects that are not eligible for funding by the DGP. Examples of such ineligible projects include:

- (a) Creation of retail space in upper stories;
- (b)
- (c) Demolition or alteration of historic façade, if applicable;
 - a. Removal of, covering of, or obscuring of historic elements or materials
- (d) Appliances which are not permanently affixed to the structure;
- (e) Refinancing existing debt;
- (f) Reimbursing owner for money invested in project prior to approval of funds;
- (g) Gap or bridge loans.

4.3 Financing Options

The amount of grant assistance is to be determined on an individual basis however, the DGP will reimburse 90% of total project cost not to exceed \$250,000. The remaining portion of the project will be financed (matched) by the applicant through private funds, public funds, or a combination of the two. In-kind labor will not qualify as a match or for reimbursement. Projects with a total cost in excess of \$250,000 shall be eligible for grant assistance but reimbursement shall be limited by the terms of this Section.

Use of the City's EDRLF is encouraged as a source of matching funds or for gap-financing; however, it is important to note that use of EDRLF monies requires abiding by income caps, job creation, and other Housing and Urban Development grant program specific requirements.

4.4 Grant Approval Criteria

The Grant Review Committee and City of Plattsburgh Common Council will consider and evaluate all applications on a case-by-case basis to determine the overall effect of the project on the desired target area. The DGP will operate until funds are extinguished; therefore, the DGP is a first-come, first-served funding mechanism. Projects that strive to increase overall economic vitality and achieve the desired goal of the program fund and larger DRI initiative will be more likely to be approved for funding. At project completion, any residential units should be 100% ready to accept new tenants and will have received their certificate of occupancy. Examples of projects which will be more likely to be approved for funding include:

- (a) Those which partake in major, restorative renovations of existing buildings;
- (b) Those which create market-rate residential, rental units in vacant or underutilized upper-level properties;
 - a. No portion of residential units renovated will remain vacant, underutilized, or in disrepair
- (c) Those which encourage permanent, year-round residency Downtown in upper-level properties;
 - a. Measured by high-quality* units available for residents following project completion.
*Designs/design finish will be subject to approval.
- (d) Those which have or will be renovating the building façade and exterior of the building;
 - a. Priority given to façade work that faces the public right away and is clearly visible
- (e) Those which utilize an energy efficient design;
- (f) Those which improve interior conditions of existing rental units;
- (g) Those which improve food access for City of Plattsburgh residents;
- (h) Those which create a new downtown destination and attract a significant number of visitors to Downtown Plattsburgh.

4.5 Regulatory Requirements and Repayment Provisions

Property and business owners are required to maintain property assisted with DGP for the required regulatory period of five (5) years from the date of project completion. Project completion will be defined as the date of the final inspection and must be documented with a final inspection report. During this period, the property shall be maintained in good operating order and condition with all necessary repairs, replacements, additions, and improvements being made promptly. Furthermore, during this period the owner shall not sell, move, or demolish the property.

The City of Plattsburgh will monitor projects funded by the DGP for the duration of the five-year enforcement period. The City will periodically inspect assisted property, and will conduct any inspections directed by the HTFC. In cases of non-compliance and corrective action is not satisfactory, the recipient of DGP funds will be required to repay all funds.

If conditions within this agreement are broken, the grant award required repayment schedule will be calculated in accordance with the following schedule:

Months 0-12:	100% repayment due.
Months 13-24:	80% repayment due.
Months 25-36:	60% repayment due.
Months 37-48:	40% repayment due.
Months 49-60:	20% repayment due.
Months 60 and beyond:	0 % repayment due.

The program participants will be made aware of the maintenance responsibilities and repayment schedule for non-compliance early in the application process and will be required to complete a DGP Property Maintenance Declaration Form, which will be filed publicly with the Clinton County Clerk’s Office.

4.5.1 Security

To ensure that applicants abide by the terms of the DGP set herein, all grants will be required to be personally guaranteed, jointly and severally, by the principals of the owner. This requirement shall not apply when the applicant is the City of Plattsburgh.

4.6 Payment Process

The DGP program operates fully as a reimbursement program and payment will be made only upon satisfactory project completion and pending adherence to all DGP terms and conditions set herein. All interim financing will be provided by the property owner. If approved, the grant funds will reimburse the awarded applicant at the conclusion of the project after all costs of the project are paid and proper documentation is provided. Invoices will be submitted to the City which reflect the name of the contractor, work completed, and amount invoiced.

4.6.1 Pre-Payments

The City of Plattsburgh will not authorize any prepayments for construction work. Any costs incurred by the owner prior to the approval of grant funding are not eligible for reimbursement and cannot be counted as a match.

4.6.2 Frequency of Draws and Retainage Requirements

Because the DGP is a reimbursement program, there will be no requirement for retainage.

The number of draws on a particular project will be kept to a minimum. Generally, it is expected that there will only be one request for reimbursement, after the work is completed.

4.6.3 Change Orders

Any unforeseen additional work required to complete the project will require written permission by the Community Development Office. The contractor, property owner, and Community Development Office staff will determine and agree if the additional work is necessary.

If substantive changes to the Scope of Work are deemed necessary, resubmission to the City Council for approval will be required. Substantive changes to the Scope of Work will be defined as changes that (i) vary from the proposed final design/layout or functionality of the project outlined in the Grant Application; (ii) amount to a revision in or near exceeding ten percent (10%) or \$5,000, whichever is lowest; (iii) or at the discretion of the Community Development Office. Work shall not begin on the revised services until approval is granted by City Council.

4.6.4 Final Payment

The final payment will be issued when 100% of the substantial work has been completed and the final inspection is documented.

Section 5. Project Review & Selection Process

5.1 Application, Review, and Approval Overview

The DGP is, generally, a four-step process which includes an application, local review, Housing Trust Fund Corporation (HTFC) review, and approval.

- (a) Applications are processed through the Office of Community Development.
- (b) Applications are reviewed by the Grant Review Committee. Recommendations for approval are submitted to the City Common Council.
- (c) The Common Council votes to approve funding assistance.
- (d) Approved project information is transmitted to HTFC for final review and approval; HTFC may request additional information or clarification.
Approved project will be required to undergo an Environmental Review.

Applications for DGP capital projects will be available for Round One funding during a period to be determined and specified by the CDO. Applications must be submitted and deemed complete by the CDO prior to the determined close date to be eligible for funding. Subsequent rounds will be opened if DGP funds remain available.

Technical Assistance funding is available to assist projects that will directly improve a property owner's capacity or readiness to apply for future DGP or other funding opportunities. Awards will be made on a rolling basis and applications will be accepted until all available funding is committed.

5.2 Grant Approval Process

The entire application, review, and approval process from start to finish entails:

- (a) Commercial property owner, business owner, or other eligible applicant will be able to clearly outline and articulate their request for funding.
- (b) The eligible applicant prepares a complete grant application with all necessary supporting documentation.
- (c) The Office of Community Development reviews the application and supporting documentation. Once the application is deemed complete, the application will be submitted to the Grant Review Committee.
- (d) The Grant Review Committee will interview the applicant or request additional information if deemed necessary. A recommendation for approval or disapproval will then be rendered and sent to the applicant and Common Council. If the applicant is the City of Plattsburgh the Common Council may vote to approve or deny the application for funding without a recommendation from the Grant Review Committee.
 - a. If the Grant Review Committee does not recommend the application for funding, the applicant may still choose to place the application before the Common Council for a vote. To do so, within two (2) weeks of receiving the Grant Review Committee denial letter, the applicant must submit a written request to the CDO. The CDO will then request that the Common Council place it on the weekly agenda for consideration, inclusive of the Grant Review Committee's rationale for denial and all other supporting documentation.
- (e) Projects will be required to undergo an Environmental Review. Environmental Review will include, but is not limited to, SEQR/SHPO review. If applicable, projects involving construction will be subject to Planning Board and Zoning Appeal Board review before proceeding.
- (f) The Common Council will vote to approve the application. If assistance is approved, the project information will be transmitted to HTFC for completeness review and project eligibility for funding.
- (g) HTFC will review the project for eligibility and may request additional information or clarification. If HTFC deems the project is eligible for funding, the project information will be added to their database and approval will be emailed back to the DRI community.
- (h) Once approval is received from HTFC, the applicant will receive grant documents and contracts to be signed. Once the grant is closed, the monies will be made available for reimbursement.
- (i) Until the project is completed, the applicant will be required to report information and allow inspections to assure compliance with the terms of the grant. Inspection requirements are laid out further in this document.

5.3 Application Requirements

The documents required to be submitted for the grant application to be considered may include but are not limited to:

- (a) Grant application
- (b) Personal financial statements for the principals, if applicable. Principals are persons with a 20% or greater share of profits and losses in the business.
- (c) For existing, expanding businesses, the previous three (3) years: tax returns, profit and loss statements, and a balance sheet.
- (d) For new and expanding businesses: a description of the business plan, a statement showing the source and use of funds, cash flow projections for three (3) years, profit and loss projections for three (3) years, and pro forma year-end balance sheets for three (3) years.
- (e) Current rental rates of each unit to be repaired, rehabilitated, or renovated with grant funds.
- (f) Monthly rental projections for each future unit to be created or repaired, rehabilitated, or renovated with grant funds.
- (g) Current and future number of rental units available in building to benefit from grant funds.

- (h) Current occupancy rate (total # and %) of building to benefit from grant funds. Projected future occupancy rate (total # and % of units) after completion of desired project.
- (i) Plan to ensure permanent, year-round occupancy of units.
- (j) Proof of building/property ownership.
- (k) Personal guarantees, jointly and severally, for all principals, if applicable.
- (l) DGP Property Maintenance Declaration Form.
- (m) The lease for the rental properties, if available, or the lease for the property where the business is located.
- (n) Organizational documents for the business or rental property owner, i.e. a filed DBA certificate, Articles of Incorporation, By-Laws, Operating Agreement and resolutions for LLC's and LLP's.
- (o) Additional documents may be required if the project involves funds to renovate real property.
- (p) Additional information may be required. Proof of worker's compensation, NYS disability insurance, and casualty insurance on collateral naming the secured party (City of Plattsburgh) will be required.

5.4 Commitment Fee

Following the approval/award of grant funds, each applicant must provide a commitment fee—not to exceed \$750—with his or her signed commitment letter. The commitment fee will be determined by the Community Development Office and will be used by the City to pay for required work such as environmental site contamination testing. The amount of each commitment fee will vary depending upon the scope and size of the project, including the price of environmental site contamination testing. The paid commitment fee will be nonrefundable and will not be counted toward the match requirement. The requirements of this Section shall not apply when the applicant is the City of Plattsburgh.

5.5 Conflicts of Interest

Members of the Grant Review Committee shall recuse themselves from taking part in any discussion or voting on any applications for grant funds for which they are the applicant or will benefit from awarded grant funding in any way, perceived or otherwise.

Members of the Grant Review Committee are required to proactively reveal any conflict of interest that may exist regarding grant applications. Members having such a conflict will take no part in discussion nor will they vote on that application. Conflicts of interest will be recorded in the minutes of the Grant Committee.

If an applicant feels as if there is a conflict of interest during any phase of the process, they are encouraged to report it to the City promptly.

Article 18 of the NYS General Municipal Law will be abided by at all times.

Section 6. Procurement

6.1 Procurement Guidelines

The process below outlines the DGP procurement guidelines for competitive bidding. All capital projects approved for funding by the DGP will follow and adhere to the competitive bidding criteria outlined herein and within the adopted City of Plattsburgh Procurement Policy.

6.1.1 Bid Process

All DGP projects involving contracting work, contractor estimates, and proposals shall be solicited through a bidding process that abides by Section 103, of Municipal Law which includes the following elements:

- (a) Bid specifications will be developed by the CDO and property owner for the commodity/services required for the project, as per the formal scope of work.

- (b) Legal notice shall be published in a newspaper of general circulation, at least fourteen (14) days prior to the public bid opening, which indicates that (i) bids are being solicited; (ii) copies of the bid documents may be obtained in City Clerk’s office; and (iii) the date and time by which bids must be received.
 - a. Advertising for contractor bids for all projects will be published in accordance with law in the Press-Republican, the City’s official newspaper.
- (c) Bid solicitation will be a free, open competitive process. Every effort will be made to solicit female and minority owned businesses. All award recipients and contractors are required to comply with the Equal Employment Opportunity provision of Article 15A of the New York State Executive Law.
- (d) Bids will be received and then opened in the public by the City Clerk or his/her designated representative.
 - a. The CDO and grant recipient will make every effort to secure at least two (2) bids for each project. Two or more bids are required for each project. If the project’s first bid notice does not result in two bids, it will be rebid.
- (e) Bids shall be reviewed for completeness and conformity to specifications and cost estimates.
- (f) A bid tabulation form will be completed and the applicant will select the lowest cost, qualified bid.
 - a. If the grant applicant/property owner rejects the bids and requests the project be rebid, there will be a fee assessed payable by the property owner.
- (g) After the bids have been received and reviewed by the property owner, a recommendation shall be submitted to the City Common Council that the bid be accepted as determined by New York State law that requires the acceptance of the lowest priced, qualified bid.
 - a. If the property owner requests a contractor other than the lowest bidder, it will be the property owner’s responsibility to pay the difference between the lowest bidder and the contractor that they selected. Grant reimbursement will be provided in the amount of the lowest bid.
- (h) The City Council will vote to accept the selected bid.

General procurement guidelines based on cost are seen below, these are derived from the local, adopted City of Plattsburgh Procurement Policy.

Local Procedures for the Purchase of Commodities, Equipment, or Goods:

\$1-1,000	At the discretion of the Purchasing Dept.
\$1,001-3,000	Documented telephone quotes from at least 3 separate vendors (if available)
\$3,001-6,000	Formal written quotes from at least 3 separate vendors (if available)
\$6,001-9,999	Formal written quotes from at least 5 vendors (if available) are required
\$10,000 and up	Sealed bids in conformance with Municipal Law, Section 103. Proper documentation is required when the quote is not awarded to the vendor giving the lowest price. Quotes will be awarded to the lowest responsible and responsive vendor.
Proper documentation, acceptable to the Purchasing Dept. must be given if the required number of quotes cannot be accommodated.	

See item A.1 in the appendix for the full City of Plattsburgh procurement guidelines.

6.2 Design Standards

Section 14.09 of the New York State Parks, Recreation, and Historic Preservation Law of 1980 require publicly-funded projects to be reviewed for their potential impact/effect on historic properties. The CDO will be responsible for submitting building information and proposed project scope of work to the State Historic Preservation Office (SHPO) for review and approval for all interior renovations, exterior renovations, and streetscape activities. If deemed appropriate following review, specified projects must abide by design requirements set forth by the State Historic Preservation Office and Housing Trust Fund Corporation.

All projects must abide by local zone and code enforcement regulations.

The local design guidelines for this project seek to establish uniformity for exterior renovation projects and preserve the unique character and historical heritage of City buildings. These guidelines set a general standard on landscaping, façade renovations, signage, and more. All projects must abide by these local design guidelines.

See item A.2 in the appendix for the full City of Plattsburgh design guidelines.

6.3 Housing Trust Fund Corporation Approval

Projects approved locally will be submitted to the Housing Trust Fund Corporation for a completeness and project eligibility check prior to notifying the property or business owner of formal funding approval. The submission to HTFC will include:

- (a) Property location information
- (b) Business information
- (c) Project scope of work
- (d) Project cost estimate
- (e) Award amount
- (f) Total project cost
- (g) Proposed payment structure
- (h) Projected outcomes; i.e. units assisted, jobs created/retained

Section 7. Project Development

7.1 Environmental and Historical Review

Prior to the commitment or expenditure of program funds, the environmental effects of each activity must be assessed in accordance with the State Environmental Quality Review Act (SEQR). Furthermore, to ensure the impact on eligible or surrounding historic properties are considered and avoided or mitigated, all projects must undergo SHPO review.

All applicants are encouraged to consider energy efficiency programs.

7.2 Work Write-Up/Scope of Work

Once a project application has been formally approved for funding at the local and state level, the property/business owner will be responsible for developing a formal project scope of work and obtaining cost-estimates with guidance from the CDO. The CDO will review all scopes of work and cost-estimates when completed, as well as, explaining program requirements related to design, environmental concerns, and energy efficiency. The CDO is responsible for coordinating review of work write-ups with the City of Plattsburgh Building Inspectors Office, the State Historic Preservation Office, and other regulators. If needed, additional experts and City Departments will be consulted.

All work that must be done for the project should be described on a work item basis, with cost estimates of the actual prevailing cost for comparable projects in the area. It is important that the work write-up be sufficiently detailed to facilitate reasonably uniform proposals and cost estimates from contractors. The work write-up should

detail quantities and make note of special comments regarding construction methods or performance standards, quality of materials, and standards of workmanship where applicable. It should also make note of all instances where conformance with prevailing construction or zoning codes is required and where permits must be obtained.

In addition to the above, the formal written scope of work must address:

- (a) Immediate health and safety concerns (Ex. Lead Paint);
- (b) Correction of existing code violations;
- (c) Environmental hazards;
- (d) Installation of energy conservation measures;
- (e) Accessibility for persons with disabilities (i.e. ADA compliance);
- (f) Consistency with other local program designs;
- (g) Preservation of historical elements of the building.

Both the City of Plattsburgh and the property owner must sign-off on the formal scope of work when completed.

7.3 Contractor Selection

Refer to section 6.1 for contractor selection guidelines.

7.3.1 Contractor Qualifications and Insurance Regulations

No contract will be awarded except to the responsible bidder capable of performing the type and quality of work contemplated. Before the award of a contract, the bidder may be required to show that he/she has the necessary expertise, ability, and financial resources to perform the work specified. Furthermore, contractors will carry all insurance required by the City Building Inspector's Office and the Community Development Office. This requirement will include, but is not limited to, lead base paint insurance with the City of Plattsburgh listed as additionally insured on the policy. The contractor must be or will be registered with the City Building Inspector's Office before a permit will be issued for any work to commence.

7.3.2 Compliance to Federal & State Regulations

Contractors and subcontractors must comply with all Federal and State regulations and rules pertaining to projects funded through Homes and Community Renewal.

7.3.3 Conflicts of Interest

The procurement process will be free of collusion and intimidation. Appropriate oversight will be granted to ensure that it is fair, efficient, and free of actual or perceived conflicts of interest. To accomplish these goals, a clear, written scope of work for the project for which bids or quotes are sought will be required. Furthermore, all bidders will have equal access to relevant information, including information on the property itself.

As per Article 18 of the General Municipal Law, municipal officials and staff are prohibited from receiving grant funds from this program in either the role of an applicant or contractor.

The City of Plattsburgh is an Equal Employment Opportunity employer. Selected contractors will be required to comply with the federal Equal Employment Opportunity Act.

Submission of responses by Minority and Women Owned Business Enterprises is encouraged.

The selection of the consultant shall be made without regard to race, color, sex, age, religion, national origin, or political affiliation.

The selected consultant shall comply with all applicable federal, state, and local laws and regulations in the performance of service.

7.4 Contracting Procedures

The City of Plattsburgh will enter into a grant agreement (consistent with State regulations) with the Property Owner to provide the agreed financial assistance, subject to the Property owner entering into a contract for performance of the agreed to scope of work. This grant agreement will be used to specify: reimbursement payment schedule, verification that matching requirements have been met, and the right of the City to inspect work at any time and cancel the agreement should the work being done be inconsistent with the goals of the DGP. The agreement will be used to outline roles and responsibilities for all parties involved. The agreement will include but is not limited to:

- (a) Agreed upon scope of work
- (b) Projected amount of financial assistance
- (c) Date of commencement and substantial completion (Project Timeline)
- (d) Payment Schedule
- (e) Inspection of Work
- (f) Termination of award and contract cancellation
- (g) Maintenance requirements
- (h) Regulatory term and repayment provisions
- (i) Photo release form
- (j) Requirement to engage a contractor and begin activities within 30 days of formal approval of funding

If the City of Plattsburgh submits a project application and is awarded funding, the City's Common Council shall adopt, in lieu of a grant agreement, a resolution committing itself to completion of the project per terms which are substantially similar, in form and content, to items "(a)" through "(j)" above.

The contract for work-to-be-completed will be signed by the Property Owner and the selected contractor. At the time of final inspection, all substantial work must be completed before final payment can be processed. The contractor and property owner sign a final inspection form requiring the contractor to make all repairs to work specification for one (1) year after the project is complete, and that all work and materials are free of liens. This is an established procedure and currently in use for other City funding mechanisms.

7.4.1 Sub-Contractor Approval

General contractors are responsible for all subcontractor work on approved projects. Subcontractors who bid work items separate from the general contract must provide insurance and registration to the City of Plattsburgh Building Inspector.

7.4.2 Pre-construction Conference

Pre-construction conferences will be held with the property owner, contractor, and Community Development Office, prior to entering into construction contracts. These meetings will be scheduled at the request of all parties involved with the project.

7.4.3 Notice to Proceed

The contractor will be given thirty (30) business days from the date of entering into the contract to commence work.

Section 8. Construction Management & Quality Control

8.1 Construction Monitoring

The City of Plattsburgh retains the right to inspect or audit work in progress at any point. The City will perform periodic inspections—during regular business hours—of renovation activities to monitor adherence with program rules, environmental hazard compliance, and general project progress. These visits will be documented in the Community Development Office project files.

8.1.1 Final Inspection

A final inspection or review of project activities will be conducted at the completion of each project. A final report or reconciliation will be submitted to HTFC as a formal document completion of project activities.

Section 9. Financial Management

9.1 Chief Financial Officer

The City's chief financial officers—The City Chamberlain and Deputy City Chamberlain— will oversee and be responsible for all financial transactions under the DGP. The City will have a written policy on internal controls, and use this policy to determine the process for review and approval of requests for disbursement of funds. The Authorized Signature Form will be completed to designate the representatives authorized to sign disbursement requests and will reflect the City's written policy on internal controls.

Section 10. Program Compliance

10.1 Conditions

The Housing Trust Fund Corporation reserves the right to change or disallow aspects of the application and may make such changes conditions of its commitment to provide funding to a project or program. The City will address any additional requirements or conditions of approval.

10.2 Covenants of the Recipient

The City of Plattsburgh will comply with all applicable statutes, guidelines, regulations, policies, and procedures of the program. Any defect or departure from the approved Administrative Plan must be requested and approved in writing. The City must refer to the Grant Agreement and associated schedule(s) for a summary of the awarded program activities, budget, and projected accomplishments.

Section 11. Additional Funding Resources and Information

11.1 Future Funding Sources

Recognizing that Downtown improvements require ongoing effort, the City of Plattsburgh will continue to seek additional resources to commit to redevelopment of Downtown. The City will make efforts to educate property and business owners of additional funding sources available.