

CITY OF WATERVILLE

2009-2010 Downtown Façade Improvement Grant Program

I. PROGRAM SUMMARY

The City of Waterville, with the support of Waterville Main Street (WMSt), has established a Façade Improvement Grant Program to provide financial assistance to downtown business and property owners located within the established Downtown District (*see attached map*) who wish to make physical improvements to the exterior of their buildings.

A Façade Improvement Grant may be used for a variety of façade improvement activities, including painting, window or door repairs or replacements, signage, awnings, storefront restorations, and other activities outlined under the “Eligible Projects” section of this application package.

KEY PROGRAM DETAILS

SMALL PROJECTS GRANT PROGRAM

Application Deadline: September 18, 2009, 1pm

Awards Announced: September 29, 2009

Maximum Grant Amount: \$2,500.00

Match Ratio: 1:1

FAÇADE IMPROVEMENT GRANT PROGRAM

Application Deadline: November 6, 2009, 1pm

Awards Announced: December 1, 2009

Maximum Grant Amount: \$25,000.00

Match Ratio: 1:1

II. FUNDING AND ADMINISTRATION

Funding for Façade Improvement Grants will come from the CDBG Downtown Revitalization Grant awarded to the City of Waterville. The administration of the Façade Improvement Grant Program will be carried out by Waterville Main Street according to the procedures and guidelines outlined in this document. The administration and operation of the Program shall conform to all federal, state, and local codes.

III. PROGRAM GUIDELINES & ELIGIBILITY

1. Two rounds of Façade Improvement Grants will be offered:
 - a. Fall 2009 – Small Projects Grants up to \$2,500. (Examples of “small projects” include signs, awnings, small paint projects, etc.)
 - b. Spring 2010 – Façade Improvement Grants up to \$25,000.
2. Grants are available for up to **50% of the total cost** of the improvement project and therefore must be matched at a ratio of 1:1. Labor performed by the business/property owner may be counted as part of the match (valued at \$15/hour) provided that proper documentation is maintained.
3. Each applicant may only be awarded one grant in each category. ***Recipients of Small Projects Grants will still be eligible to apply for Façade Improvement Grants; however, the maximum Façade Improvement Grant award for a Small Projects Grant recipient will be \$25,000 minus the amount of the Small Project Grant.*** (Example: if Joe Smith receives a \$2500 Small Projects Grant, he will be eligible for a Façade Improvement Grant up to \$22,500.)
4. The grant applicant may be the property owner or the tenant. A tenant must have the property owner’s signed approval of the proposed building improvement.
5. A Façade Improvement Grant may only be made to a commercial or mixed-use property located within the defined Downtown District (see map). Please note that properties are eligible for grant funding regardless of occupancy.
6. As required by the Department of Economic and Community Development, all successful applications will be reviewed by a certified design professional, who will provide concept sketches, assist with securing approval from Maine Historic Preservation Commission, and serve as a general resource. In most cases, the

cost of this design assistance will be covered by the City's administrative portion of the grant; however, in cases of major façade rehabilitation, the property/business owner may be required to cover a portion of this cost.

7. The applicant will be reimbursed for the amount of the grant award only upon completion of the project.
8. **All projects must be completed by October 31, 2010.**

IV. ELIGIBLE ACTIVITIES

Use of grant funds is restricted to eligible improvements to the exterior of buildings/structures. Eligible activities are listed below. Because it is likely that façade improvement requests will exceed the available funds, activities have been categorized as either High Priority or Low Priority. In general, WMSt will seek to fund High Priority activities before providing assistance for Low Priority activities.

Eligible Activities – High Priority:

- Signage (*The WMSt Design Committee strongly encourages perpendicular signage. See the WMSt Design Guidelines at www.watervillemainstreet.org for additional information.*)
- Awnings
- Storefront Improvements
- Restoration of original/historical windows, doors, and trim where possible
- Repair or replacement of windows, doors, and trim
- Cleaning and/or painting of wood surfaces
- Cleaning and/or repointing of surface brick or stone
- Re-painting of brick, stone or cement
- Removing paint from brick or stone
- Exterior lighting
- Removal of “modernization” efforts and/or inappropriate non-historic alterations/additions
- Murals

The WMSt Design Committee strongly encourages business and property owners on the west side of Main Street to consider making improvements visible from the Concourse parking area.

Eligible Activities – Low Priority:

- Cleaning and repair or installation of approved siding
- Roofing visible from street-level
- Removal or repair of fire escapes
- Landscaping
- Cigarette butt receptacles (contact WMSt for information on recommended styles)

Ineligible Activities:

- Interior repairs of any kind
- Purchase of commercial property/equipment (contact WMSt for information on Micro-Enterprise Grants)
- New construction

V. APPLICATION PROCESS & TIMELINE

- 1) ***To apply for a Façade Improvement Grant, fill out the attached form and return it to the WMSt office by the appropriate deadline.*** Please be sure to include any available drawings and descriptive information on the design of the project and products to be used. You must also provide both material and labor cost estimates for each item. (See the attached form for more details).
- 2) The CDBG Community Enterprise Grant funds originate from the federal government. As a result, there are requirements for historic preservation reviews and CDBG environmental clearance as well as possible labor standards compliance. Please see Sections VII and VIII of these guidelines for further details. WMSt will work with you to make this process as easy as possible.

- 3) The WMSt Façade Improvement Grant Selection Committee will review and score each application and will make announcements of Small Grants Project awards on September 29 and Façade Improvement Grant Project awards on December 1.
- 4) Successful applicants may begin improvements any time after receiving official grant award notification and CDBG environmental clearance. ***No improvements begun prior to award notification and CDBG environmental clearance will be eligible for reimbursement.***
- 5) Upon completion of a Façade Improvement Grant project, the business/property owner shall submit paid bills/invoices for the work to the WMSt Design Committee. The Design Committee will then perform an inspection to determine that the work was completed in accordance with the original grant application and cost estimates.
- 6) Upon a satisfactory inspection, WMSt will submit an approved reimbursement request to the City of Waterville.
- 7) Reimbursement will be processed within 2-4 weeks.

PLEASE NOTE: The amount of grant fund reimbursement shall be up to 50% of the actual total UNLESS the actual total is greater than the estimated total, in which case the grant fund reimbursement shall be up to 50% of the estimated total.

SAMPLE REIMBURSEMENT SCENARIOS	
SMALL GRANTS PROJECT	
◆ Estimated cost: \$4000	Actual cost: \$3500
Reimbursement: \$1750 (50% of actual cost)	
◆ Estimated Cost: \$4500	Actual Cost: \$5000
Reimbursement: \$2250 (50% of estimated cost)	
FAÇADE IMPROVEMENT GRANT PROJECTS	
◆ Estimated cost: \$60,000	Actual cost: \$54,000
Reimbursement: \$25,000 (maximum grant amount)	
◆ Estimated cost: \$10,000	Actual cost: \$9,000
Reimbursement: \$4500 (50% of actual cost)	

VI. SELECTION CRITERIA

Mandatory Criteria

- ◆ **You MUST submit the attached Façade Grant Application Form, along with cost estimates, and any available photos and design sketches. *Incomplete applications will not be scored.***
- ◆ **You MUST agree to comply with the Required Design Guidelines outlined below. *Proposed improvements that do not comply with these guidelines are not eligible for grant funding.***

Scored Criteria

Each Façade Improvement Grant application will be scored according to the following criteria:

- ◆ Compliance with the Suggested Design Guidelines (30 points)
- ◆ Potential impact on the attractiveness of the building/business (20 points)
- ◆ Priority of eligible activity(ies) (20 points)
- ◆ Potential impact on the attractiveness of the downtown streetscape as a whole (15 points)
- ◆ Long term maintenance plan (5 points)
- ◆ Attendance at September 3rd Grant & Downtown Design Workshop (10 points)

Waterville Main Street anticipates that there will be more demand than available funds. Funding will be provided to those applications receiving the overall highest scores until the grant fund is exhausted. ***The WMSt Façade Improvement Grant Selection Committee reserves the right to deny funding to any applicant who does not comply with the required or suggested design guidelines. Should there be a lack of qualified applications, all remaining grant funds may not be awarded.***

Required Design Guidelines

- 1) Planned improvements must preserve the architectural integrity of the building and adhere, where possible, to the original design of the façade.

- 2) Only appropriate means of cleaning buildings will receive funding. Sandblasting of historic buildings is inappropriate due to its destructive nature.
- 3) Vinyl and aluminum siding are inappropriate materials for covering historic structures and the use of those and similar inappropriate façade coverings will not be funded.

Suggested Design Guidelines

- 1) Property and business owners undertaking façade improvement projects should give consideration to the types of materials that would have been used in the late 1800's and early 1900's. Call Waterville Main Street at 680-2055 or visit the website at www.watervillemainstreet.org for more specific information about desirable and undesirable materials.
- 2) Paint colors should be harmonious with neighboring structures and/or indicative of the building's historic color. Call Waterville Main Street at 680-2055 or visit the web site at www.watervillemainstreet.org for more specific information on suggested paint palettes.
- 3) The size, color, shape and position of any proposed sign should compliment the architecture and history of the building. Plastic, neon, and back-lit signs are generally discouraged. Signs must also comply with the City of Waterville sign ordinance. Call Waterville Main Street at 680-2055 or visit the web site at www.watervillemainstreet.org for more specific information on suggested sign colors and styles and a copy of the ordinance.
- 4) Awnings should be of canvas or acrylic material (if deemed to be appropriate to the character of the building), designed to respect the building's proportions, and in colors that compliment the color of the façade as well as neighboring awnings and façades. Call Waterville Main Street at 680-2055 or visit the web site at www.watervillemainstreet.org for more specific information on suggested awning colors and styles.
- 5) Improvements should develop compatibility within the building and with your neighbors without sacrificing the uniqueness of Waterville's downtown. Consider the proportions, width, height, setbacks of your building in relation to adjoining and surrounding buildings. Maintain the alignment of facades along the sidewalk and the rhythm of windows and storefronts.

For additional guidance in your façade improvements, refer to the Waterville Main Street Design Guidelines, which can be obtained on the web site at www.watervillemainstreet.org/links.php or at the WMSt office at 177 Main Street.

VII. HISTORIC PRESERVATION

Because the CDBG Community Enterprise Grant funds originate from the federal government, all potential façade recipient buildings and proposed scopes of work must be reviewed by the Maine Historic Preservation Commission (MHPC) pursuant to Section 106 of the National Historic Preservation Act. The purpose of the review is to determine the effect of the proposed façade improvements on cultural resources listed in or potentially eligible for listing in the National Register of Historic Places. In general, buildings that are more than 50 years old are reviewed more carefully. If the MHPC determines that a building is potentially eligible for listing in the National Register of Historic Places, the MHPC would scrutinize the proposed work to see if the work would change the historic character of the building, and they could require changes in the scope of work. As mentioned above, however, the City will be retaining a certified design professional to assist with this process in order to reduce the burden on the business/property owner and to minimize the likelihood of MHPC requiring changes.

VIII. FEDERAL LABOR STANDARDS COMPLIANCE

Federal Labor Standards are statutory provisions dealing with construction projects, including façade improvements that receive federal funds such as the CDBG Community Enterprise funds. Contracts in excess of \$2,000 which employ craftsmen, mechanics and/or laborers for construction related activities shall contain

provisions with respect to minimum wages and fringe benefits set by the federal Department of Labor, also known as Davis-Bacon wages. In general, if grant funds are used solely to purchase materials and/or for contracts less than \$2,000, the federal labor standards may not apply. If it appears that labor standards may be applicable, Waterville Main Street will provide assistance in planning the use of labor and materials so that any compliance requirements can be kept to a minimum.

IX. COMPLAINT POLICY

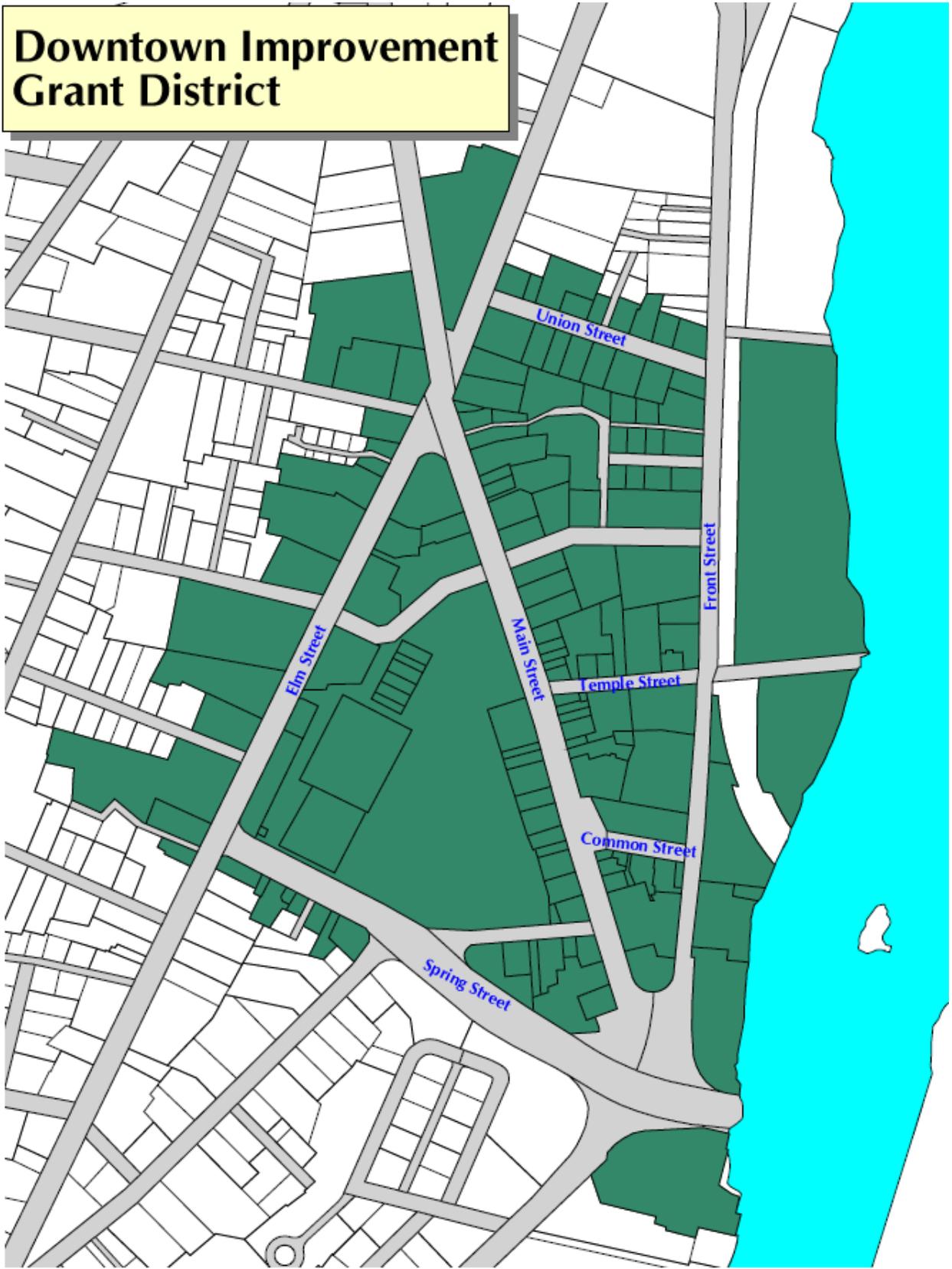
The CDBG Program Administrator will use the following complaint process:

1. Requests shall be submitted in writing to the Waterville City Manager and will be forwarded to the local CDBG Program Administrator.
2. The local CDBG Program Administrator shall respond in writing within 10 business days. If the response is not satisfactory, the complainant shall request in writing that the complaint be forwarded to the Waterville City Manager. The City Manager shall respond in writing within 10 business days.
3. If the complainant remains unsatisfied with the resolution they may contact the Office of Community Development CDBG Program Manager. The CDBG Program Manager may request that the complainant forward the written complaint and copies of all correspondence pertaining to the complaint to the OCD. All decisions of the OCD are final.

X. AMENDMENT

Program guidelines and eligibility may be amended upon final approval of the Waterville City Council and DECD. All amendments to program guidelines and eligibility shall be pursuant to all state and federal regulations, which may apply to activities covered by this program.

Downtown Improvement Grant District



2009 Downtown Waterville Façade Improvement Grant Application Form

1. Name of Applicant (e.g., Joe Smith): _____

2. Please check one: Landlord Tenant

3. Have you received prior grant funding from a WMSt Façade Grant Program?

Yes No

4. Business Name, if applicable (e.g., Joe's Furniture): _____

5. Property Address: _____

6. Mailing Address (if different from above): _____

7. Daytime Phone: _____

8. E-mail: _____

9. Planned Improvements (Please check all that apply.)

High Priority Activities:

- | | |
|---|---|
| <input type="checkbox"/> Signage | <input type="checkbox"/> Cleaning and/or repointing of surface brick or stone |
| <input type="checkbox"/> Awning | <input type="checkbox"/> Re-painting of brick, stone or cement |
| <input type="checkbox"/> Storefront Improvements | <input type="checkbox"/> Removing paint from brick or stone |
| <input type="checkbox"/> Restoration of original/historical windows, doors, and trim where possible | <input type="checkbox"/> Exterior lighting |
| <input type="checkbox"/> Repair or replacement of windows, doors, and trim | <input type="checkbox"/> Removal of "modernization" efforts and/or inappropriate non-historic alterations/additions |
| <input type="checkbox"/> Cleaning and/or painting of wood surfaces | <input type="checkbox"/> Mural |

Low Priority Activities:

- | | |
|---|--|
| <input type="checkbox"/> Cleaning and repair or installation of approved siding | <input type="checkbox"/> Removal or repair of fire escapes |
| <input type="checkbox"/> Roofing visible from street-level | <input type="checkbox"/> Landscaping |
| | <input type="checkbox"/> Cigarette receptacles |

10. Please provide a brief written description of **each proposed activity**. For example: (1) *Painting – Paint entire street façade with 3 colors, a base wall color, a trim color and an accent color.* (2) *Sign – Remove existing internally illuminated sign and replace with a new projecting externally illuminated sign.* (3) *Install a new awning at main entry.*

11. To compliment the written description, please attach a photo(s) and/or design sketch(es) to help the Selection Committee understand where each proposed activity will take place and/or what it might look like. A completed design is not necessary.

12. Please describe the long-term maintenance plan that will be in place to protect the façade improvements.

13. Estimated Cost* of Improvements: _____

** Using the attached Budget Form, provide an estimate for labor and material costs for each proposed activity. If possible, consult a building professional for budget advice. A formal bid is not required at this stage.*

14. Total Grant Amount Requested: _____

15. Did you or your designee attend the September 3rd Downtown Improvement Grant & Design Workshop? Yes No

16. Applicant's Signature

I have read and understand the attached guidelines. I understand that this is a matching grant program, and that money is granted on a reimbursement basis, following completion of work. I also understand that improvements not formally approved by the WMSt Façade Grant Selection Committee will not be funded.

Applicant's Signature

Date

16. Landlord's Acknowledgement (if Applicant is a Tenant)

I am the landlord of the above address, I have been informed of the Applicant's intention to perform the improvements described in the attached documentation, and I hereby approve the proposed improvements.

Landlord's Signature

Date

17. Landlord's Contact Information

Landlord's Full Name: _____

Landlord's Address: _____

Landlord's Phone: _____

Please return your completed application along with all documentation to:

Waterville Main Street, 177 Main Street, Waterville, ME 04901

Small Projects Grant applications are due by 1:00pm on Friday, September 18, 2009; Full Façade Improvement Grant applications are due by 1:00pm on Friday, November 6. Applications must be mailed or hand-delivered. WMSt will not accept applications submitted by fax or email.

FAÇADE IMPROVEMENT GRANT APPLICATION BUDGET FORM

DESCRIPTION OF IMPROVEMENTS (Please break down by activity, such as painting, sign, awning, etc.)	ESTIMATED COST of LABOR	ESTIMATED COST of MATERIALS	TOTAL COST
TOTAL			